FISCAL YEAR 2007
APPLICATION FOR NEW GRANTS UNDER THE
INDIVIDUALS WITH DISABILITIES EDUCATION ACT (IDEA)

TECHNOLOGY AND MEDIA SERVICES FOR INDIVIDUALS
WITH DISABILITIES  (CFDA 84.327)

USING ASSISTIVE TECHNOLOGY TO SUPPORT
DEVELOPMENT AND LEARNING OF INFANTS AND
TODDLERS WITH DISABILITIES, BIRTH THROUGH TWO
(CFDA 84.327X)

DATED MATERIAL - OPEN IMMEDIATELY
CLOSING DATE: February 2, 2007

FORM APPROVED - OMB No. 1820-0028, EXP. DATE: 01/31/09
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Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1820-0028. The time required to complete this information collection is estimated to average 45 hours and 40 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Office of Special Education Programs, U.S. Department of Education, 400 Maryland Avenue, S.W., PCP 4106, Washington, D.C. 20202-2600.
Dear Applicant:

This application packet contains information and the required forms for you to use in submitting a new application for funding under one program authorized by the Individuals with Disabilities Education Act (IDEA). This packet covers one competition under the Technology and Media Services for Individuals with Disabilities (CFDA 84.327) program—Using Assistive Technology to Support Development and Learning of Infants and Toddlers with Disabilities, Birth through Two (CFDA No. 84.327X).

An application for an award must be: (1) hand-delivered, submitted electronically, or mailed by the closing date; and, (2) for paper applications, have an original signature on at least one copy of the assurances and certifications (Part IV of the application form). It is also important to include the appropriate Catalog of Federal Domestic Assistance (CFDA) numeric and alpha in Item #11 on SF Form 424 (e.g., CFDA No. 84.327X) for paper applications.

Please note the following:

- **APPLICATION SUBMISSION.** Based on the precautionary procedures the U.S. Postal Service is using to process mail, we are experiencing delays in the delivery of mail to the Department. Therefore, you may want to consider sending your application by overnight courier or submitting your application electronically.

- **GRANTS.GOV APPLICATION SUBMISSION.** Applications for grants under this competition may be submitted electronically using the Grants.gov Apply site (www.Grants.gov). Please read carefully the document that we have included immediately following this letter (see page A-4), which includes helpful tips about submitting electronically using the Grants.gov Apply site. Please note that you must follow the Application Procedures as described in the Federal Register notice announcing this grant competition. Information (including dates and times) about how to submit your application electronically, or by mail or hand delivery, can also be found in the Application Transmittal Instructions and Requirements for Intergovernmental Review section of this application package.

- **MAXIMUM AWARD AMOUNT.** In addition to providing detailed budget information for the total grant period requested, the competition included in this package has a maximum award amount (See Page B-5 of this package). Please be advised that for the priority in this package, the maximum award amount covers all project costs including indirect costs.

- **STRICT PAGE LIMITS.** The competition included in this package limits the Part III Application Narrative to a specified number of double-spaced pages. This page limitation applies to all material presented in the application narrative -- including, for example, any
charts, tables, figures, and graphs. (Please refer to the specific requirements on page limits for the priority/competition to which you are submitting an application - i.e., Section B-6 and 6 of this package). The Department will reject, and will NOT consider an application that does not adhere to the page limit requirements for the competition.

• **FORMAT FOR APPLICATIONS.** Please note that additional information regarding formatting applications has been included on Pages C-3 and 4 of the “General Information on Completing An Application” section of this package.

• **PROTECTION OF HUMAN SUBJECTS IN RESEARCH.** The discretionary grant Application Form 424 (ED supplement to the SF 424 on Grants.gov) requires applicants to indicate whether they plan to conduct research involving human subjects at any time during the proposed project period. The Protection of Human Subjects in Research Attachment is an integral part of the SF 424 form (ED supplement to the SF 424 on Grants.gov). It includes information that applicants need to complete the protection of human subjects item and, as appropriate, to provide additional information to the Department regarding human subjects research projects. Additional information on completing the protection of human subjects item is also available and can be accessed on the INTERNET at:

  http://www.ed.gov/about/offices/list/ocfo/gcsindex.html
  http://www.ed.gov/about/offices/list/ocfo/humansub.html

• **RESPONSE TO GPRA.** As required by the Government Performance and Results Act (GPRA) of 1993 OSEP has developed a strategic plan for measuring GPRA performance. The program included in this announcement is authorized under Part D - National Activities to Improve Education of Children with Disabilities of the Individuals with Disabilities Education Act. The Office of Special Education Programs (OSEP) will collect information to assess progress and performance. See Performance Measures included in the Priority Description section of this application package. Applicants are encouraged to consider this information, as applications are prepared.

• **COPIES OF THE APPLICATION.** Current Government-wide policy requires that an original and two copies need to be submitted. OSEP would appreciate receiving three additional copies to facilitate the peer review process. This means an original and two copies are required but we would appreciate your voluntarily submitting an additional three copies (six applications in all). If you are submitting your application electronically, you do not need to submit paper copies of the application. Please note: If an application is recommended for funding and a grant award is issued, we will contact the applicant to request a copy of the application on a diskette or CD. The Department is moving toward an electronic grant filing system and an electronic copy of all applications that are being funded will facilitate this effort.

A program officer is available to provide information to you regarding this competition. Please refer to the name of the program contact at the end of the priority description. For information about other U.S. Department of Education grant and contract opportunities, we encourage you to use the Department's grant information web page which can be accessed on the INTERNET at:
http://www.ed.gov/about/offices/list/ocfo/gcsindex.html

We appreciate your efforts to improve the provision of services for individuals with disabilities.

Sincerely,

Louis C. Danielson, Ph.D.
Director
Research to Practice Division
Office of Special Education
Programs
IMPORTANT – PLEASE READ FIRST
U.S. Department of Education
Grants.gov Submission Procedures and Tips for Applicants

To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education.

1) REGISTER EARLY – Grants.gov registration may take five or more business days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. For detailed information on the Registration Steps, please go to: http://www.grants.gov/applicants/get_registered.jsp. [Note: Your organization will need to update its Central Contractor Registry (CCR) registration annually.]

2) SUBMIT EARLY – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30 pm on the deadline date.

Note: To submit successfully, you must provide the DUNS number on your application that was used when your organization registered with the CCR (Central Contractor Registry).

3) VERIFY SUBMISSION IS OK – You will want to verify that Grants.gov and the Department of Education receive your Grants.gov submission timely and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30 p.m. on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

If the date/time received is later than 4:30 p.m. Washington, D.C. time, on the closing date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: http://www.grants.gov/help/submit_application_faqs.jsp#10. For more detailed information on why an application may be rejected, you can review Application Error Tips http://www.grants.gov/section910/ApplicationErrorTips.pdf. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

Submission Problems – What should you do?
If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer
Support at 1-800-518-4726 or use the customer support available on the Web site: http://www.grants.gov/applicants/applicant_help.jsp.

If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date.

If electronic submission is required, you must submit an electronic application before 4:30 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

Helpful Hints When Working with Grants.gov

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. You must provide on your application the DUNS number that was used when your organization registered with the CCR.


Dial-Up Internet Connections

When using a dial up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial up connection. If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following the instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date. (See the Federal Register notice for detailed instructions.)

MAC Users

If you do not have a Windows operating System, you will need to use the Citrix solution discussed on Grants.gov or a Windows Emulation program to submit an application using Grants.gov. For additional information, review the FAQs for non-windows users http://www.grants.gov/resources/download_software.jsp#non_window. Also, to view white paper for Macintosh users published by Pure Edge go to the following link: http://www.grants.gov/section678/PureEdgeSupportforMacintosh.pdf, and/or contact Grants.gov Customer Support (http://www.grants.gov/contactus/contactus.jsp) for more information. If electronic submission is required and you are concerned about your ability to submit electronically as a non-windows user, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date. (See the Federal Register notice for detailed instructions.)
PRIORITY DESCRIPTION

AND

SELECTION CRITERIA

FOR THE

TECHNOLOGY AND MEDIA SERVICES

FOR INDIVIDUALS WITH DISABILITIES
USING ASSISTIVE TECHNOLOGY TO SUPPORT DEVELOPMENT AND LEARNING OF INFANTS AND TODDLERS WITH DISABILITIES, BIRTH THROUGH TWO (CFDA 84.327X)

DEADLINE: 02/02/07

ABSOLUTE PRIORITY:

Background:

A growing body of research supports the use of assistive technology (AT), including AT devices and AT services as defined in section 602 (1) and (2) of IDEA, for infants and toddlers with disabilities. The early research in this area shows that AT has the potential to increase the ability of infants and toddlers with disabilities to interact with others and to participate in family routines and to increase their functional skills in such areas as mobility and communication. However, a recent national survey of service providers revealed that only 18.1 percent of early intervention service providers believed that all of the infants and toddlers with disabilities they serve who need AT actually receive it. Further, the survey revealed that only approximately four percent of infants and toddlers with disabilities have AT listed in their Individualized Family Service Plan (IFSP) (Wilcox, Bacon, and Campbell, 2004). These findings may suggest a lack of awareness or knowledge of AT on the part of early intervention service providers and families. While recent research has shed new light on AT devices, services, and contexts in which AT is appropriately used, a review of 27 studies on the use of AT with young children, published within the past 25 years, found that none of the reports discussed how to help children use readily-available or low-tech items. In addition, the limited number of publications on evidence-based AT teaching practices seems to emphasize high-tech devices (Dugan, Millborne, Campbell, and Wilcox). This suggests there is a need to raise awareness among early intervention service providers and families and to assist them in implementing and evaluating AT practices involving a range of low-tech to high-tech devices to improve the development and learning of infants and toddlers with disabilities.

Priority:


This priority supports one cooperative agreement to identify and support the implementation of a range of evidence-based and promising AT practices in early intervention programs with a diverse group of infants and toddlers with disabilities, and their families, service providers, and caregivers, and to develop strategies to scale-up promising AT practices. For purposes of this priority, the term "infants and toddlers with disabilities" means individuals from birth through age two who need early intervention services because they (1) are experiencing developmental delays, as measured by appropriate diagnostic instruments and procedures in one or more of the areas of cognitive development, physical development, communication development, social or emotional development, and adaptive development; or (2) have a diagnosed physical or mental condition that has a high probability of resulting in developmental delay. In selecting AT practices and in assisting service providers and families in implementing AT practices, the project must--

(a) Identify existing evidence-based and promising practices that integrate AT in early intervention programs to improve the development and learning of infants and toddlers with disabilities. These may include validated practices with high levels of research support as well as promising practices that have some research base but may require additional validation. In selecting standards for identifying evidence-based and promising practices, the project must use a methodology that is consistent with evidence standards established by the What Works Clearinghouse (WWC) for its review of causal research, found at http://www.whatworks.ed.gov;

(b) Develop and implement practices to support service providers and families in using a range of low-tech to high-tech AT devices, including readily available materials, in ways that can help families enhance the development and learning of their infants and toddlers with disabilities and promote their participation in activities in everyday settings. These strategies must incorporate provisions for the continued implementation of the practices after Federal support ends;

(c) Identify and recruit early intervention programs to implement the practices identified in accordance with paragraph (a) of this priority. In selecting early intervention programs, the project must consider the culture, language or family income of the infants and toddlers served by the programs, as well as the location (urban and rural settings or, the geographic region) and size of the program;

(d) Provide professional development and training based on the practices identified in accordance with paragraph (a) of this priority to motivate and build capacity of service providers and families to use AT with infants and toddlers with disabilities;

(e) Assist early intervention programs in evaluating the outcomes of the professional development provided in accordance with paragraph (d) of this priority, and the effects of selected AT practices on infant and toddler development;

(f) Promote, where appropriate, opportunities for AT re-use through such avenues as exchange programs, recycling programs, and refurbishment programs; and
(g) Prepare and disseminate information and products, as appropriate, for specific audiences, such as families, service providers, and caregivers.

The project funded under this priority also must--

(1) Meet with the Office of Special Education Programs (OSEP) Project Officer and other appropriate staff in Washington, DC, within the first two months of the project period to clarify project activities and develop a strategic plan for the implementation of the overall project;

(2) Communicate, collaborate, and form partnerships as appropriate, with such entities as: The National Early Childhood Technical Assistance Center (NECTAC), Parent Training and Information Centers (PTIs), Community Parent Resource Centers (CPRCs), the National and Regional Parent Technical Assistance Centers (PTACs), the Regional Resource Centers (RRCs), the Center on Implementing Technology in Education (CITEd), and other OSEP-supported discretionary projects related to the use of AT with infants and toddlers with disabilities;

(3) Establish, maintain, and meet at least annually with an advisory committee consisting of representatives of families, service providers, caregivers, professional organizations and advocacy groups, researchers, and other appropriate groups to review and advise on the project’s plans, products, and activities;

(4) Budget to attend a three-day Project Directors’ meeting in Washington, DC during each year of the project period; a two-day meeting of technology researchers, manufacturers, developers, and publishers in Washington, DC; and a two-day early childhood meeting in Washington, DC; and

(5) If the project maintains a Web site, include relevant information and documents in a form that meets a government or industry-recognized standard for accessibility.

**Fourth and Fifth Years of Project:**

In deciding whether to continue this project for the fourth and fifth years, the Secretary will consider the requirements of 34 CFR 75.253(a) for continuation awards. The Secretary will also consider the following:

(a) The recommendation of a review team consisting of experts selected by the Secretary. The team will conduct its review in Washington, DC during the last half of the project’s second year. A project must budget for the travel associated with this one-day intensive review.

(b) The timeliness and effectiveness with which all requirements of the negotiated cooperative agreement have been or are being met by the project.
The degree to which the project is making a positive contribution -- and its strategies are demonstrating the potential for disseminating significant knowledge to families, service providers, and caregivers -- to using AT to improve outcomes for infants and toddlers with disabilities.

**Program Authority:** 20 U.S.C. 1474 and 1481.

**PERFORMANCE MEASURES:** Under the Government Performance and Results Act of 1993 (GPRA), the Department has developed measures that will yield information on various aspects of the quality of the Technology and Media Services for Individuals with Disabilities program. These measures focus on the extent to which projects are of high quality, are relevant to the needs of children with disabilities, and contribute to improving the results for children with disabilities. Data on these measures will be collected from the projects funded under this competition.

Grantees also will be required to report information on their projects’ performance in annual reports to the Department (34 CFR 75.590).

**APPLICATIONS AVAILABLE:** December 19, 2006.

**DEADLINE FOR TRANSMITTAL OF APPLICATIONS:** February 2, 2007.

**DEADLINE FOR INTERGOVERNMENTAL REVIEW:** April 3, 2007.

**ESTIMATED AVAILABLE FUNDS:** The Administration has requested $31,063,000 for the Technology and Media Services for Individuals with Disabilities program for FY 2007, of which we intend to use an estimated $435,000 for the Research on Technology Effectiveness and Implementation for Children with Disabilities: Web-Supported Instructional Approaches competition. The actual level of funding, if any, depends on final congressional action. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

**MAXIMUM AWARDS:** We will reject any application that proposes a budget exceeding $435,000 for a single budget period of 12 months. The Assistant Secretary for the Office of Special Education and Rehabilitative Services may change the maximum amount through a notice published in the Federal Register.

**ESTIMATED NUMBER OF AWARDS:** 1.

Note: The Department is not bound by any estimates in this notice.

**PROJECT PERIOD:** Up to 60 months.
**PAGE LIMITS:** The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit Part III to the equivalent of no more than 70 pages using the following standards:

- A "page" is 8.5" x 11", (on one side only) with one-inch margins (top, bottom, and sides).

- Double-space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.

- Use a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch).

The page limit does not apply to Part I, the cover sheet; Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; or the two-page abstract, the resumes, the bibliography, references, or the letters of support. However, you must include all of the application narrative in Part III.

We will reject any application if --

- You apply these standards and exceed the page limit; or
- You apply other standards and exceed the equivalent of the page limit.

**GENERAL REQUIREMENTS:**

(a) Projects funded under this notice must make positive efforts to employ and advance in employment qualified individuals with disabilities in project activities (see section 606 of IDEA); and

(b) Applicants and grant recipients funded under this notice must involve individuals with disabilities or parents of individuals with disabilities ages birth through 26 in planning, implementing, and evaluating the projects (see section 682(a)(1)(A) of IDEA);

**APPLICABLE REGULATIONS:**

(a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99; and (b) The selection criteria for this program are drawn from EDGAR in 34 CFR 75.210.

**Note:** The regulations in 34 CFR part 79 apply to all applicants except federally recognized Indian tribes.

**Note:** The regulations in 34 CFR part 86 apply to institutions of higher education only.
ELIGIBLE APPLICANTS:

State educational agencies, local educational agencies, public charter schools that are LEAs under State law; institutions of higher education institutions of higher education, other public agencies, private nonprofit organizations, outlying areas, freely associated States, Indian tribes and tribal organizations, and for-profit organizations.

INTERGOVERNMENTAL REVIEW:

The program in this notice is subject to the requirements of Executive Order 12372 and the regulations in 34 CFR part 79. One of the objectives of the Executive Order is to foster an intergovernmental partnership and a strengthened federalism. The Executive order relies on processes developed by State and local governments for coordination and review of proposed Federal financial assistance.

This document provides early notification of our specific plans and actions for this program.

FEDERAL REGISTER NOTICE: Published December 19, 2006. See http://www.access.gpo.gov/su_docs/aces/fr-cont.html

For further information about this priority contact:

Peggy Cvach or Jane Hauser, Competition Managers
Research to Practice Division
Office of Special Education Programs
Telephone: (202)245-7314 and 245-7373, respectively
FAX: (202) 245-7617
Internet: Peggy.Cvach@ed.gov and Jane.Hauser@ed.gov, respectively
TTD: 1-800-877-8339
SELECTION CRITERIA AND FORMAT FOR THE USING ASSISTIVE TECHNOLOGY TO SUPPORT DEVELOPMENT AND LEARNING OF INFANTS AND TODDLERS WITH DISABILITIES, BIRTH THROUGH TWO (CFDA 84.327X) COMPETITION

Part III of the application form requires a narrative that addresses the selection criteria that will be used by reviewers in evaluating individual proposals. Applications are more likely to receive favorable reviews by panels when they are organized according to the format suggested below. This format was published in the FEDERAL REGISTER as an appendix to the program regulations, and it addresses all the selection criteria used to evaluate applications required by regulations. If you prefer to use a different format, you may wish to cross-reference the sections of your application to the selection criteria to be sure that reviewers are able to find all relevant information.

The selection criteria that will be used to evaluate applications submitted to the Using Assistive Technology to Support Development and Learning of Infants and Toddlers with Disabilities, Birth through Two (CFDA 84.327X) competition are the selection criteria for new grants required by the EDGAR general selection criteria menu. The maximum score for all of the criteria is 100 points.

An abstract, not to exceed two pages, should precede the application narrative of all applications and it would be helpful if it included the following information: Purpose of the project; disability addressed by the project; age group (e.g., 0-3, preschool, elementary school, middle school, high school, secondary transition, and postsecondary); geography (e.g., rural, suburban, urban); severity (e.g., mild, moderate, and severe); proposed products; proposed outcomes; names/affiliations of key collaborators. It would be helpful if the abstract includes: (a) the title of the program, (b) the name of the Absolute Priority, and (c) the CFDA Number (e.g., 84.327X).

For Technology and Technical Assistance and Dissemination applications, the abstract should include (a) design and (b) project evaluation, including measures.

The application narrative should include the following sections in this order:

(a) Significance (15 points)

(1) The Secretary considers the significance of the proposed project.

(2) In determining the significance of the proposed project, the Secretary considers the following factors:

(i) The potential contribution of the proposed project to increased knowledge or understanding of educational problems, issues, or effective strategies.
(ii) The importance or magnitude of the results or outcomes likely to be attained by the proposed project, especially improvements in teaching and student achievement.

(b) **Quality of the project design (20 points)**

(1) The Secretary considers the quality of the design of the proposed project.

(2) In determining the quality of the design of the proposed project, the Secretary considers the following factors:

   (i) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.

   (ii) The extent to which the design of the proposed project includes a thorough, high-quality review of the relevant literature, a high-quality plan for project implementation, and the use of appropriate methodological tools to ensure successful achievement of project objectives.

(c) **Quality of project services (20 points)**

(1) The Secretary considers the quality of the services to be provided by the proposed project.

(2) In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

(3) In addition, the Secretary considers the following factors:

   (i) The extent to which the services to be provided by the proposed project reflect up-to-date knowledge from research and effective practice.

   (ii) The likely impact of the services to be provided by the proposed project on the intended recipients of those services.

   (iii) The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project services.

(d) **Quality of project personnel (15 points)**

(1) The Secretary considers the quality of the personnel who will carry out the proposed project.

(2) In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of
groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

(3) In addition, the Secretary considers the following factors:

(i) The qualifications, including relevant training and experience, of the project director or principal investigator.

(ii) The qualifications, including relevant training and experience, of key project personnel.

(iii) The qualifications, including relevant training and experience, of project consultants or subcontractors.

(c) Adequacy of resources (10 points)

(1) The Secretary considers the adequacy of resources for the proposed project.

(2) In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:

(i) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization.

(ii) The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project.

(iii) The extent to which the budget is adequate to support the proposed project.

(iv) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project.

(f) Quality of the management plan (10 points)

(1) The Secretary considers the quality of the management plan for the proposed project.

(2) In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

(i) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.
(ii) The adequacy of mechanisms for ensuring high-quality products and services from the proposed project.

(iii) The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.

(iv) How the applicant will ensure that a diversity of perspectives are brought to bear in the operation of the proposed project, including those of parents, teachers, the business community, a variety of disciplinary and professional fields, recipients or beneficiaries of services, or others, as appropriate.

(g) **Quality of the project evaluation (10 points)**

(1) The Secretary considers the quality of the evaluation to be conducted of the proposed project.

(2) In determining the quality of the evaluation, the Secretary considers the following factors:

   (i) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project.

   (ii) The extent to which the methods of evaluation will provide timely guidance for quality assurance.

   (iii) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes.
GENERAL INFORMATION
ON COMPLETING
AN APPLICATION
Potential applicants frequently direct questions to officials of the Department regarding application notices and programmatic and administrative regulations governing various direct grant programs. To assist potential applicants, the Office of Special Education Programs staff have assembled the following most commonly raised issues. In general, this information applies to the grant competitions covered by this application package.

- **EXTENSION OF DEADLINES**

  Waivers for individual applications are not granted, regardless of the circumstances. Under very extraordinary circumstances a closing date may be changed. Such changes are announced in the Federal Register.

- **COPIES OF THE APPLICATION**

  Current Government-wide policy is that only an original and two copies need to be submitted. OSEP would appreciate receiving three additional copies to facilitate the peer review process. This would mean an original and two copies need to be submitted and we would appreciate your voluntarily submitting an additional three copies (six applications in all). Copies of the application may be bound, but it is not necessary or required. If bound, one copy should be left unbound to facilitate electronic scanning and any necessary reproduction. Applicants should not use colored paper, foldouts, photographs, or other materials that are hard to duplicate.

  Please Note: If an application is recommended for funding and a grant award is issued, we will contact the applicant to request a copy of the application on a diskette or CD. The Department is moving toward an electronic grant filing system and an electronic copy of all applications that are being funded will facilitate this effort.

- **MAKING APPLICATIONS MORE ACCESSIBLE TO REVIEWERS WHO ARE BLIND OR HAVE LOW VISION**

  The Department will accept one copy of the application in an accessible format (i.e., IBM PC compatible WordPerfect or ASCII code diskette) along with the original and two print copies of the application. The accessible format copy can be used with available software to convert the text of the application into Braille, or with text to voice applications. If there are any differences in the print original provided on the disk and in print, the print original is assumed to be the correct version. Please note that it is not a requirement that one copy of the application be in an accessible format.

- **MISSED DEADLINES AND SUBMISSION UNDER OTHER COMPETITIONS**

  Should an application miss the deadline for a particular competition, it may be submitted to another competition. However, if an application is properly prepared to meet the specifications
of one competition, it is extremely unlikely that it would be favorably evaluated under a
different competition.

• SUBMISSION TO MORE THAN ONE PROGRAM

Applications may be submitted to more than one Federal program if you are unsure of the most
appropriate program. Each application should be prepared following the instructions for that
particular program as closely as possible (which may require some reformulation). It is very
helpful if each program is notified that an identical or similar application is being submitted to
another program.

• HELP PREPARING APPLICATIONS

We are happy to provide general program information. Clearly it would not be appropriate for
staff to participate in the actual writing of an application, but we can respond to specific questions
about our application requirements and evaluation criteria, or about the announced priorities.
Applicants should understand that such previous contact is not required, nor does it guarantee the
success of an application.

• NOTIFICATION OF FUNDING

The time required to complete the evaluation of applications is variable. Once applications have
been received staff must determine the areas of expertise needed to appropriately evaluate the
applications, identify and contact potential reviewers, convene peer review panels, and
summarize and review the recommendations of the review panels. You can expect to receive
notification within 3 to 6 months of the application closing date, depending on the number of
applications received and the number of competitions with closing dates at about the same time.
The requested start date can be no later than January 1 of the year following the competition’s
fiscal year (FY). For example, FY 2006 applications may request a start date no later than

• POSSIBILITY OF LEARNING THE OUTCOME OF REVIEW PANELS PRIOR TO
OFFICIAL NOTIFICATION

Every year we are called by a number of applicants who have legitimate reasons for needing to
know the outcome of the review prior to official notification. Some applicants need to make job
decisions, some need to notify a local school district, etc. Regardless of the reason, we cannot
share information about the review with anyone until the Assistant Secretary has approved a slate
of projects recommended for funding. You will be notified as quickly as possible either by
telephone (if your application is recommended for funding), or through a letter (if your
application is not successful).

• FORMAT FOR APPLICATIONS

The application narrative (Part III of the application form) should be organized to follow the
exact sequence of the components in the selection criteria used to evaluate applications. (The
selection criteria for the competitions covered by this packet are listed following the specific competition information in section “B” of this packet.) A table of contents, list of priority requirements, and an abstract (see page B-8) should precede the application narrative. If you prefer to use a different format, you may wish to cross-reference the sections of your application to the selection criteria to be sure that reviewers are able to find all relevant information.

To aid in screening and reviewing the application, applicants should list in Part II and prior to the abstract, all general, special, and other requirements for the priority and corresponding page number (s) where requirements are addressed within the application. Page limits do not apply to this list. (All requirements are found in each priority description included in this application package.) The format included below is an example of how you might provide this information in your application.

<table>
<thead>
<tr>
<th>Page #</th>
<th>Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>______</td>
<td>(a) Projects funded under this notice must make positive efforts to employ and advance in employment qualified individuals with disabilities in project activities. (See Section 606 of IDEA)</td>
</tr>
<tr>
<td>______</td>
<td>(b) Applicants and grant recipients funded under this notice must involve individuals with disabilities or parents of individuals with disabilities ages birth through 26 in planning, implementing, and evaluating the projects. (See Section 682(a)(1)(A) of IDEA)</td>
</tr>
<tr>
<td>______</td>
<td>(c) Applicant must describe steps to ensure equitable access to, and participation in, its program for students, teachers, and other program beneficiaries with special needs. (See Section 427, GEPA)</td>
</tr>
<tr>
<td>______</td>
<td>(d) Projects funded under these priorities must budget for a two-day Project’s Directors’ meeting in Washington, D.C. during each year of the project.</td>
</tr>
</tbody>
</table>

- **PAGE LIMITS**

Please note that all applications submitted under the competition in this application package must adhere to the Part III - Application Narrative page limit requirements that are specified under each priority/competition description. Your application should provide enough information to allow the review panel to evaluate the importance and impact of the project as well as to make knowledgeable judgments about the methods you propose to use (design, subjects, sampling procedures, measures, instruments, data analysis strategies, etc.). It is often helpful to have:

1. **Staff Vitae**--They should include each person's title and role in the proposed project and contain only information that is relevant to this proposed project's activities and/or publications. Vitae for consultants and Advisory Council members should be similarly brief.
(2) **Instruments**--except in the case of generally available and well known instruments.

(3) **Agreements**--when the participation of an agency other than the applicant is critical to the project. This is particularly critical when an intervention will be implemented within an agency, or when subjects will be drawn from particular agencies. Letters of cooperation should be specific, indicating agreement to implement a particular intervention or to provide access to a particular group of students.

The items listed above are not included under page limits.

- **MAKING SURE APPLICATION IS ASSIGNED TO THE CORRECT COMPETITION**

Applicants should clearly indicate in Item 11 on the application (SF Form 424) the CFDA number of the program priority (e.g., 84.327X, etc.) representing the competition in which the application should be considered. If this information is not provided, your application may inadvertently be assigned and reviewed under a different competition from the one you intended.

- **RETURN OF NON-FUNDED APPLICATIONS**

We do not return original copies of applications. Thus, applicants should retain at least one copy of the application. Copies of reviewer comments will be mailed to all applicants.

- **PROPOSED STAFF AVAILABILITY TO PROJECT**

For each staff person named in the application, please provide documentation of all internal and external time commitments. In instances where a staff person is committed on a federally supported project, please provide the project name, Federal office, program title, the project Federal award number, and the amount of committed time by each project year. This information (e.g., Staff: Jane Doe; Project Name: Succeeding in the General Curriculum; Federal office: Office of Special Education Programs; Program title: Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; Award number: H326A030002; Time commitments: Year 1—30%; Year 2—25% and Year 3—40%) can be provided as an Appendix to the application.

In general, we will not reduce time commitments on currently funded grants from the time proposed in the original application. Therefore, we will not consider for funding any application where key staff are bid above a time commitment level that staff have available to bid. Further, the time commitments stated in newly submitted applications will not be negotiated down to permit the applicant to receive a new grant award.

- **USE OF PERSON LOADING CHARTS**

It is important for applicants to include proposed time commitments for all project personnel. Also, program officials and applicants often find person loading charts useful formats for showing project personnel and their time commitments to individual activities. A person loading
chart is a tabular representation of major evaluation activities by number of days spent by each key person involved in each activity, as shown in the following example.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Person A</th>
<th>Person B</th>
<th>Person C</th>
<th>Person D</th>
</tr>
</thead>
<tbody>
<tr>
<td>Library Research</td>
<td>15</td>
<td>20</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Hire Staff</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>5</td>
</tr>
<tr>
<td>Prepare Materials</td>
<td>5</td>
<td>25</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Train Raters</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Data Collection</td>
<td>60</td>
<td>60</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Data Analysis</td>
<td>0</td>
<td>0</td>
<td>25</td>
<td>5</td>
</tr>
<tr>
<td>Dissemination (manuscripts, etc.)</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>10</td>
</tr>
</tbody>
</table>

*Note: All figures represent FTE for the grant year.

• DELIVERING/SENDING APPLICATIONS TO THE COMPETITION MANAGER

Applications can be mailed or hand delivered, or submitted electronically but in either case must go to the Application Control Center at the address listed in the Application Transmittal Instructions. Delivering or sending the application to the competition manager in the program office may prevent it from being logged in on time to the appropriate competition and may result in the application not being reviewed.

• ALLOWED TRAVEL UNDER THESE PROJECTS

Travel is allowed if the travel specifically relates to the expressed goals of the project. Travel by students to further their education under the project's goals is also allowed. Travel to conferences is the travel item that is most likely to be questioned during negotiations. Such travel is sometimes allowed when it is for purposes of dissemination, when there will be results to be disseminated, and when it is clear that a conference presentation or workshop is an effective way of reaching a particular target group.

• FUNDING OF APPROVED APPLICATIONS

It is often the case that the number of applications recommended for approval by the reviewers exceeds the dollars available for funding projects under a particular competition. When the panel reviews are completed for a particular competition, the individual reviewer scores and
applications are ranked. The higher ranked, approved applications are funded first, and there are often lower ranked, approved applications that do not receive funding. Sometimes, one or two applications that are approved and fall next in rank order (after those projects selected for funding) are placed on hold. If dollars become available as a result of negotiations, or if a higher ranked applicant declines the award, the projects on hold may receive funding. If you receive a letter stating that you will not receive funding, then your project has neither been selected for funding nor placed on hold.

• INDIRECT COST RATE

There is no maximum indirect cost for the competitions in this application package. An organization’s current effective indirect cost rate is the rate that should be reflected in your proposed budget. The Department of Education (ED) reimburses grantees for its portion of indirect costs that a grantee incurs in projects funded by the Using Assistive Technology to Support Development and Learning of Infants and Toddlers with Disabilities, Birth through Two competition, 84.327X. Any grantee charging indirect costs to a grant from this program must use the indirect cost rate (ICR), negotiated with its cognizant agency, i.e., either the Federal agency from which it has received the most direct funding, subject to indirect cost support, the particular agency specifically assigned cognizance by the Office of Management and Budget or the State agency that provides the most subgrant funds to the grantee.

Note: Applicants should pay special attention to specific questions on the application budget form (ED 524) about their cognizant agency and the ICR they are using in their budget. If an applicant selected for funding under this program has not already established a current ICR with its cognizant agency as a result of current or previous funding, ED will require it to do so within 90 days after the date the grant was issued by ED. Applicants should be aware that ED is very often not the cognizant agency for its own grantees. Rather, ED accepts, for the purpose of funding its awards, the current ICR established by the appropriate cognizant agency.

An applicant that has not previously established an indirect cost rate with the Federal government or a State agency under a Federal program and that is selected for funding will not be allowed to charge its grant for indirect costs until it has negotiated a current indirect cost rate agreement with its cognizant agency.

Applicants are encouraged to use their accountant (or CPA) to calculate an indirect cost rate using information in the IRS Form 990, audited financial statements, actual cost data or a cost policy statement that such applicants are urged to prepare (but NOT submit to ED) during the application process.

Applicants should use this proposed rate in their application materials and indicate which of the above methods was used to calculate the rate. Guidance for creating a cost policy statement can be obtained by sending an e-mail to katrina.mcdonald@ed.gov.

Applicants with questions about using indirect cost rates under this program should contact the program contact person shown elsewhere in this application package.

• ISSUES RAISED DURING DISCUSSIONS PRIOR TO AWARD
If your application is recommended for funding, discussions may be held prior to award to clarify technical or budget issues. These are issues that have been identified during panel and staff review. Generally, technical issues are minor issues that require clarification. Alternative approaches may be presented for your consideration, or you may be asked to provide additional information or rationale for something you have proposed to do. Sometimes, concerns are stated as "conditions". These are concerns that have been identified as so critical that the award cannot be made unless those conditions are met. Questions are also raised about the proposed budget during the discussion phase. Generally, budget issues are raised because there is inadequate justification or explanation of the particular budget item, or because the budget item does not seem critical to the successful completion of the project. A Federal project officer will present the issues to you and ask you to respond. If you do not understand the question, you should ask for clarification. In responding to discussion items you should provide any additional information or clarification requested. You may feel that an issue was addressed in the application. It may not, however, have been explained in enough detail to make it understood by reviewers, and more information should be provided. If you are asked to make changes that you feel could seriously affect the project's success, you may provide reasons for not making the changes, or provide alternative suggestions. Similarly, if proposed budget reductions will, in your opinion, seriously affect the proposed activities, you may want to explain why and provide additional justification for the proposed expenses. Your changes, explanations, and alternative suggestions will be carefully evaluated by staff. In some instances, an applicant may again be contacted for additional information. An award cannot be made until all issues have been resolved and conditions met.

- **TREATING A PRIORITY AS TWO SEPARATE COMPETITIONS.** In the past, there have been problems in finding peer reviewers without conflicts of interest where applications are made by many entities throughout the country. The Standing Panel requirements also place additional constraints on the availability of reviewers. Therefore, The Department has determined that, for some discretionary priorities, applications may be ranked and selected for funding in two or more groups, which will ensure the availability of a much larger group of reviewers without conflicts of interest. This procedure will increase the quality, independence and fairness of the review process and will permit panel members to review applications under discretionary priorities to which they have also submitted applications.

- **SUCCESSFUL APPLICATIONS AND ESTIMATED/PROJECTED BUDGET AMOUNTS IN SUBSEQUENT YEARS**

There is a maximum award amount specified for the priority/competitions included in this package. The Department rejects and does not consider an application that proposes a budget exceeding the maximum amount for any single budget period of 12 months for the priorities included in this package. Please refer to the priority description to determine the maximum award for any one particular competition. Since the yearly budgets for multi-year projects will be negotiated at the time of the initial award, applicants must include detailed budgets for each year of their proposed project. Generally, out-year funding levels most likely will not exceed 1st year budgets. However, budget modifications during the negotiation process, the findings from the
previous year, or needed changes in the study design can affect your budget requirements in subsequent years, but in no case will out-year budgets exceed the maximum award amount.

• REQUIREMENT TO REPORT THE RESULTS OF GRANT ACTIVITIES

The Department shall, where appropriate, require recipients of all grants, contracts and cooperative agreements under Part D of the Individuals with Disabilities Education Act to prepare reports describing their procedures, findings, and other relevant information. The Department shall require their delivery to the Department of Education and other networks as the Department may determine appropriate. (20 U.S.C. 1482)

• DIFFERENCE BETWEEN A COOPERATIVE AGREEMENT AND A GRANT

A cooperative agreement is similar to a grant in that its principal purpose is to accomplish a public purpose of support or stimulation as authorized by a Federal statute. It differs from a grant in the sense that in a cooperative agreement substantial involvement is anticipated between the executive agency (in this case the Department of Education) and the recipient during the performance of the contemplated activity.

• DIFFERENCE BETWEEN AN ABSOLUTE PRIORITY, AN INVITATIONAL PRIORITY, AND A COMPETITIVE PRIORITY

An absolute priority is a priority that an applicant must address in order to receive an award. If an applicant does not address an absolute priority, their application will be returned as being non-responsive to the priority.

An invitational priority is a priority that reflects a particular interest of the Department, and an applicant is encouraged to address the invitational priority along with the required absolute priority. However, an applicant choosing to address an invitational priority, will not receive any competitive preference over other applications.

A competitive priority is like an invitational priority in that it reflects a particular interest of the Department, and an applicant is encouraged to address the competitive priority along with the required absolute priority. A competitive priority may be handled in one of two ways: (1) an application may be awarded additional points depending on how effectively it addresses the competitive priority; or (2) an application that meets a competitive priority may be selected over an application of comparable merit that does not address the competitive priority. The type of competitive priority for a particular competition is always included in the FEDERAL REGISTER announcement.

• OBTAINING COPIES OF THE FEDERAL REGISTER, PROGRAM REGULATIONS AND FEDERAL STATUTES

Copies of these materials can usually be found at your local library. If not, they can be obtained by writing to:
Information about the Department's funding opportunities, including copies of application notices for discretionary grant competitions, can be viewed on the Department's grant information web page which can be accessed on the INTERNET at:
http://www.ed.gov/about/offices/list/ocfo/gcsindex.html
However, the official application notice for a discretionary grant competition is the notice published in the FEDERAL REGISTER.
APPLICATION TRANSMITTAL INSTRUCTIONS

AND

REQUIREMENTS FOR INTERGOVERNMENTAL REVIEW
Application Transmittal Instructions

ATTENTION ELECTRONIC APPLICANTS: Please note that you must follow the Application Procedures as described in the Federal Register notice announcing the grant competition. Some programs may require electronic submission of applications, and those programs will have specific requirements and waiver instructions in the Federal Register notice.

If you want to apply for a grant and be considered for funding, you must meet the following deadline requirements:

Applications Submitted Electronically

You must submit your grant application through the Internet using the software provided on the Grants.gov Web site (http://www.grants.gov) by 4:30 p.m. (Washington, DC time) on the application deadline date.

If you submit your application through the Internet via the e-Grants Web site, you will receive an automatic acknowledgment when we receive your application.

For more information on using Grants.gov, please refer to the Notice Inviting Applications that was published in the Federal Register, the Grants.gov Submission Procedures and Tips document found in the application package instructions, and visit http://www.grants.gov.

Applications Sent by Mail

You must mail the original and two copies of the application on or before the deadline date to. To help expedite our review of your application, we would appreciate your voluntarily including an additional 3 copies of your application.

Please mail copies to:

U.S. Department of Education
Application Control Center
Attention: CFDA# 84.327X
400 Maryland Avenue, SW
Washington, DC 20202 - 4260

You must show one of the following as proof of mailing:

(1) A legibly dated U. S. Postal Service Postmark.
(2) A legible mail receipt with the date of mailing stamped by the U. S. Postal Service.
(3) A dated shipping label, invoice, or receipt from a commercial carrier.
(4) Any other proof of mailing acceptable to the Secretary.

If you mail an application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:
(1) A private metered postmark.
(2) A mail receipt that is not dated by the U.S. Postal Services.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

**Applications Delivered by Commercial Carrier:**

Special Note: Due to recent disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; or U. S. Postal Service Express Mail) to transmit your application for this competition to the Department. If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Sent by Mail,” then follow the mailing instructions under the appropriate delivery method.

Applications that are delivered by commercial carrier, such as Federal Express, United Parcel Service, etc. should be mailed to the:

**U.S. Department of Education**  
**Application Control Center – Stop 4260**  
**Attention: CFDA# 84.327X**  
**7100 Old Landover Road**  
**Landover, MD 20785-1506**

**Applications Delivered by Hand**

You or your courier must hand deliver the original and number of copies requested of the application by 4:30 p.m. (Washington, DC time) on or before the deadline date. To help expedite our review of your application, we would appreciate your voluntarily including an additional 3 copies of your application.

**Please hand deliver copies to:**

**U.S. Department of Education**  
**Application Control Center**  
**Attention: CFDA# 84.327X**  
**550 12th Street, SW**  
**PCP - Room 7041**  
**Washington, DC 20202-4260**

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, DC time), except Saturdays, Sundays and Federal holidays.
Appendix

Intergovernmental Review of Federal Programs

This appendix applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A listing containing the Single Point of Contact for each State is included in this appendix.

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], U.S. Department of Education, room 7W301, 400 Maryland Avenue, SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS.
STATE SINGLE POINTS OF CONTACT (SPOCs)

It is estimated that in 2004 the Federal Government will outlay $400 billion in grants to State and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided on the official version: http://www.whitehouse.gov/omb/grants/spoc.html.

States that are not listed on this page have chosen not to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within one of these States, you may still send application materials directly to a Federal awarding agency.


<table>
<thead>
<tr>
<th>ARKANSAS</th>
<th>CALIFORNIA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tracy L. Copeland</td>
<td>Grants Coordination</td>
</tr>
<tr>
<td>Manager, State Clearinghouse</td>
<td>State Clearinghouse</td>
</tr>
<tr>
<td>Office of Intergovernmental</td>
<td>Office of Planning and Research</td>
</tr>
<tr>
<td>Services</td>
<td>P.O. Box 3044, Room 222</td>
</tr>
<tr>
<td>Department of Finance and</td>
<td>Sacramento, California 95812-3044</td>
</tr>
<tr>
<td>Administration</td>
<td>Telephone: (916) 445-0613</td>
</tr>
<tr>
<td>1515 W. 7th Street, Room 412</td>
<td>FAX: (916) 323-3018</td>
</tr>
<tr>
<td>Little Rock, Arkansas 72203</td>
<td><a href="mailto:State.clearinghouse@opr.ca.gov">State.clearinghouse@opr.ca.gov</a></td>
</tr>
<tr>
<td>Telephone: (501) 682-1074</td>
<td></td>
</tr>
<tr>
<td>FAX: (501) 682-5206</td>
<td></td>
</tr>
<tr>
<td><a href="mailto:tracy.copeland@dfa.state.ar.us">tracy.copeland@dfa.state.ar.us</a></td>
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<table>
<thead>
<tr>
<th>DELAWARE</th>
<th>DISTRICT OF COLUMBIA</th>
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</thead>
<tbody>
<tr>
<td>Jennifer L. Carlson</td>
<td>Marlene Jefferson</td>
</tr>
<tr>
<td>Assoc. Fiscal &amp; Policy Analyst</td>
<td>DC Government Office of</td>
</tr>
<tr>
<td>Office of Management and Budget</td>
<td>Partnerships and Grants</td>
</tr>
<tr>
<td>Budget Development, Planning</td>
<td>Development</td>
</tr>
<tr>
<td>&amp; Admin.</td>
<td>414 4th Street, NW</td>
</tr>
<tr>
<td>Haslet Armory, Third Floor</td>
<td>Washington, DC 20001</td>
</tr>
<tr>
<td>122 William Penn Street</td>
<td>Telephone: (202) 727-6518</td>
</tr>
<tr>
<td>Dover, Delaware 19901 SLC D570E</td>
<td>FAX: (202) 727-1652</td>
</tr>
<tr>
<td>Telephone: (302) 739-4206</td>
<td><a href="mailto:marlene.Jefferson@dc.gov">marlene.Jefferson@dc.gov</a></td>
</tr>
<tr>
<td>FAX: (302) 739-5661</td>
<td></td>
</tr>
<tr>
<td><a href="mailto:jennifer.carlson@state.de.us">jennifer.carlson@state.de.us</a></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
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<th>GEORGIA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lauren P. Milligan</td>
<td>Barbara Jackson</td>
</tr>
<tr>
<td>Florida State Clearinghouse</td>
<td>Georgia State Clearinghouse</td>
</tr>
<tr>
<td>Florida Dept. of Environmental</td>
<td>270 Washington Street, SW, 8th</td>
</tr>
<tr>
<td>Protection</td>
<td>Floor</td>
</tr>
<tr>
<td>3900 Commonwealth Boulevard</td>
<td>Atlanta, Georgia 30334</td>
</tr>
<tr>
<td>Mall Station 47</td>
<td>Telephone: (404) 656-3855</td>
</tr>
<tr>
<td></td>
<td>FAX: (404) 656-7901</td>
</tr>
<tr>
<td>State</td>
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<tr>
<td>Florida</td>
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<td>Iowa</td>
<td>Kathy Mable</td>
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<td>Kentucky</td>
<td>Ron Cook</td>
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<tr>
<td>Maine</td>
<td>Joyce Benson</td>
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<tr>
<td>Maryland</td>
<td>Linda C. Janey, J.D.</td>
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<tr>
<td>Michigan</td>
<td>William Parkus</td>
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<tr>
<td>Mississippi</td>
<td>Janet Riddell</td>
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<tr>
<td>Missouri</td>
<td>Sara VanderFeltz</td>
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<td>NEW HAMPSHIRE</td>
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</table>
| Zofia Targosz  
Department of Administration  
Nevada State Clearinghouse  
Coordinator/SPOC  
209 E. Musser Street, Room 200  
Carson City, Nevada 89701  
Telephone: (775) 684-0209  
FAX: (775) 684-0260  
clearinghouse@budget.state.nv.us | Jack Ruderman  
Acting Director, New Hampshire Office of  
Energy and Planning  
Attn: Intergovernmental Review Process  
James P. Taylor  
57 Regional Drive  
Concord, New Hampshire 03301-8519  
Telephone: (603) 271-2155  
FAX: (603) 271-2615  
irp@nh.gov |

<table>
<thead>
<tr>
<th>NEW YORK</th>
<th>NORTH DAKOTA</th>
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</table>
| Linda Shkrell  
Office of Public Security  
Homeland Security Grants Coordination  
633 3rd Avenue  
New York, NY 10017  
Telephone: (212) 867-1289  
FAX: (212) 867-1725 | Jim Boyd  
ND Department of Commerce  
1600 East Century Avenue, Suite 2  
P.O. Box 2057  
Bismarck, North Dakota 58502-2057  
Telephone: (701) 328-2676  
FAX: (701) 328-2308  
jboyd@state.nd.us |

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<thead>
<tr>
<th>RHODE ISLAND</th>
<th>SOUTH CAROLINA</th>
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</table>
| Joyce Karger  
Department of Administration  
One Capitol Hill  
Providence Rhode Island 02908-5870  
Telephone: (401) 222-6181  
FAX: (401) 222-2083  
jkarger@doa.state.ri.us | Jean Ricard  
Office of State Budget  
1201 Main Street, Suite 870  
Columbia, South Carolina 29201  
Telephone: (803) 734-1314  
FAX: (803) 734-0645  
ricard@budget.sc.us |

<table>
<thead>
<tr>
<th>TEXAS</th>
<th>UTAH</th>
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</thead>
</table>
| Denise S. Francis  
Director, State Grants Team  
Governor’s Office of Budget and Planning  
P.O. Box 12428  
Austin, Texas 78711  
Telephone: (512) 305-9415  
FAX: (512) 936-2681  
dfrancis@governor.state.tx.us | Sophia DiCaro  
Utah State Clearinghouse  
Governor’s Office of Planning and Budget  
Utah  
Capitol Complex  
Suite E210, P.O. Box 142210  
Salt Lake City, Utah 84114-2210  
Telephone: (801) 538-1027  
FAX: (801) 538-1547  
ddicaro@utah.gov |

<table>
<thead>
<tr>
<th>WEST VIRGINIA</th>
<th>WISCONSIN</th>
</tr>
</thead>
</table>
| Bobby Lewis, Director  
Community Development Division  
West Virginia Development Office  
Building #6, Room 553  
Charleston, West Virginia 25305  
Telephone: (304) 558-4010  
FAX: (304) 558-3248  
rlewis@wvdo.org | Division of Intergovernmental Relations  
Wisconsin Department of Administration  
101 East Wilson Street, 10th Floor  
P.O. Box 8944  
Madison, Wisconsin 53708  
Telephone: (608) 266-7043  
FAX: (608) 267-6917  
SPOC@doa.state.wi.us |

<table>
<thead>
<tr>
<th>AMERICAN SAMOA</th>
<th>GUAM</th>
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<tbody>
<tr>
<td>Pat M. Galea’i</td>
<td></td>
</tr>
<tr>
<td>State</td>
<td>Contact Person</td>
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<tr>
<td>American Samoa</td>
<td>Federal Grants/Programs Coordinator</td>
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<td>NORTH MARIANA ISLANDS</td>
<td>Ms. Jacoba T. Seman</td>
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<td>PUERTO RICO</td>
<td>Jose Caballero / Mayra Silva</td>
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<tr>
<td>VIRGIN ISLANDS</td>
<td>Ira Mills</td>
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Changes to this list can be made only after OMB is notified by a State’s officially designated representative. E-mail messages can be sent to TWhitney@omb.eop.gov. If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management
Office of Management and Budget
New Executive Office Building, Suite 6025
725 17th Street, NW
Washington, DC 20503

Please note: Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the Catalog of Federal Domestic Assistance or CFDA http://www.cfda.gov and the Grants.gov website (http://www.grants.gov).
NOTICE TO ALL APPLICANTS

(ENSURING EQUITABLE ACCESS)

APPLICATION FORMS AND INSTRUCTIONS
NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity.

The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

(1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

(2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.

(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.
Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0007. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, SW, Washington, DC 20202-4250.
APPLICATION FORMS AND INSTRUCTIONS

The application is divided into four parts. These parts are organized in the same manner that the submitted application should be organized. These parts are as follows:

Part I: Application for Federal Assistance (SF 424) and Instructions.

Part II: Budget Information -- Non-Construction Programs (ED Form 524) and Instructions.

Part III: Application Narrative.

Part IV: Assurances and Certifications --

Assurances -- Non-Construction Programs (Standard Form 424B).

Certifications Regarding Lobbying (ED Form 80-0013).

Disclosure of Lobbying Activities.

An applicant may submit information on a photostatic copy of the application and budget forms, the assurances, and the certifications. However, the application form, the assurances, and the certifications must each have an original signature. No grant may be awarded unless a completed application form has been received.
### Application for Federal Assistance SF-424

**Version 02**

<table>
<thead>
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<th>*2. Type of Application</th>
<th>* If Revision, select appropriate letter(s)</th>
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<td>☐ Preapplication</td>
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<td>☐ Application</td>
<td>☐ Continuation</td>
<td>*Other (Specify)</td>
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**State Use Only:**

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**8. APPLICANT INFORMATION:**

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<td>Division Name:</td>
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**f. Name and contact information of person to be contacted on matters involving this application:**

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<th>*First Name:</th>
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OMB Number: 4040-0004
Expiration Date: 01/31/2009
9. Type of Applicant 1: Select Applicant Type:

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

*Other (Specify)

10. Name of Federal Agency:

11. Catalog of Federal Domestic Assistance Number:

CFDA Title:

12. Funding Opportunity Number:

*Title:

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

15. Descriptive Title of Applicant’s Project:
16. Congressional Districts Of:
   *a. Applicant:            *b. Program/Project:

17. Proposed Project:
   *a. Start Date:            *b. End Date:

18. Estimated Funding ($):
   *a. Federal
   *b. Applicant
   *c. State
   *d. Local
   *e. Other
   *f. Program Income
   *g. TOTAL

19. Is Application Subject to Review By State Under Executive Order 12372 Process?
   - □ a. This application was made available to the State under the Executive Order 12372 Process for review on ______
   - □ b. Program is subject to E.O. 12372 but has not been selected by the State for review.
   - □ c. Program is not covered by E. O. 12372

20. Is the Applicant Delinquent On Any Federal Debt? (If “Yes”, provide explanation.)
   - □ Yes            □ No

21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U. S. Code, Title 218, Section 1001)
   - □ ** I AGREE

   ** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions

Authorized Representative:

Prefix:    ___________  *First Name:    ________________
Middle Name:    ___________
*Last Name:    ________________
Suffix:    ___________
*Title:    ________________
*Telephone Number:    Fax Number:    
*Email:    

*Signature of Authorized Representative:    *Date Signed:
**Applicant Federal Debt Delinquency Explanation**

The following should contain an explanation if the Applicant organization is delinquent of any Federal Debt.
INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

<table>
<thead>
<tr>
<th>Item</th>
<th>Entry</th>
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<tbody>
<tr>
<td>1.</td>
<td><strong>Type of Submission:</strong> (Required): Select one type of submission in accordance with agency instructions.</td>
</tr>
<tr>
<td></td>
<td>• Preapplication</td>
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<td>• Application</td>
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<tr>
<td></td>
<td>• Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.</td>
</tr>
<tr>
<td>10.</td>
<td><strong>Name Of Federal Agency:</strong> (Required): Enter the name of the Federal agency from which assistance is being requested with this application.</td>
</tr>
<tr>
<td>11.</td>
<td><strong>Catalog Of Federal Domestic Assistance Number/Title:</strong> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.</td>
</tr>
<tr>
<td>12.</td>
<td><strong>Funding Opportunity Number/Title:</strong> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.</td>
</tr>
<tr>
<td>13.</td>
<td><strong>Competition Identification Number/Title:</strong> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.</td>
</tr>
<tr>
<td>14.</td>
<td><strong>Areas Affected By Project:</strong> List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.</td>
</tr>
<tr>
<td>15.</td>
<td><strong>Descriptive Title of Applicant's Project:</strong> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.</td>
</tr>
<tr>
<td>16.</td>
<td><strong>Congressional Districts Of:</strong> (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the project or program. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5th district, CA-012 for California 12th district, NC-103 for North Carolina’s 103rd district.</td>
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<tr>
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<td>• If all congressional districts in a state are affected, enter “all” for the district number, e.g., MD-all for all congressional districts in Maryland.</td>
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<td>• If nationwide, i.e. all districts within all states are affected, enter US-all.</td>
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<td>• If the program/project is outside the US, enter 00-000.</td>
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<tr>
<td>17.</td>
<td><strong>Proposed Project Start and End Dates:</strong> (Required) Enter the proposed start date and end date of the project.</td>
</tr>
<tr>
<td>18.</td>
<td><strong>Estimated Funding:</strong> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.</td>
</tr>
</tbody>
</table>
| 19.  | **Is Application Subject to Review by State Under Executive Order 12372 Process?** Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the
f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.

State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.

<table>
<thead>
<tr>
<th>Question</th>
<th>Instructions</th>
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<tr>
<td>f. Name</td>
<td>Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</td>
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</table>

20. Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. If yes, include an explanation on the continuation sheet.

<table>
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<tr>
<th>Question</th>
<th>Instructions</th>
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<tbody>
<tr>
<td>20. Is the Applicant Delinquent on any Federal Debt?</td>
<td>Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. If yes, include an explanation on the continuation sheet.</td>
</tr>
</tbody>
</table>

21. Authorized Representative: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.

A copy of the governing body’s authorization for you to sign this application as the official representative must be on file in the applicant’s office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

<table>
<thead>
<tr>
<th>Question</th>
<th>Instructions</th>
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<tbody>
<tr>
<td>21. Authorized Representative</td>
<td>To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body’s authorization for you to sign this application as the official representative must be on file in the applicant’s office.</td>
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<thead>
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<th>Type of Applicant</th>
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<td>B. County Government</td>
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<tr>
<td>C. City or Township Government</td>
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<tr>
<td>D. Special District Government</td>
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<td>G. Independent School District</td>
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<td>H. Public/State Controlled Institution of Higher Education</td>
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<td>I. Indian/Native American Tribal Government (Federally Recognized)</td>
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<td>J. Indian/Native American Tribal Government (Other than Federally Recognized)</td>
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<td>K. Indian/Native American Tribally Designated Organization</td>
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<td>L. Public/Indian Housing Authority</td>
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<td>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</td>
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<td>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</td>
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<td>O. Private Institution of Higher Education</td>
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<td>P. Individual</td>
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<td>Q. For-Profit Organization (Other than Small Business)</td>
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<td>R. Small Business</td>
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<td>S. Hispanic-serving Institution</td>
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<td>T. Historically Black Colleges and Universities (HBCUs)</td>
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<td>U. Tribally Controlled Colleges and Universities (TCCUs)</td>
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<td>V. Alaska Native and Native Hawaiian Serving Institutions</td>
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<td>W. Non-domestic (non-US) Entity</td>
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<td>X. Other (specify)</td>
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</tbody>
</table>
1. **Project Director:**

Prefix:  *First Name:  Middle Name:  *Last Name:  Suffix:

Address:

* Street1:  
Street2:  
* City:  
County:  
* State:  * Zip Code:  * Country:  
* Phone Number (give area code)  Fax Number (give area code)  
Email Address:

2. **Applicant Experience:**  
   □  □  □  □  
   Novice Applicant  Yes  No  Not applicable to this program

3. **Human Subjects Research:**

   Are any research activities involving human subjects planned at any time during the proposed project Period?  
   □  Yes  □  No  

   Are ALL the research activities proposed designated to be exempt from the regulations?  
   □  Yes  Provide Exemption(s) #:  
   □  No  Provide Assurance #, if available:

**Please attach an explanation Narrative:**
INSTRUCTIONS FOR
DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

1. **Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.

2. **Novice Applicant.** Check “Yes” or “No” only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, leave blank.

   Check “Yes” if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.” By checking “Yes” the applicant certifies that it meets these novice applicant requirements. Check “No” if you do not meet the requirements for novice applicants.

3. **Human Subjects Research.** (See I. A. “Definitions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

   **If Not Human Subjects Research.** Check “No” if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable.

   **If Human Subjects Research.** Check “Yes” if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check “Yes” even if the research is exempt from the regulations for the protection of human subjects. (See I. B. “Exemptions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

   **3a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”

   **3a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check “No” if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the page entitled “Definitions for Department of Education Supplemental Information For SF 424”

3a. **Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

**Paperwork Burden Statement.** According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street, S.W. Room 7076, Washington, D.C. 20202-4260.
Definitions:

Novice Applicant (See 34 CFR 75.225). For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant’s project or funding period, including any extensions of those periods that extend the grantee’s authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department’s regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research. Activities which meet this definition constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” (1) If an activity involves obtaining information about a living person by manipulating that person or that person’s environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met. [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the only involvement of human subjects will be in one or more of the following six categories of exemptions are not covered by the regulations:

1. Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

2. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects’ responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects’ financial standing, employability, or reputation. If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed. [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

3. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview
procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked “Yes” for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

A. Exempt Research Narrative.

If you marked “Yes” for item 3 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked “No” for item 3 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) Human Subjects Involvement and Characteristics: Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable.

(2) Sources of Materials: Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) Recruitment and Informed Consent: Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) Potential Risks: Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) Protection Against Risk: Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) Importance of the Knowledge to be Gained: Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) Collaborating Site(s): If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.


NOTE: The State Applicant Identifier on the SF 424 is for State Use only. Please complete it on the OMB Standard 424 in the upper right corner of the form (if applicable).
Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

### SECTION A - BUDGET SUMMARY

#### U.S. DEPARTMENT OF EDUCATION FUNDS

<table>
<thead>
<tr>
<th>Budget Categories</th>
<th>Project Year 1 (a)</th>
<th>Project Year 2 (b)</th>
<th>Project Year 3 (c)</th>
<th>Project Year 4 (d)</th>
<th>Project Year 5 (e)</th>
<th>Total (f)</th>
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<td>7. Construction</td>
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<td>9. Total Direct Costs (lines 1-8)</td>
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<td>11. Training Stipends</td>
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<td>12. Total Costs (lines 9-11)</td>
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*Indirect Cost Information (To Be Completed by Your Business Office):

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

1. Do you have an Indirect Cost Rate Agreement approved by the Federal government?  ____Yes  ____No

2. If yes, please provide the following information:
   - Period Covered by the Indirect Cost Rate Agreement: From: ___/___/______ To: ___/___/______ (mm/dd/yyyy)
   - Approving Federal agency: ____ ED  ____ Other (please specify): __________________________

3. For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:
   - ____ Is included in your approved Indirect Cost Rate Agreement? or  ____ Complies with 34 CFR 76.564(c)(2)?

ED 524
Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

### SECTION B - BUDGET SUMMARY

#### NON-FEDERAL FUNDS

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<th>Project Year 4 (d)</th>
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### SECTION C – BUDGET NARRATIVE (see instructions)
Instructions for ED 524

General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. Please consult with your Business Office prior to submitting this form.

Section A - Budget Summary

U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

Indirect Cost Information:
If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. (2): If you checked “yes” in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check “Other,” specify the name of the Federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

Section B - Budget Summary

Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

Section C - Budget Narrative [Attach separate sheet(s)]

Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.

2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.

3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of “Training grants” (34 CFR 75.562) and grants under programs with “Supplement not Supplant” requirements (“Restricted Rate” programs) by a “modified total direct cost” (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for “Training grants” or grants under “Restricted Rate” programs, you must refer to the information and examples on ED’s website at: http://www.ed.gov/fund/grant/apply/appforms/appforms.html.

You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

4. Provide other explanations or comments you deem necessary.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0004. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.
PART III - APPLICATION NARRATIVE

This narrative section of the application requires applicants to address the selection criteria that will be used by reviewers in evaluating individual applications. Please refer to the “Selection Criteria and Format” sections in this package for the competition to which you wish to submit an application.

Also, all of the competitions covered by this package have page limitations for the application narrative. Please refer to the “Page Limits” information for the competition to which you wish to submit an application.
ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.


14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, “Audits of States, Local Governments, and Non-Profit Organizations.”

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

<table>
<thead>
<tr>
<th>SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</th>
<th>TITLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>APPLICANT ORGANIZATION</td>
<td>DATE SUBMITTED</td>
</tr>
</tbody>
</table>

Standard Form 424B (Rev. 7-97) Back
CERTIFICATION REGARDING LOBBYING
Certification for Contracts, Grants, Loans and Cooperative Agreements.

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal Loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.

(2) If any funds other Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form – LLL, “Disclosure of Lobbying Activities,” in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance.

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, “Disclosure of Lobbying Activities,” in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Applicant's Organization

Printed Name of Authorized Representative               Printed Title of Authorized Representative

Signature                                                                     Date

ED80-0013  08/05
Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure)

<table>
<thead>
<tr>
<th>1. Type of Federal Action:</th>
<th>2. Status of Federal Action:</th>
<th>3. Report Type:</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. contract</td>
<td>a. bid/offer/application</td>
<td>a. initial filing</td>
</tr>
<tr>
<td>b. grant</td>
<td>b. initial award</td>
<td>b. material change</td>
</tr>
<tr>
<td>c. cooperative agreement</td>
<td>c. post-award</td>
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<tr>
<td>d. loan</td>
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<tr>
<td>e. loan guarantee</td>
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<tr>
<td>f. loan insurance</td>
<td></td>
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</tr>
</tbody>
</table>

2. Status of Federal Action:
- bid/offer/application
- initial award
- post-award

3. Report Type:
- initial filing
- material change

4. Name and Address of Reporting Entity:
- Prime
- Subawardee
- Tier, if known

5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:
- Congressional District, if known:
- Federal Department/Agency:
- Federal Program Name/Description:
- CFDA Number, if applicable:

6. Federal Action Number, if known:

7. Award Amount, if known:

8. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI):

9. b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):

10. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

11. Signature: ____________________________
    Print Name: ____________________________
    Title: ________________________________
    Telephone No.: ______________ Date: ______

Authorized for Local Reproduction
Standard Form - LLL (Rev. 7-97)
INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5. If the organization filing the report in item 4 checks “Subawardee,” then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.

6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., “RFP-DE-90-001.”

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

   (b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.
Survey on Ensuring Equal Opportunity for Applicants

Purpose: The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information provided on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

Instructions for Submitting the Survey: If you are applying using a hard copy application, please place the completed survey in an envelope labeled “Applicant Survey.” Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

Applicant’s (Organization) Name: ______________________________________________________________

Applicant’s DUNS Number: ___________________________________________________________________

Federal Program: __________________________________________________CFDA Number: ___________

1. Has the applicant ever received a grant or contract from the Federal government?
   Yes  No

2. Is the applicant a faith-based organization?
   Yes  No

3. Is the applicant a secular organization?
   Yes  No

4. Does the applicant have 501(c)(3) status?
   Yes  No

5. Is the applicant a local affiliate of a national organization?
   Yes  No

6. How many full-time equivalent employees does the applicant have? (Check only one box).
   3 or Fewer  15-50
   4-5  51-100
   6-14  over 100

7. What is the size of the applicant’s annual budget? (Check only one box.)
   Less Than $150,000
   $150,000 - $299,999
   $300,000 - $499,999
   $500,000 - $999,999
   $1,000,000 - $4,999,999
   $5,000,000 or more
Survey Instructions on Ensuring Equal Opportunity for Applicants

Provide the applicant’s (organization) name and DUNS number and the grant name and CFDA number.

1. Self-explanatory.

2. Self-identify.


4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.

5. Self-explanatory.

6. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.

7. Annual budget means the amount of money your organization spends each year on all of its activities.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: The Agency Contact listed in this grant application package.

OMB No. 1890-0014 Exp. 02/28/09
What is GPRA

The Government Performance and Results Act of 1993 is a straightforward statute that requires all Federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report its progress to the Congress. In doing so, it is expected that GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of Federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

How has the United States Department of Education responded to the GPRA Requirements?

As required by GPRA, the United States Department of Education (the Department) has prepared a strategic plan for 2002-2007. This plan reflects the Department’s priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the United States. The Department’s goals, as listed in the plan, are:

**Goal 1:** Create a Culture of Achievement: Create a culture of achievement throughout the nation’s education system by effectively implementing the new law, the No Child Left Behind Act of 2001, and by basing all federal education programs on its principles: accountability, flexibility, expanded parental options and doing what works.

**Goal 2:** Improve Student Achievement: Improve student achievement for all groups of students by putting reading first, expanding high-quality mathematics and science teaching, reforming high schools, and boosting teacher and principal quality, thereby closing the achievement gap.

**Goal 3:** Develop Safe Schools and Strong Character: Establish disciplined and drug-free education environments that foster the development of good character and citizenship.

**Goal 4:** Transform Education into an Evidence-based Field: Strengthen the quality of education research.

**Goal 5:** Enhance the Quality of and Access to Postsecondary and Adult Education: Increase opportunities for students and the effectiveness of institutions.

**Goal 6:** Establish Management Excellence: Create a culture of accountability throughout the Department of Education.
DUNS Number Instructions

D-U-N-S No.: Please provide the applicant's D-U-N-S Number. You can obtain your D-U-N-S Number at no charge by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:

http://www.dnb.com/dbis/aboutdb/intlduns.htm

The D-U-N-S Number is a unique nine-digit number that does not convey any information about the recipient. A built in check digit helps assure the accuracy of the D-U-N-S Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a D-U-N-S Number has been entered correctly.

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide.
GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT

If you fail to receive the notification of application within fifteen (15) days from the closing date, call:

U.S. Department of Education
Application Control Center
(202) 245-6288

GRANT AND CONTRACT FUNDING INFORMATION

The Department of Education provides information about grant and contract opportunities electronically in several ways:

ED Internet Home Page http://www.ed.gov/ (WWW address)