

# Archived Information

U.S. Department of Education  
Office of Educational Research and Improvement  
Washington, DC 20208

## **Application for the Program of Research on Reading Comprehension**

**CFDA Number 84.305G**

Deadline for Transmittal of Applications: May 31, 2002

Approved OMB Number 1890-0009  
Expiration Date: 6/30/02

## 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 1890-0009. The time required to complete this information collection is estimated to average 15 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:** 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:** Elizabeth Payer, U.S. Department of Education, 555 New Jersey Avenue, NW, Washington, D.C. 20208.

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4000-01-U

DEPARTMENT OF EDUCATION

(CFDA No. 84.305G)

Office of Educational Research and Improvement (OERI)

Program of Research on Reading Comprehension

Notice inviting applications for new awards for fiscal year  
(FY) 2002.

PURPOSE OF PROGRAM: The purpose of the Program of Research on Reading Comprehension is to expand scientific knowledge of how students develop proficient levels of reading comprehension, how reading comprehension can be taught most optimally, and how reading comprehension can be assessed in ways that reflect as well as advance our current understanding of reading comprehension and its development. The overarching goal of this program is to establish a scientific foundation for educational practice by supporting research on reading comprehension that is likely to produce substantial gains in academic achievement.

For FY 2002 the competition for new awards focuses on projects designed to meet the priority we describe in the PRIORITY section of this notice.

ELIGIBLE APPLICANTS: Institutions of higher education, regional educational laboratories, public or private

organizations, institutions, agencies, and individuals, or a consortium thereof.

DEADLINE FOR RECEIPT OF LETTER OF INTENT: April 29, 2002.

A Letter of Intent is optional, but encouraged, for each application. The Letter of Intent should be submitted by e-mail to

[PRRCLettersofIntent@ed.gov](mailto:PRRCLettersofIntent@ed.gov)

Receipt of the Letter of Intent will be acknowledged by e-mail. The Letter of Intent should not exceed one page in length and should: include a title and brief description of the research project; identify the Principal Investigator(s) and any Co-Principal Investigator(s); indicate the institutional affiliations of the Principal Investigator(s) and Co-Principal Investigator(s); indicate the duration of the proposed project; and provide an estimated budget request by year, and a total budget request. The Letter of Intent is for OERI planning purposes and will not be used in the evaluation of the application.

APPLICATIONS AVAILABLE: April 10, 2002

DEADLINE FOR TRANSMITTAL OF APPLICATIONS: 4:30 p.m.

Washington DC time on May 31, 2002.

ESTIMATED AVAILABLE FUNDS: \$4.5 million.

ESTIMATED RANGE OF AWARDS: \$75,000 to \$500,000 (for 12 months). The size of the awards will be commensurate with the nature and scope of the work proposed.

ESTIMATED NUMBER OF AWARDS: 10.

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

PROJECT PERIOD: Up to 36 months.

PAGE LIMITS: The application must include the following sections: Application for Federal Assistance (ED 424 Standard Face Sheet), one-page abstract, research narrative, literature cited, curriculum vitae for principal investigator(s) and other key personnel, budget summary form (ED 524) with budget narrative, appendix, and statement of equitable access (GEPA 427). The research narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the research narrative (text plus all figures, charts, tables, and diagrams) to the equivalent of 25 pages and the appendix to 20 pages, using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the research 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 the Application for Federal Assistance (ED 424 Standard Face Sheet), the one-page abstract, the budget summary form (ED 524) and narrative budget justification, the curriculum vitae, and literature cited. Nor does the limit apply to the assurances and certifications, which must be submitted before any award is made, but do not have to be submitted with the initial application.

Our reviewers will not read any pages of your application that--

- Exceed the page limit if you apply these standards;  
or
- Exceed the equivalent of the page limit if you apply other standards.

We have found that reviewers are able to conduct the highest quality review when applications are concise and easy to read, with pages consecutively numbered.

APPLICABLE REGULATIONS: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts

74, 75 (except as limited in 34 CFR 700.5), 77, 80, 81, 82, 85, 86 (part 86 applies only to Institutions of Higher Education), 97, 98, and 99. (b) The regulations in 34 CFR part 700.

SUPPLEMENTARY INFORMATION:

Background

Substantial research evidence has accrued concerning early literacy skills. Translating this research into practice should produce improvement of basic decoding and word recognition skills. According to recent reviews, such as the RAND Reading Study Group Report (2001), however, relatively little research has been aimed at reading comprehension. Comprehension builds on early skills, but involves processing of connected discourse and other complex verbal materials that are essential for academic success after the early elementary years. Indeed, reading achievement, as estimated by State and national test scores, typically declines after 4<sup>th</sup> grade. Research is needed that addresses this critical juncture between learning to read and reading to learn, including its antecedents in early childhood as well as consequences for later development. To that end, the Program of Research on Reading Comprehension is designed to expand scientific knowledge of how students develop proficient reading

comprehension, how reading comprehension can best be taught, and how reading comprehension can be assessed in ways that reflect as well as advance current understanding of comprehension processes. Specifically, an important component of the program is to obtain converging evidence on development and assessment of comprehension that coheres with scientifically supported theories, and that advances such theories by subjecting their core predictions to empirical tests. A further purpose is to provide a scientific foundation for approaches to comprehension instruction that allow students to achieve proficient comprehension across a range of texts and subjects.

PRIORITY

This competition focuses on projects designed to meet the priority in the notice of final priority for this program, published elsewhere in this issue of the Federal Register. The title of this priority is Program of Research on Reading Comprehension. For FY 2002 this priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet the priority.

SELECTION CRITERIA: The Secretary selects the following selection criteria in 34 CFR 700.30(e) to evaluate applications for new grants under this competition. The

proportionate percentage weight for each criterion is indicated in parentheses.

(a) National Significance (.2)

(b) Quality of the Project Design (.5)

(c) Quality and Potential Contributions of Personnel  
(.2)

(d) Adequacy of Resources (.1)

Strong applications for Program of Research on Reading Comprehension (PRRC) grants clearly address each of the applicable selection criteria. They make a well-reasoned and compelling case for the national significance of the problems or issues that will be the subject of the proposed research, and present a research design that is complete, clearly delineated, and incorporates sound research methods. In addition, the personnel descriptions included in strong applications make it apparent that the project director, principal investigator, and other key personnel possess training and experience commensurate with their duties.

COLLABORATION: We encourage collaboration in the conduct of research. For example, major research universities and institutions may collaborate with historically underrepresented institutions, such as Historically Black

Colleges and Universities, Hispanic-Serving Institutions, and Tribal Colleges and Universities.

PRE-APPLICATION MEETING: April 22, 2002.

Interested parties are invited to participate in a pre-application meeting to discuss the funding priority. In the meeting, participants will receive technical assistance and information about the funding priority. Participants are also encouraged to use this meeting to engage in substantive discussion about prior empirical research and the nature of high quality research in this area. You may attend the meeting in person at the Department of Education, Office of Educational Research and Improvement, 555 New Jersey Avenue, NW., room 101, Washington, DC, between 1:00 p.m. and 4:00 p.m. A summary of the meeting will be posted on the Internet at:

<http://www.ed.gov/offices/OERI>

Assistance to Individuals with Disabilities at the Meeting

The meeting site is accessible to individuals with disabilities. If you will need an auxiliary aid or service to participate in the meeting (e.g., interpreting service, assistive listening device, or materials in an alternative format), notify the contact person listed under FOR FURTHER INFORMATION CONTACT at least two weeks before the scheduled meeting date. Although we will attempt to meet a request

we receive after that date, we may not be able to make available the requested auxiliary aid or service because of insufficient time to arrange it.

#### APPLICATION PROCEDURES

The Government Paperwork Elimination Act (GPEA) of 1998, (Pub. L.105-277) and the Federal Financial Assistance Management Improvement Act of 1999, (Pub. L. 106-107) encourage us to undertake initiatives to improve our grant processes. Enhancing the ability of individuals and entities to conduct business with us electronically is a major part of our response to these Acts. Therefore, we are taking steps to adopt the Internet as our chief means of conducting transactions in order to improve services to our customers and to simplify and expedite our business processes.

We are requiring that applications to the FY 2002 Program of Research on Reading Comprehension be submitted electronically using e-Application available through the Education Department's e-GRANTS system. The e-GRANTS system is accessible through its portal page at:

<http://e-grants.ed.gov/>

Applicants who are unable to submit an application through the e-GRANTS system may apply for a waiver to the electronic submission requirement. To apply for a waiver,

applicants must explain the reason(s) that prevent them from using the Internet to submit their applications. The reasons(s) must be outlined in a letter addressed to: Anne Sweet or Rita Foy, U.S. Department of Education, 555 New Jersey Avenue, NW, room 513, Washington, DC 20208-5573. Please submit your letter no later than two weeks before the closing date.

Any application that receives a waiver to the electronic submission requirement will be given the same consideration in the review process as an electronic application.

#### Waiver of Proposed Rulemaking

Some of the procedures in these instructions for transmitting applications differ from those in the Education Department General Administrative Regulations (EDGAR) (34 CFR 75.102). Under the Administrative Procedure Act (5 U.S.C. 553) the Department generally offers interested parties the opportunity to comment on proposed regulations. However, these amendments make procedural changes only and do not establish new substantive policy. Therefore, under 5 U.S.C. 553(b)(A), the Secretary has determined that proposed rulemaking is not required.

## Pilot Project for Electronic Submission of Applications

In FY 2002, the U.S. Department of Education is continuing to expand its pilot project of electronic submission of applications to include additional formula grant programs and additional discretionary grant competitions. The Program of Research on Reading Comprehension - CFDA 84.305G is one of the programs included in the pilot project. If you are an applicant under the Program of Research on Reading Comprehension, you must submit your application to us in electronic format or receive a waiver.

The pilot project involves the use of the Electronic Grant Application System (e-APPLICATION, formerly e-GAPS) portion of the Grant Administration and Payment System (GAPS). We shall continue to evaluate its success and solicit suggestions for improvement.

Please note the following:

- Do not wait until the deadline date for the transmittal of applications to submit your application electronically. If you wait until the deadline date to submit your application electronically and you are unable to access the e-Application system, you must contact the Help Desk by 4:30 p.m. Washington DC time on the deadline date.

- Keep in mind that e-Application is not operational 24 hours a day every day of the week. Click on Hours of Web Site Operation for specific hours of access during the week.
- You will have access to the e-Application Help Desk for technical support: 1-888-336-8930 (TTY: 1-866-697-2696, local 202-401-8363). The Help Desk hours of operation are limited to: 8 a.m.-6 p.m. Washington DC time Monday-Friday.
- If you submit your application electronically by the transmittal date but also wish to submit a paper copy of your application, then you must mail the paper copy of the application on or before the deadline date to:

U. S. Department of Education  
Application Control Center  
Attention: CFDA # 84.305G  
7<sup>th</sup> and D Streets, SW.  
Room 3633  
Regional Office Building 3  
Washington, DC 20202-4725

- You can submit all documents electronically, including the Application for Federal Assistance (ED 424 Standard Face Sheet), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.
- Within three working days of submitting your electronic application, fax a signed copy of the Application for

Federal Assistance (ED 424 Standard Face Sheet) to the Application Control Center after following these steps:

1. Print ED 424 from the e-APPLICATION system.
  2. Make sure that the institution's Authorizing Representative signs this form.
  3. Before faxing this form, submit your electronic application via the e-APPLICATION system. You will receive an automatic acknowledgement, which will include a PR/Award number (an identifying number unique to your application).
  4. Place the PR/Award number in the upper right hand corner of ED 424.
  5. Fax ED 424 to the Application Control Center at (202) 260-1349.
- We may request that you give us original signatures on all other forms at a later date.

You may access the electronic grant application for the PRRC at:

<http://e-grants.ed.gov/>

FOR FURTHER INFORMATION CONTACT: Anne P. Sweet or Rita Foy Moss, U.S. Department of Education, 555 New Jersey Avenue, NW., room 513, Washington, DC 20208-5573. Telephone: (202) 219-0610, or FAX: (202) 219-2135, or via Internet:

[PRRCinfo@ed.gov](mailto:PRRCinfo@ed.gov)

If you use a telecommunications device for the deaf (TDD), you may call the Federal Information Relay Service (FIRS) at 1-800-877-8339.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the program contact person listed under FOR FURTHER INFORMATION CONTACT.

Individuals with disabilities may obtain a copy of the application package in an alternative format by contacting Anne P. Sweet or Rita Foy Moss. However, the Department is not able to reproduce in an alternative format the standard forms included in the application package.

#### Electronic Access To This Document

You may view this document, as well as all other Department of Education documents published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

<http://www.ed.gov/legislation/FedRegister>

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office

(GPO), toll free, at 1-888-293-6498; or in the Washington, DC area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at:

<http://www.access.gpo.gov/nara/index.html>

PROGRAM AUTHORITY: 20 U.S.C. 6031.

Dated: April 4, 2002

(signed)  
\_\_\_\_\_  
Grover J. Whitehurst,  
Assistant Secretary for Educational  
Research and Improvement.

4000-01-U

DEPARTMENT OF EDUCATION

Program of Research on Reading Comprehension

AGENCY: Office of Educational Research and Improvement,  
Department of Education.

ACTION: Notice of final priority.

SUMMARY: The Assistant Secretary announces a final priority for a Program of Research on Reading Comprehension. The Assistant Secretary may use this priority for competitions in fiscal year (FY) 2002 and in later fiscal years. We take this action to build a scientific foundation for educational practice by supporting rigorous research on reading comprehension. We intend this priority to produce research findings that will change instructional practice and promote academic achievement.

EFFECTIVE DATE: This priority is effective (INSERT DATE 30 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER).

FOR FURTHER INFORMATION CONTACT: Anne P. Sweet or Rita Foy Moss, U.S. Department of Education, 555 New Jersey Avenue, NW., room 513, Washington, DC 20208-5573. Telephone: (202) 219-0610 or FAX: (202) 219-2135.

If you use a telecommunications device for the deaf (TDD), you may call the Federal Information Relay Service (FIRS) at 1-800-877-8339.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the contact person listed under FOR FURTHER INFORMATION CONTACT.

SUPPLEMENTARY INFORMATION:

### Background

The Office of Educational Research and Improvement (OERI), authorized under Title IX of Public Law 103-227 (20 U.S.C. 6001 et seq.), supports research and development activities designed to provide essential knowledge for the improvement of education. Although significant advances have been made in knowledge about early reading skills, much less is known about reading comprehension. Reading comprehension is necessary for academic achievement in virtually all school subjects and for economic self-sufficiency in cognitively demanding work environments. Improving reading comprehension, and providing all members of society with equal opportunities to attain a high level of literacy, require a focused program of educational research. Knowledge gained from such educational research can help guide the national investment in education and

support local and State reform efforts. Because this targeted program of research focuses on an enduring problem of practice, it will be the primary mechanism for pursuing new knowledge about reading comprehension.

Prior to publishing the notice of proposed priority, OERI reviewed the Report of the National Reading Panel (2000) and the RAND Reading Study Group Report (2001) to identify the most needed reading research and development activities. Following this review, OERI proposed this priority, recognizing that critical frontiers for reading research, such as deriving empirically-grounded theories of comprehension development and reading instruction across the full range of ages and grades, have barely been broached in the research literature. OERI's Program of Research on Reading Comprehension (PRRC) is intended to expand scientific knowledge of how students develop proficient levels of reading comprehension, how reading comprehension can be taught most optimally, and how reading comprehension can be assessed in ways that reflect as well as advance our current understanding of reading comprehension and its development. An overarching goal of the program is to obtain converging empirical evidence on the development and assessment of comprehension that coheres with scientifically supported theories of the

processes involved in reading comprehension. A further purpose is to provide a scientific foundation for approaches to comprehension instruction that allow students to achieve proficient levels of comprehension across a range of texts and subjects.

We published a notice of proposed priority for this program in the Federal Register on January 22, 2002 (67 FR 2864). Except for minor revisions, there are no differences between the notice of proposed priority and this notice of final priority.

#### Analysis of Comments and Changes

In response to our invitation in the notice of proposed priority, three parties submitted written comments. Letters of support for the Secretary's priority or letters of support for existing teaching practices and programs are not included among this count. The Secretary has reviewed the three public comments and believes that the proposed priority as written is broad enough to encompass the specific research topics recommended by the commenters. An analysis of the comments follows. We group major issues according to subject.

Generally, we do not address technical and other minor changes--and suggested changes the law does not authorize us to make under the applicable statutory authority.

### Comment Related to Middle and High School

Comment: One commenter argued that, in addition to investigating how to obtain proficiency in reading comprehension, how it can be optimally taught, and how it can be assessed, it is critical to examine where reading comprehension should be taught, who should be teaching it, and to whom it should be taught, especially at the middle and high school levels.

Discussion: The Secretary believes that investigation of these three dimensions--where reading comprehension should be taught, who should be teaching it, and to whom it should be taught at the middle and high school levels--is permitted under the priority as proposed.

Changes: None.

### Comment Related to One-to-One Mentoring

Comment: One commenter recommended that additional research be supported that supports the role of one-to-one mentoring using trained community volunteers as an intervention strategy for struggling readers in the area of comprehension.

Discussion: The Secretary believes that such a study is permitted under the priority as proposed (e.g., falling under inquiry area number 2 of the priority).

Changes: None.

### Comment Related to Social Studies

Comment: One comment concerned student comprehension of social studies expository text, and indicated that research on the nature of expository text in social studies (and probably in other subjects) should be included in the priority. The same commenter argued that such a research effort would involve expert analysis of currently published expository text.

Discussion: The Secretary believes that studying the effects of features of expository text on the assessment, development, and improvement of reading comprehension is permissible under the proposed priority. In addition, the Secretary maintains that expert analysis of expository text could play a role in the design of a scientific study using approaches described in the proposed priority.

Changes: None.

Note: This notice does not solicit applications. In any year in which we choose to use this priority, we invite applications through a notice in the Federal Register. When inviting applications we designate the priority as absolute, competitive preference, or invitational.

PRIORITY:

Program of Research on Reading Comprehension

Under the Program of Research on Reading Comprehension (PRRC), applicants must propose research that is focused on one or more of three areas of inquiry:

1. Developmental patterns of students' reading comprehension;
2. Instructional interventions for reading comprehension; or
3. Measures of reading comprehension that reflect empirically justified dimensions, distinguish reader differences, and are sensitive to instructional goals.

Furthermore, research must be motivated by a specific conceptual framework and relevant prior empirical evidence, both of which must be clearly articulated in the proposal. The research must have the potential to advance fundamental scientific knowledge that bears on the solution of important educational problems. The proposal must indicate method and why the approach taken optimally addresses the research question. Any approach must incorporate a valid inference process that allows generalization beyond the study participants. Proposals must indicate which of the following approaches is to be used:

1. Experiment (control group; randomized assignment-- both required).

2. Quasi-experiment (comparison group, stratified random assignment, groups comparable at pretest, statistical adjustment for comparability).
3. Correlational study (simple, multiple/logistic regression, structural equation modeling, hierarchical linear modeling).
4. Other quantitative (e.g., simulation).
5. Descriptive study using qualitative techniques (e.g., ethnographic methods; focus groups; classroom observations; case studies).

The design of studies must be clear: Independent and dependent, or predictor and criterion, variables should be distinguished. Proposed research is expected to employ the most sophisticated level of design and analysis that is appropriate to the research question. For research questions that cannot be answered using a randomized assignment experimental design, the proposal must spell out the reasons why such a design is not applicable and why it would not represent a superior approach. Thus, applicants must propose to conduct rigorous studies that are scientifically sound, relevant, timely, and ultimately useful to practitioners and policy makers.

#### POST-AWARD REQUIREMENTS

The Secretary established the following post-award requirements consistent with the OERI's program regulations at 34 CFR part 700 and the Education Department General Administrative Regulations (EDGAR) at 34 CFR 75.720.

Recipients of a research award must:

1. Provide OERI with information about the research project and products and other appropriate research information so that OERI can monitor progress and maintain its inventory of funded research projects. This information must be provided through media that include an electronic network; and
2. At the end of the award period, synthesize the findings and advances in knowledge that resulted from research conducted and describe the potential impact on the improvement of reading comprehension instruction.

Applicable Program Regulations: 34 CFR part 700.

Electronic Access to This Document

You may view this document, as well as all other Department of Education documents published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

[www.ed.gov/legislation/FedRegister](http://www.ed.gov/legislation/FedRegister)

To use PDF, you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at:

<http://www.access.gpo.gov/nara/index.html>

(Catalog of Federal Domestic Assistance Number (84.305G)  
Program of Research on Reading Comprehension)

PROGRAM AUTHORITY: 20 U.S.C. 6031.

Dated: April 4, 2002

(signed)  
\_\_\_\_\_  
Grover J. Whitehurst,  
Assistant Secretary for Educational  
Research and Improvement.

## **Instructions for Submitting a Letter of Intent**

A Letter of Intent is optional, but encouraged, for each application. The deadline for Receipt of Letters of Intent for the Program of Research on Reading Comprehension (84.305G) is **April 29, 2002**. The Letter of Intent should not exceed one page in length and should include a title and brief description of the research project; identify the Principal Investigator(s) and any Co-Principal Investigator(s); indicate the institutional affiliations of the Principal Investigator(s) and Co-Principal Investigator(s); indicate the duration of the proposed project; and provide an estimated budget request by year, and a total budget request.

The Letter of Intent should be sent Dr. Anne P. Sweet:

U.S. Department of Education/OERI  
555 New Jersey Avenue  
Room 510  
Washington, DC 20208-5573

Or via the Internet to Dr. Sweet at:

[PRRCLettersofIntent@ed.gov](mailto:PRRCLettersofIntent@ed.gov)

The Letter of Intent is for OERI planning purposes and will not be used in the evaluation of the application.

**Title Page Form – Application for Federal Education Assistance  
(ED 424) and Instructions**

See page 34 – Availability of Forms.

## **Application Abstract**

The abstract must not exceed one page. Please see the “Page Limits” section of the *Federal Register* notice inviting applications under this competition.

## **Research Narrative**

The research narrative must not to exceed 25 double-spaced pages. Please see the “Page Limits” section of the *Federal Register* notice inviting applications under this competition.

The research narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. Please see the “Selection Criteria” section of the *Federal Register* notice.

## **Literature Cited**

Please see the “Page Limits” section of the *Federal Register* notice inviting applications under this competition.

## **Curriculum Vitae**

Please see the “Page Limits” section of the *Federal Register* notice inviting applications under this competition.

## **Budget Information Form – Non-Construction Programs (ED 524) and Instructions**

See page 34 – Availability of Forms.

## **Budget Narrative**

Please see the “Page Limits” section of the *Federal Register* notice inviting applications under this competition.

## **Appendix**

The appendix must not exceed 20 pages. Please see the “Page Limits” section of the *Federal Register* notice inviting applications under this competition.

## Availability of Forms

You can access the following **required Federal forms** at <http://www.ed.gov/offices/OCFO/grants/appforms.html>

- Title Page Form – Application for Federal Education Assistance (ED 424) and Instructions
- Budget Information Form – Non-Construction Programs (ED 524) and Instructions

### Certifications and Assurances

Applicants selected for funding will be required to submit the following before a grant is issued:

- Assurances-Non-Construction Programs (Standard Form 424B)
- Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Work-Place Requirements (ED Form 80-0013)
- Disclosure of Lobbying Activities (Standard Form LLL), if applicable
- Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion–Lower Tier Covered Transactions (ED Form 80-0014). Note: ED Form GCS 80-0014 is intended for the use of primary participants and should not be transmitted to the Department.

**The following instructions are applicable only if you have received a waiver to the electronic submission requirement and are submitting a paper application.**

**INSTRUCTIONS FOR TRANSMITTING APPLICATIONS**

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

(a) If You Send Your Application by Mail

You must mail the original and two copies of the application on or before the deadline date to:

U.S. Department of Education  
Application Control Center  
Attention: CFDA # 84.305G  
7th & D Streets, SW.  
Room 3633  
Washington, DC 20202-4725

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 Service.

(b) If You Deliver Your Application by Hand

You or your courier must hand deliver the original and two copies of the application by 4:30 p.m. (Washington, DC time) on or before the deadline date to:

U.S. Department of Education  
Application Control Center  
Attention: CFDA # 84.305G  
7<sup>th</sup> and D Streets, SW.  
Room 3633  
Regional Office Building 3  
Washington, DC

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. The Center accepts application deliveries through the D Street entrance only. A person delivering an application must show identification to enter the building.

## Notes

(1) The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

(2) If you send your application by mail or if you or your courier delivers it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgment to you. If you do not receive the notification of application receipt within 15 days from the date of mailing the application, you should call the U.S. Department of Education Application Control Center at (202) 708-9493.

(3) If your application is late, we will notify you that we will not consider the application.

(4) You must indicate on the envelope and--if not provided by the Department--in Item 4 of the Application for Federal Education Assistance (ED 424; exp. November 30, 2004)) the CFDA number--and suffix letter, if any--of the competition under which you are submitting your application.

## **Parity Guidelines between Paper and Electronic Applications**

In FY 2002, the U.S. Department of Education is continuing to expand the pilot project, which began in FY 2000, which allows applicants to use an Internet-based electronic system for submitting applications. The system, called e-APPLICATION, formerly e-GAPS (Electronic Grant Application System), allows an applicant to submit a grant application electronically, using a current version of the applicant's Internet browser. To see e-APPLICATION visit the following address:

<http://e-grants.ed.gov>

Users of e-APPLICATION, a data driven system, will be entering data on-line while completing their applications. This will be more interactive than just e-mailing a soft copy of a grant application to us. If you participate in this pilot project by submitting an application electronically, the data you enter on-line will go into a database and ultimately will be accessible in electronic form to our reviewers.

This pilot project continues the Department's transition to an electronic grant award process. In addition to e-APPLICATION, the Department plans to expand the number of discretionary programs using the electronic peer review (e-READER) system and to increase the participation of discretionary programs offering grantees the use of the electronic annual performance reporting (e-REPORTS) system.

To help ensure parity and a similar look between electronic and paper copies of grant applications, we are asking each applicant that submits a paper application to adhere to the following guidelines:

- Submit your application on 8 1/2" by 11" paper.
- Leave a 1-inch margin on all sides.
- Use consistent font throughout your document. You may also use boldface type, underlining, and italics. However, please do not use colored text.
- Please use black and white, also, for illustrations, including charts, tables, graphs and pictures.
- For the narrative component, your application should consist of the number and text of each selection criterion followed by the narrative. The text of the selection criterion, if included, does not count against any page limitation.
- Place a page number at the bottom right of each page beginning with 1; and number your pages consecutively throughout your document.

## **Guidance for Statement of Equitable Access (GEPA 427)**

See form on next page for guidance.

## **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 to 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 audiotape 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 (Room 3652, GSA Regional Office Building No. 3). Washington, DC 20202-4248.

## **Certifications and Assurances**

See page 34 – Availability of Forms.

## **Application Checklist**

**Does your application include each of the following?**

- Title Page Form (ED 424)**
- Abstract**
- Research Narrative (respond to selection criteria)**
- Literature Cited**
- Curriculum Vitae of Principal Investigator(s) and Other Key Personnel**
- Budget Summary Form (ED 524) and Budget Narrative**
- Appendix**
- Statement of Equitable Access (GEPA 427 Statement)**
- Assurances and Certifications**

**Did You --**

- Provide one (1) original plus two (2) copies of the application? (This applies only if you have received a waiver to the electronic submission requirement and are submitting a paper application.)**
- Include all required forms with original signatures and dates?**