

**U.S. DEPARTMENT OF EDUCATION  
OFFICE OF SPECIAL EDUCATION & REHABILITATIVE SERVICES  
OFFICE OF SPECIAL EDUCATION PROGRAMS  
WASHINGTON, D.C. 20202**

**FISCAL YEAR 2007  
APPLICATION FOR NEW GRANTS UNDER THE  
INDIVIDUALS WITH DISABILITIES EDUCATION ACT (IDEA)  
TECHNICAL ASSISTANCE ON STATE DATA COLLECTION--  
IDEA GENERAL SUPERVISION ENHANCEMENT GRANT  
(CFDA 84.373X)**



**DATED MATERIAL - OPEN IMMEDIATELY  
CLOSING DATE: August 23, 2007**

*FORM APPROVED - OMB No. 1890-0009, EXP. DATE: 06/30/08*

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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 General Supervision Enhancement Grant (CFDA 84.373-X) Program.

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 #4 on ED Form 424 (e.g., CFDA No. 84.373X) 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](http://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 section D Application Transmittal Instructions and Requirements for Intergovernmental Review of this application package.

**NOTE: Using Grants.gov is optional. If you have transmittal problems it remains your responsibility to transmit hard copies of your application, postmarked by 11:59 PM, on the closing date. Please retain a timed and dated receipt.**

- **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. Please refer to the specific information for the priority/competition to which you are submitting an application (i.e., Section B 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 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 in Section C of the “General Information on Completing An Application” section of this package.
- **PROTECTION OF HUMAN SUBJECTS IN RESEARCH.** The discretionary grant Application Form SF 424 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. 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/offices/OCFO/gcsindex.html>

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

Sincerely,

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Louis C. Danielson, Ph.D.  
Director  
Research to Practice Division  
Office of Special Education Programs

4000-01-U

DEPARTMENT OF EDUCATION

Technical Assistance on Data Collection--General Supervision  
Enhancement Grants

AGENCY: Office of Special Education and Rehabilitative Services,  
Department of Education.

ACTION: Notice of final priorities.

SUMMARY: The Assistant Secretary for Special Education and  
Rehabilitative Services announces three separate funding  
priorities under the Technical Assistance on State Data  
Collection program authorized under the Individuals with  
Disabilities Education Act (IDEA). The Assistant Secretary may  
use the priorities for competitions in fiscal year (FY) 2007 and  
later years. We take this action to focus attention on an  
identified national need to provide technical assistance to  
improve the capacity of States to meet data collection  
requirements.

EFFECTIVE DATE: This priority is effective August 8, 2007.

FOR FURTHER INFORMATION CONTACT: Larry Wexler, U.S. Department  
of Education, 400 Maryland Avenue, SW., room 4053, Potomac  
Center Plaza, Washington, DC 20202-2700. Telephone: (202) 245-  
7571 or via Internet:

[larry.wexler@ed.gov](mailto:larry.wexler@ed.gov)

If you use a telecommunications device for the deaf (TDD), you may call the Federal Relay Service (FRS) 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:

Under the Technical Assistance on State Data Collection program established under section 616(i)(2) of the IDEA, we make awards to provide technical assistance to improve the capacity of States to meet the section 616 data collection requirements.

We published a notice of proposed priorities (NPP) for this program in the Federal Register on March 30, 2007 (72 FR 15126). This notice of final priorities contains four changes from the NPP. We fully explain the changes in the Analysis of Comments and Changes section that follows.

Analysis of Comments and Changes

In response to the Secretary's invitation in the NPP, four parties submitted comments on the proposed priorities. An analysis of the comments and the changes we have made follows. We group major issues according to subject. Generally, we do not address technical and other minor and suggested changes that we are not allowed to make under the applicable statutory authority.

Priority A--Modified Academic Achievement Standards and Priority B--Alternate Academic Achievement Standards

Comment: Two commenters requested that Priorities A and B require the use of universal design principles in developing alternate assessments based on modified academic achievement standards and alternate assessments based on alternate academic achievement standards.

Discussion: 34 CFR 300.160(g) of the IDEA regulations already requires State educational agencies (SEAs) (or, in the case of a district-wide assessment, local educational agencies (LEAs)), to use universal design principles in developing and administering alternate assessments for children with disabilities, to the extent possible. To require the use of universal design principles in developing alternate assessments under this priority, without consideration for the feasibility, appropriateness, or practicality of their use, would be inappropriate.

Changes: None.

Comment: One commenter recommended that training on universal design principles be included in the training on modified academic achievement standards for individualized education program teams (IEP Teams) required in Priority A.

Discussion: The training required under Priority A focuses on training IEP Teams to use State guidelines to determine the

students to be assessed based on modified academic achievement standards. Determining whether universal design principles should be used in developing and implementing alternate assessments is not a responsibility of IEP Teams. Therefore, we believe it would be inappropriate to include training on universal design for IEP Teams, as recommended by the commenter.

Changes: None.

Comment: One commenter stated that projects funded under Priorities A and B should work with an expert who has skills in applying principles of universal design to large-scale assessments, in order to ensure that alternate assessments are, to the extent possible, universally designed.

Discussion: We agree that an expert with experience in applying universal design principles to large-scale assessments would help ensure that alternate assessments, to the extent possible, are universally designed; we will change the list of expert skills in Priorities A and B accordingly.

Changes: We have added, "applying the principles of universal design to large-scale assessments" to the list of expert skills in Priorities A and B.

Comment: One commenter recommended that Priorities A and B emphasize placement in the least restrictive environment (LRE) because children with Down syndrome, and many other children taking alternate assessments based on alternate academic

achievement standards, are not provided opportunities to be educated in the LRE with their nondisabled peers.

Discussion: We believe it is unnecessary to include the additional language recommended by the commenter. The regulations on alternate academic achievement standards under Title I of the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the No Child Left Behind Act of 2001 (NCLB), already require that alternate academic achievement standards for students with the most significant cognitive disabilities developed by a State promote access to the general curriculum (§200.1(d)(2)). Similarly, §200.1(f)(2)(iii) of the ESEA regulations requires students who are assessed based on modified academic achievement standards to have access to the curriculum, including instruction, for the grade in which the students are enrolled. In addition, §300.114(a)(2) of the IDEA regulations requires children with disabilities to be educated with nondisabled children, to the maximum extent appropriate.

Changes: None.

Comment: One commenter stated that an allowable activity under Priority B should be the development of clear and appropriate guidelines for IEP Teams to use in determining students to be assessed based on alternate academic achievement standards. Another commenter recommended that development and

implementation of training for IEP Teams on these State guidelines should be allowable activities under Priority B.

Discussion: We agree that Priority B should support the development of clear and appropriate guidelines for IEP Teams to apply in determining students with the most significant cognitive disabilities who should take an alternate assessment based on alternate academic achievement standards, consistent with §200.1(f)(1)(i)(A) of the ESEA regulations. We also agree that training for IEP Teams on these guidelines is important to ensure that the guidelines are correctly implemented.

Change: Priority B has been revised to include, two additional allowable activities: (1) the development of clear and appropriate guidelines for IEP Teams to use in determining when a child's significant cognitive disability justifies assessment based on alternate academic achievement standards; and (2) the development and implementation of training on guidelines for IEP Teams to use in determining which students should be assessed based on alternate academic achievement standards.

Comment: One commenter recommended that the Secretary provide funds to assist States with developing and implementing alternate assessments based on grade-level academic achievement standards.

Discussion: Given the limited availability of funds, we believe that focusing Priorities A and B on alternate assessments based

on alternate academic achievement standards and alternate assessments based on modified academic achievement standards will address the needs of the majority of States. Evidence provided by the Office of Elementary and Secondary Education's peer review of Statewide assessment systems is clear that many States need support to improve their alternate assessments based on alternate academic achievement standards. Additionally, States overwhelmingly expressed the need for funds to support the development of alternate assessments based on modified academic achievement standards when the regulations permitting States to develop modified academic achievement standards were published on April 9, 2007. We have not received similar requests for funds to support the development of alternate assessments based on grade-level academic achievement standards.

Changes: None.

Comment: One commenter recommended that Priorities A and B require applicants to collect data on the characteristics of students who take an alternate assessment based on alternate or modified academic achievement standards, such as the disability category and minority status of students, and whether students are economically disadvantaged or have limited proficiency in English. The commenter also recommended requiring data to be collected on instructional variables, such as students'

educational placements, the accommodations they received, and whether instruction was provided by highly qualified teachers.

Discussion: We believe that implementing the commenter's recommendations would require significant resources and time and be a burden for States to report and would not necessarily improve the use of funds under this program. Therefore, we decline to make the changes requested by the commenter.

Changes: None.

Comment: One commenter recommended that Priorities A and B require applicants to report the percentage of students with disabilities taking either of the alternate assessments and the percentage of those students whose advanced or proficient scores on those alternate assessments are counted as proficient in calculating adequate yearly progress (AYP).

Discussion: The information regarding participation requested by the commenter is already required under the ESEA and the IDEA. Section 200.6(a)(4) of the ESEA regulations requires States and LEAs to report on the number and percentage of students taking an alternate assessment based on alternate or modified academic achievement standards. Likewise, §300.160(f) of the IDEA regulations requires States to report on the number of students with disabilities participating in alternate assessments based on alternate or modified academic achievement standards.

Neither the regulations under Title I of the ESEA nor the regulations under Part B of the IDEA require reporting of the percentage of advanced or proficient scores on alternate assessments based on alternate and modified academic achievement standards that are used in calculating AYP, and we do not believe it would be useful or appropriate to impose such a requirement only on grantees under Priorities A and B. As noted previously, these priorities are being established under section 616(i)(2) of the IDEA to improve the capacity of States to meet the section 616 data collection requirements. The information requested is not a part of the section 616 data collection requirements.

Changes: None.

Priority C--Outcome Measures

Comment: One commenter stated that an allowable activity under Priority C should include comparing outcomes of children with disabilities participating in regular preschool programs (defined as a program that has a natural proportion of disabled and non disabled children) with outcomes of children in special education preschool programs.

Discussion: The purpose of this priority is to improve the capacity of States to meet the section 616 data collection requirements under the IDEA. The activity recommended by the

commenter extends beyond this purpose. Therefore, we decline to make the commenter's recommended change.

Changes: None.

Comment: None.

Discussion: The NPP inadvertently included a requirement that projects funded under Priority C provide an assurance from the State's Assessment Office that it was given an opportunity to contribute to the formulation of the application. Because Priority C does not involve information related to assessments, this requirement was misplaced.

Changes: The requirement that projects funded under Priority C provide an assurance from the State's Assessment Office that it was given an opportunity to contribute to the formulation of the application has been removed.

Note: This notice does not solicit applications. In any year in which we choose to use one of these priorities, we invite applications through a notice in the Federal Register. When inviting applications, we designate the priority as absolute, competitive preference, or invitational. The effect of each type of priority follows:

Absolute priority: Under an absolute priority, we consider only applications that meet the priority (34 CFR 75.105(c)(3)).

Competitive preference priority: Under a competitive preference priority, we give competitive preference to an

application by either (1) awarding additional points, depending on how well, or the extent to which, the application meets the competitive preference priority (34 CFR 75.105(c)(2)(i)); or (2) selecting an application that meets the competitive preference priority over an application of comparable merit that does not meet the priority (34 CFR 75.105(c)(2)(ii)).

Invitational priority: Under an invitational priority, we are particularly interested in applications that meet the invitational priority. However, we do not give an application that meets the invitational priority a competitive or absolute preference over other applications (34 CFR 75.105(c)(1)).

Note: The Assistant Secretary for Special Education and Rehabilitative Services is establishing three separate funding priorities addressing data collected under the IDEA. Although these are being announced in one notice, these priorities will be funded through separate competitions. Eligible entities must submit separate applications under each of the priorities for which they wish to apply.

#### PRIORITIES:

##### Background of Priority A--Modified Academic Achievement Standards

On April 9, 2007, the Secretary amended the regulations governing programs administered under Title I of the ESEA, as amended by NCLB, and the regulations governing programs under

Part B of the IDEA. These regulations provide States with additional flexibility regarding State, LEA, and school accountability for the achievement of a small group of students with disabilities whose progress is such that, even after receiving appropriate instruction, including special education and related services designed to address the students' individual needs, the students' IEP Teams are reasonably certain that the students will not achieve grade-level proficiency within the year covered by the students' IEPs. These regulations became effective May 9, 2007.

The regulations permit States to develop modified academic achievement standards (and assessments that measure achievement based on those standards) that are aligned with grade-level content standards. States and LEAs are permitted to include the proficient and advanced scores from assessments based on modified academic achievement standards in AYP determinations, subject to a cap of 2.0 percent at the district and State levels based on the total number of students in the grades assessed.

The Secretary anticipates that many States will need support in developing, enhancing, or redesigning their assessment systems to include assessments that are aligned with modified academic achievement standards.

Priority A--Modified Academic Achievement Standards

The Assistant Secretary for Special Education and Rehabilitative Services establishes a priority for grants to support States with one or more of the following activities: (1) development of modified academic achievement standards based on the State's academic content standards for the grade in which a student is enrolled; (2) development of State assessments using universal design principles, to the extent possible, based on modified academic achievement standards; and (3) development of clear and appropriate guidelines for IEP Teams to use in determining which students should be assessed based on modified academic achievement standards, and the development and implementation of training on those guidelines for IEP Teams.

Assessments based on modified academic achievement standards must be designed to generate valid scores that can be used for AYP accountability purposes under the ESEA. The scores of students with disabilities participating in alternate assessments based on modified academic achievement standards also will be reflected in the data required by the Part B State Performance Plans and Annual Performance Reports on the performance and participation of children with disabilities on State assessments under section 616 of the IDEA.

Applicants must include information in their applications on how they will work with experts in large-scale assessment and special education to ensure that they are designing modified

academic achievement standards, and assessments based on those standards, that: (1) address the needs of students with disabilities; (2) validly, reliably, and accurately measure student performance; and (3) result in high quality data for use in evaluating the performance of schools, districts, and States. The experts selected should represent the range of skills needed to develop assessments based on modified academic achievement standards for students with disabilities that will meet the peer review guidelines for assessments published by the Department in the spring of 2004 that are available at <http://www.ed.gov/policy/elsec/guid/saaprguidance.pdf>. Skill sets for experts must include experience with one or more of the following: (1) large scale assessment; (2) standards-setting techniques; (3) assessment and measurement of children with disabilities; (4) accommodations and supports to assess grade-level content; (5) working with States to develop assessments; (6) development of criterion referenced tests and instruments; (7) psychometric evaluation; (8) conducting studies of the technical adequacy of assessment instruments; (9) research and publishing in the area of assessment and psychometrics; and (10) applying the principles of universal design to large-scale assessments.

Projects funded under this priority also must--

(a) Budget to attend a three-day Project Directors' meeting in Washington, DC;

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

(c) Provide a written assurance that the State's Assessment Office (i.e., the office that addresses accountability under Title I of the ESEA) was given the opportunity to contribute to the formulation of the application.

Background of Priority B--Alternate Academic Achievement Standards

The Department's Title I regulations in 34 CFR part 200, regarding children with the most significant cognitive disabilities, permit a State to develop alternate academic achievement standards for students with the most significant cognitive disabilities and to include those students' proficient and advanced scores on alternate assessments based on alternate academic achievement standards in measuring AYP at the State and district levels, subject to a cap of 1.0 percent of the total number of students in the grades assessed. Alternate assessments based on alternate academic achievement standards, as permitted by the Title I regulations, also are recognized as an appropriate assessment method in section 612(a)(16) of the IDEA.

Alternate assessments that are used by States and LEAs under the ESEA, as amended by NCLB, must be designed to generate valid data that can be used for purposes of determining AYP. Alternate assessments also must meet the requirements in 34 CFR §200.2 (State Responsibilities for Assessment) and 34 CFR §200.3 (Designing State Academic Assessment Systems), including the requirements relating to validity, reliability, and high technical quality; and fit coherently in the State's overall assessment system under 34 CFR §200.2. The alternate assessment must, among other things, be: (1) valid and reliable for the purposes for which the assessment system is used; (2) consistent with relevant, nationally-recognized professional and technical standards; and (3) supported by evidence from test publishers or other relevant sources that the assessment system is of adequate technical quality for each purpose required under the ESEA, as amended by NCLB. States must include alternate assessment data in their State Performance Plan and Annual Performance Reports relative to performance and participation of children with disabilities on State assessments under the IDEA.

The Department is establishing the following priority because many States need assistance in: (1) developing alternate academic achievement standards aligned with the State's academic content standards; (2) developing high-quality alternate assessments that measure the achievement of students

with the most significant cognitive disabilities based on those standards; (3) reporting on the participation and performance of students with disabilities on alternate assessments based on alternate academic achievement standards; and (4) developing clear and appropriate guidelines for IEP Teams to use in determining which students should be assessed based on alternate academic achievement standards, and the development and implementation of training on those guidelines.

#### Priority B--Alternate Academic Achievement Standards

The Assistant Secretary for Special Education and Rehabilitative Services establishes a priority for grants to support States with one or more of the following activities: (1) development of alternate academic achievement standards aligned with the State's academic content standards; (2) development of high-quality alternate assessments using universal design principles, to the extent possible, that measure the achievement of students with the most significant cognitive disabilities based on those standards; (3) reporting on the participation and performance of students with disabilities on alternate assessments based on alternate academic achievement standards; and (4) development of clear and appropriate guidelines for IEP Teams to use in determining which students should be assessed based on alternate academic

achievement standards, and the development and implementation of training on those guidelines for IEP Teams.

Applicants must include information in their applications on how they will work with experts in large-scale assessment and special education to ensure that they are designing alternate academic achievement standards, and assessments based on those standards, that: (1) address the needs of students with the most significant cognitive disabilities; (2) validly, reliably, and accurately measure student performance; and (3) result in high quality data for use in evaluating the performance of schools, districts, and States. The experts selected should represent the range of skills needed to develop assessments based on alternate academic achievement standards for students with the most significant cognitive disabilities that will meet the peer review guidelines for assessments published by the Department in the spring of 2004 that are available at <http://www.ed.gov/policy/elsec/guid/saaprguidance.pdf>. Skill sets for experts must include experience with one or more of the following: (1) large scale assessment; (2) standards-setting techniques; (3) assessment and measurement of children with disabilities; (4) accommodations and supports to assess grade-level content; (5) working with States to develop assessments; (6) development of criterion-referenced tests and instruments; (7) psychometric evaluation; (8) conducting studies of the

technical adequacy of assessment instruments; (9) research and publishing in the area of assessment and psychometrics; and (10) applying the principles of universal design to large-scale assessments.

Projects funded under this priority also must--

(a) Budget to attend a three-day Project Directors' meeting in Washington, DC;

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

(c) Provide a written assurance that the State's Assessment Office (i.e., the office that addresses accountability under Title I of the ESEA) was given the opportunity to contribute to the formulation of the application.

#### Background of Proposed Priority C--Outcome Measures

The cornerstone of any accountability system is the development of outcome indicators against which progress can be measured. State performance reports, self-assessments, and other extant data show that most States and Lead Agencies, as defined under Part C of the IDEA (section 635(a)(10)), as well as their LEAs and Early Intervention Service programs, do not have well developed systems for measuring the progress of infants, toddlers, and young children with disabilities and their families served under Part B and Part C of the IDEA or methods to collect

and analyze Part B and Part C outcome indicator data. Therefore, most States lack the capacity to collect sufficient data to determine the impact of early intervention and special education services for these children.

#### Priority C--Outcome Measures

The Assistant Secretary for Special Education and Rehabilitative Services establishes a priority for projects that address the needs of States for technical assistance to improve their capacity to meet Federal data collection requirements in one or both of two focus areas.

Focus Area One. Focus Area One supports the development or enhancement of Part B State systems for collecting, analyzing, and reporting preschool outcome indicator data. Projects funded under Focus Area One must focus on improving the capacity of the State to provide information that could be used to determine the following:

(a) The outcomes associated with preschool children with disabilities participating in State Part B programs.

(b) If the State has standards for preschool disability outcomes, whether preschool children with disabilities are meeting those standards.

(c) Trend data on outcomes associated with preschool children with disabilities and the extent to which preschool children with disabilities are meeting State standards.

Focus Area Two. Focus Area Two supports the development or enhancement of Part C systems for collecting, analyzing, and reporting outcome indicator data. Projects funded under Focus Area Two must focus on improving the capacity of the State to provide information that could be used to determine the following:

(a) The outcomes associated with infants and toddlers with disabilities and their families participating in State Part C programs.

(b) If the State has standards for early intervention outcomes, whether infants and toddlers with disabilities are meeting those standards.

(c) Trend data on outcomes associated with infants and toddlers with disabilities and their families and the extent to which infants and toddlers with disabilities are meeting State standards.

Projects funded under this priority also must--

(a) Budget to attend a three-day Project Directors' meeting in Washington, DC; and

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

Executive Order 12866

This notice of final priorities has been reviewed in accordance with Executive Order 12866. Under the terms of the order, we have assessed the potential costs and benefits of this regulatory action.

The potential costs associated with this regulatory action are those resulting from statutory requirements and those we have determined as necessary for administering this program effectively and efficiently.

In assessing the potential costs and benefits--both quantitative and qualitative--of this regulatory action, we have determined that the benefits of the regulatory action justify the costs.

We also have determined that this regulatory action does not unduly interfere with State, local, and tribal governments in the exercise of their governmental functions.

#### Intergovernmental Review

This program is subject to 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 Federal financial assistance.

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

## 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/news/fedregister](http://www.ed.gov/news/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.

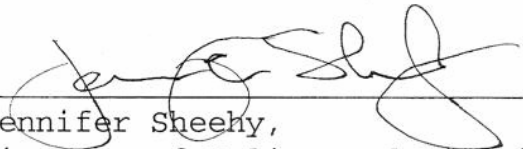
Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at:

<http://www.gpoaccess.gov/nara/index.htm>

(Catalog of Federal Domestic Assistance Number 84.373X Technical Assistance on Data Collection--General Supervision Enhancement Grants)

PROGRAM AUTHORITY: 20 U.S.C. 1411(c) and 1416(i)(2).

Dated:



\_\_\_\_\_  
Jennifer Sheehy,  
Director of Policy and Planning  
for Special Education and  
Rehabilitative Services.

4000-01-U

DEPARTMENT OF EDUCATION

Office of Special Education and Rehabilitative Services

Overview Information

Technical Assistance on Data Collection--General Supervision

Enhancement Grants

Notice inviting applications for new awards for fiscal year (FY)  
2007.

Catalog of Federal Domestic Assistance (CFDA) Number:

84.373X.

Dates:

Applications Available: July 9, 2007.

Deadline for Transmittal of Applications: August 23, 2007.

Deadline for Intergovernmental Review: September 24, 2007.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: Under section 616(i)(2) of the Individuals  
with Disabilities Education Act, as amended (IDEA), the  
Department may make awards to provide technical assistance to  
improve the capacity of States to meet data collection  
requirements.

Priorities: This competition contains two absolute priorities.  
The priorities are from the notice of final priorities for this

program, published elsewhere in this issue of the Federal Register.

Note: Eligible entities must submit separate applications under each of the priorities for which they wish to apply.

Absolute Priorities: For FY 2007 these priorities are absolute priorities. Under 34 CFR 75.105(c)(3), we consider only applications that meet these priorities.

These priorities are:

Priority A--Modified Academic Achievement Standards

Priority B--Alternate Academic Achievement Standards

Program Authority: 20 U.S.C. 1411(c) and 1416(i)(2).

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99. (b) The notice of final priorities for this program, published elsewhere in this issue of the Federal Register.

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.

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$13,500,000.

Maximum Award: The Secretary does not intend to make awards for more than \$400,000 for year one, \$300,000 for year two, and \$300,000 for year three. We will reject any application that proposes a budget exceeding the stated maximum award amount for years one, two, or three of the budget period, unless the application involves a consortium, or any other group of eligible parties that meets the requirements of 34 CFR 75.127 through 75.129. The level of funding for a consortium, or any other group of States, outlying areas (OAs), or freely associated States (FAS) will reflect the combined total that the entities comprising the consortium, or group, would have received if they had applied separately. The Secretary does not intend to make more than one award to serve a State, OA, or FAS. The Assistant Secretary for Special Education and Rehabilitative Services may change the maximum amount through a notice published in the Federal Register.

Estimated Average Size of Award: \$400,000.

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

Project Period: Up to 36 months.

Estimated Number of Awards: 33.

### III. Eligibility Information

1. Eligible Applicants: State educational agencies (SEAs), outlying areas (OAs), freely associated States (FAS),

and, if endorsed by the SEA to apply and carry out the project on behalf of the SEA, local educational agencies (LEAs), public charter schools that are LEAs under State law, institutions of higher education (IHEs), tribes or tribal organizations, other public agencies, private nonprofit organizations, and for-profit organizations.

Note: States, OAs, and FAS are encouraged to form consortia with any other group of eligible parties that meet the requirements in 34 CFR 75.127 through 75.129 to apply under Priority A or Priority B. A consortium is any combination of eligible entities. The Secretary views the formation of consortia as an effective and efficient strategy to address the requirements of the priorities in this notice.

2. Cost Sharing or Matching: This competition does not require cost sharing or matching.

3. Other: General Requirements--The projects funded under this competition must make positive efforts to employ, and advance in employment, qualified individuals with disabilities (see section 606 of the IDEA).

#### IV. Application and Submission Information

1. Address to Request Application Package: Education Publications Center (ED Pubs), P.O. Box 1398, Jessup, MD 20794-1398. Telephone, toll free: 1-877-433-7827. FAX: (301) 470-

1244. If you use a telecommunications device for the deaf (TDD), call, toll free: 1-877-576-7734.

You can contact ED Pubs at its Web site, also:  
www.ed.gov/pubs/edpubs.html or at its e-mail address:  
edpubs@inet.ed.gov

If you request an application from ED Pubs, be sure to identify this competition as follows: CFDA number 84.373X.

Individuals with disabilities can obtain a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) by contacting the person or team listed under Alternative Format in section VIII of this notice.

## 2. Content and Form of Application Submission:

Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this competition.

Page Limit: 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 40 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 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 one-page abstract, the resumes, the bibliography, the references, or the letters of support. However, you must include all of the application narrative in Part III.

We will reject your application if--

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

### 3. Submission Dates and Times:

Applications Available: [INSERT DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Transmittal of Applications: August 23, 2007.

Applications for grants under this competition may be submitted electronically using the Grants.gov Apply site (Grants.gov), or in paper format by mail or hand delivery. For information (including dates and times) about how to submit your

application electronically, or by mail or hand delivery, please refer to section IV. 6. Other Submission Requirements in this notice.

We do not consider an application that does not comply with the deadline requirements.

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in section VII in this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

Deadline for Intergovernmental Review: September 24, 2007.

4. Intergovernmental Review: This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this competition.

5. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Other Submission Requirements: Applications for grants under this competition may be submitted electronically or in paper format by mail or hand delivery.

a. Electronic Submission of Applications.

To comply with the President's Management Agenda, we are participating as a partner in the Governmentwide Grants.gov Apply site. The General Supervision Enhancement Grants competition--CFDA number 84.373X is included in this project. We request your participation in Grants.gov.

If you choose to submit your application electronically, you must use the Governmentwide Grants.gov Apply site at <http://www.Grants.gov> Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

You may access the electronic grant application for the General Supervision Enhancement Grants competition--CFDA number 84.373X at: <http://www.grants.gov> You must search for the downloadable application package for this program by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.373, not 84.373X).

Please note the following:

- Your participation in Grants.gov is voluntary.

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.

- Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted, and must be date and time stamped by the Grants.gov system no later than 4:30 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not consider your application if it is date and time stamped by the Grants.gov system later than 4:30 p.m., Washington, DC time, on the application deadline date. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30 p.m., Washington, DC time, on the application deadline date.

- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.

- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this competition to

ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov at <http://e-Grants.ed.gov/help/GrantsgovSubmissionProcedures.pdf>

- To submit your application via Grants.gov, you must complete the steps in the Grants.gov registration process ([http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp)). These steps include (1) registering your organization, a multi-part process that includes registration with the Central Contractor Registry (CCR); (2) registering yourself as an Authorized Organization Representative (AOR); and (3) getting authorized as an AOR by your organization. Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see <http://www.grants.gov/section910/Grants.govRegistrationBrochure.pdf>). You also must provide on your application the same D-U-N-S Number used with this registration. Please note that the registration process may take five or more business days to complete, and you must have completed all registration steps to allow you to successfully submit an application via Grants.gov. In addition you will need to update your CCR registration on an annual basis. This may take three or more business days to complete.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you submit your application in paper format.

- If you submit your application electronically, you must submit all documents electronically, including all information you typically provide on the following forms: Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. Please note that two of these forms--the SF 424 and the Department of Education Supplemental Information for SF 424--have replaced the ED 424 (Application for Federal Education Assistance).

- If you submit your application electronically, you must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password-protected file, we will not review that material.

- Your electronic application must comply with any page limit requirements described in this notice.

- After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. (This

notification indicates receipt by Grants.gov only, not receipt by the Department.) The Department then will retrieve your application from Grants.gov and send a second notification to you by e-mail. This second notification indicates that the Department has received your application and has assigned your application a PR/Award number (an ED-specified identifying number unique to your application).

- We may request that you provide us original signatures on forms at a later date.

Application Deadline Date Extension in Case of System Technical

Issues with the Grant.Gov System: If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically or by hand delivery. You also may mail your application by following the mailing instructions described elsewhere in this notice.

If you submit an application after 4:30 p.m., Washington, DC time, on the application deadline date, please contact the person listed elsewhere in this notice under For Further Information Contact and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your application by 4:30 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

Note: The extensions to which we refer in this section apply only to the unavailability of, or technical problems with, the Grants.gov system. We will not grant you an extension if you failed to fully register to submit your application to Grants.gov before the application deadline date and time or if the technical problem you experienced is unrelated to the Grants.gov system.

b. Submission of Paper Applications by Mail.

If you submit your application in paper format by mail (through the U.S. Postal Service or a commercial carrier), you must mail the original and two copies of your application, on or

before the application deadline date, to the Department at the applicable following address:

By mail through the U.S. Postal Service:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.373X)  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

or

By mail through a commercial carrier:

U.S. Department of Education  
Application Control Center - Stop 4260  
Attention: (CFDA Number 84.373X)  
7100 Old Landover Road  
Landover, MD 20785-1506

Regardless of which address you use, you must show proof of mailing consisting of one of the following:

- (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 of the U.S. Department of Education.

If you mail your 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.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: 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.

c. Submission of Paper Applications by Hand Delivery.

If you submit your application in paper format by hand delivery, you (or a courier service) must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.373X)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

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

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department--

(1) You must indicate on the envelope and -- if not provided by the Department -- in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and

(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

#### V. Application Review Information

1. Selection Criteria: The selection criteria for this competition are from 34 CFR 75.210 and are listed in the application package.

2. Review and Selection Process:  
Treating A Priority As Two Separate Competitions: In the past, there have been problems in finding peer reviewers without conflicts of interest for competitions in which many entities throughout the country submit applications. The Standing Panel requirements under the IDEA also have placed additional constraints on the availability of reviewers. Therefore, the Department has determined that, for some discretionary competitions, applications may be separated into two or more groups and ranked and selected for funding within the specific group. This procedure will ensure the availability of a much

larger group of reviewers without conflicts of interest. It also will increase the quality, independence, and fairness of the review process and permit panel members to review applications under discretionary competitions for which they also have submitted applications. However, if the Department decides to select for funding an equal number of applications in each group, this may result in different cut-off points for fundable applications in each group.

#### VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notice (GAN). We may notify you informally, also.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section in this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section in this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as specified by the Secretary in 34 CFR 75.118. The Secretary also may require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>

4. Performance Measures: To evaluate the overall success of projects awarded under this competition, the Department will determine at the end of each grant whether the grantee has been successful in achieving the purposes of its award. Grantees will also be required to report information on their projects' performance in annual reports to the Department. (34 CFR 75.590)

#### VII. Agency Contact

For Further Information Contact: Larry Wexler, U.S. Department of Education, 400 Maryland Avenue, SW., room 4054, Potomac Center Plaza, Washington, DC 20202-2600. Telephone: (202) 245-7571.

If you use a TDD, call the FRS, toll-free, at 1-800-877-8339.

#### VIII. Other Information


Alternative Format: Individuals with disabilities can obtain this document and a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) by contacting the Grants and Contracts Services Team, U.S. Department of Education, 400 Maryland Avenue, SW., room 5075, PCP, Washington, DC 20202-2550. Telephone: (202) 245-7363. If you use a TDD, call the FRS, toll-free, at 1-800-877-8339.

Electronic Access to This Document: You can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site: [www.ed.gov/news/fedregister](http://www.ed.gov/news/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: [www.gpoaccess.gov/nara/index.html](http://www.gpoaccess.gov/nara/index.html)

Dated:



Jennifer Sheehy,  
Director of Policy and Planning  
for Special Education and  
Rehabilitative Services.

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## 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.**

#### **ATTENTION – Microsoft Vista and Word 2007 Users**

Please note that Grants.gov does not currently support the new Microsoft Vista Operating system. The PureEdge software used by Grants.gov for forms is not compatible with Vista. Grants.gov will be reviewing this new product to determine if it can be supported in the future.

In addition, the new version of Microsoft Word saves documents with the extension .DOCX. The Grants.gov system does not process Microsoft Word documents with the extension .DOCX. When submitting Microsoft Word attachments to Grants.gov, please use the version of Microsoft Word that ends in .DOC. If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

**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](http://www.grants.gov/applicants/get_registered.jsp). [Note: Your organization will need to update its Central Contractor Registry (CCR) registration annually.]

**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).

**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](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](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.**

Please go to [http://www.grants.gov/applicants/applicant\\_help.jsp](http://www.grants.gov/applicants/applicant_help.jsp) for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov [http://www.grants.gov/help/submit\\_application\\_faqs.jsp](http://www.grants.gov/help/submit_application_faqs.jsp).

### **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](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**

**TECHNICAL ASSISTANCE ON STATE DATA COLLECTION--**  
**IDEA GENERAL SUPERVISION ENHANCEMENT GRANT**  
**(CFDA 84.373X)**

**IDEA GENERAL SUPERVISION ENHANCEMENT GRANT**  
**(CFDA 84.373X)**

**DEADLINE: 08/23/07**

**ABSOLUTE PRIORITIES:**

This competition contains two absolute priorities. The priorities are from the notice of final priorities for this program, published in the July 9, 2007 issue of the Federal Register.

Note: Eligible entities must submit separate applications under each of the priorities for which they wish to apply.

These priorities are:

Priority A--Modified Academic Achievement Standards

Priority B--Alternate Academic Achievement Standards

**Background of Priority A--Modified Academic Achievement Standards**

On April 9, 2007, the Secretary amended the regulations governing programs administered under Title I of the ESEA, as amended by NCLB, and the regulations governing programs under Part B of the IDEA. These regulations provide States with additional flexibility regarding State, LEA, and school accountability for the achievement of a small group of students with disabilities whose progress is such that, even after receiving appropriate instruction, including special education and related services designed to address the students' individual needs, the students' IEP Teams are reasonably certain that the students will not achieve grade-level proficiency within the year covered by the students' IEPs. These regulations became effective May 9, 2007.

The regulations permit States to develop modified academic achievement standards (and assessments that measure achievement based on those standards) that are aligned with grade-level content standards. States and LEAs are permitted to include the proficient and advanced scores from assessments based on modified academic achievement standards in AYP determinations, subject to a cap of 2.0 percent at the district and State levels based on the total number of students in the grades assessed.

The Secretary anticipates that many States will need support in developing, enhancing, or redesigning their assessment systems to include assessments that are aligned with modified academic achievement standards.

**Priority A--Modified Academic Achievement Standards**

The Assistant Secretary for Special Education and Rehabilitative Services establishes a priority for grants to support States with one or more of the following activities:

(1) development of modified academic achievement standards based on the State's academic content standards for the grade in which a student is enrolled; (2) development of State assessments using universal design principles, to the extent possible, based on modified academic achievement standards; and (3) development of clear and appropriate guidelines for IEP Teams to use in determining which students should be assessed based on modified academic achievement standards, and the development and implementation of training on those guidelines for IEP Teams.

Assessments based on modified academic achievement standards must be designed to generate valid scores that can be used for AYP accountability purposes under the ESEA. The scores of students with disabilities participating in alternate assessments based on modified academic achievement standards also will be reflected in the data required by the Part B State Performance Plans and Annual Performance Reports on the performance and participation of children with disabilities on State assessments under section 616 of the IDEA.

Applicants must include information in their applications on how they will work with experts in large-scale assessment and special education to ensure that they are designing modified academic achievement standards, and assessments based on those standards, that: (1) address the needs of students with disabilities; (2) validly, reliably, and accurately measure student performance; and (3) result in high quality data for use in evaluating the performance of schools, districts, and States. The experts selected should represent the range of skills needed to develop assessments based on modified academic achievement standards for students with disabilities that will meet the peer review guidelines for assessments published by the Department in the spring of 2004 that are available at <http://www.ed.gov/policy/elsec/guid/saaprguidance.pdf>. Skill sets for experts must include experience with one or more of the following: (1) large scale assessment; (2) standards-setting techniques; (3) assessment and measurement of children with disabilities; (4) accommodations and supports to assess grade-level content; (5) working with States to develop assessments; (6) development of criterion referenced tests and instruments; (7) psychometric evaluation; (8) conducting studies of the technical adequacy of assessment instruments; (9) research and publishing in the area of assessment and psychometrics; and (10) applying the principles of universal design to large-scale assessments.

Projects funded under this priority also must—

- (a) Budget to attend a three-day Project Directors' meeting in Washington, DC;
- (b) If the project maintains a Web site, include relevant information and documents in a format that meets a government or industry-recognized standard for accessibility; and
- (c) Provide a written assurance that the State's Assessment Office (i.e., the office that addresses accountability under Title I of the ESEA) was given the opportunity to contribute to the formulation of the application.

## Background of Priority B--Alternate Academic Achievement Standards

The Department's Title I regulations in 34 CFR part 200, regarding children with the most significant cognitive disabilities, permit a State to develop alternate academic achievement standards for students with the most significant cognitive disabilities and to include those students' proficient and advanced scores on alternate assessments based on alternate academic achievement standards in measuring AYP at the State and district levels, subject to a cap of 1.0 percent of the total number of students in the grades assessed. Alternate assessments based on alternate academic achievement standards, as permitted by the Title I regulations, also are recognized as an appropriate assessment method in section 612(a)(16) of the IDEA.

Alternate assessments that are used by States and LEAs under the ESEA, as amended by NCLB, must be designed to generate valid data that can be used for purposes of determining AYP. Alternate assessments also must meet the requirements in 34 CFR §200.2 (State Responsibilities for Assessment) and 34 CFR §200.3 (Designing State Academic Assessment Systems), including the requirements relating to validity, reliability, and high technical quality; and fit coherently in the State's overall assessment system under 34 CFR §200.2. The alternate assessment must, among other things, be: (1) valid and reliable for the purposes for which the assessment system is used; (2) consistent with relevant, nationally-recognized professional and technical standards; and (3) supported by evidence from test publishers or other relevant sources that the assessment system is of adequate technical quality for each purpose required under the ESEA, as amended by NCLB. States must include alternate assessment data in their State Performance Plan and Annual Performance Reports relative to performance and participation of children with disabilities on State assessments under the IDEA.

The Department is establishing the following priority because many States need assistance in: (1) developing alternate academic achievement standards aligned with the State's academic content standards; (2) developing high-quality alternate assessments that measure the achievement of students with the most significant cognitive disabilities based on those standards; (3) reporting on the participation and performance of students with disabilities on alternate assessments based on alternate academic achievement standards; and (4) developing clear and appropriate guidelines for IEP Teams to use in determining which students should be assessed based on alternate academic achievement standards, and the development and implementation of training on those guidelines.

## Priority B--Alternate Academic Achievement Standards

The Assistant Secretary for Special Education and Rehabilitative Services establishes a priority for grants to support States with one or more of the following activities: (1) development of alternate academic achievement standards aligned with the State's academic content standards; (2) development of high-quality alternate assessments using universal design principles, to the extent possible, that measure the achievement of students with the most significant cognitive disabilities based on those standards; (3) reporting on the participation and performance of students with disabilities on alternate assessments based on alternate academic achievement standards; and (4) development of clear and appropriate guidelines for IEP Teams to use in determining which students should be assessed based on alternate academic

achievement standards, and the development and implementation of training on those guidelines for IEP Teams.

Applicants must include information in their applications on how they will work with experts in large-scale assessment and special education to ensure that they are designing alternate academic achievement standards, and assessments based on those standards, that: (1) address the needs of students with the most significant cognitive disabilities; (2) validly, reliably, and accurately measure student performance; and (3) result in high quality data for use in evaluating the performance of schools, districts, and States. The experts selected should represent the range of skills needed to develop assessments based on alternate academic achievement standards for students with the most significant cognitive disabilities that will meet the peer review guidelines for assessments published by the Department in the spring of 2004 that are available at <http://www.ed.gov/policy/elsec/guid/saaprguidance.pdf>. Skill sets for experts must include experience with one or more of the following: (1) large scale assessment; (2) standards-setting techniques; (3) assessment and measurement of children with disabilities; (4) accommodations and supports to assess grade-level content; (5) working with States to develop assessments; (6) development of criterion-referenced tests and instruments; (7) psychometric evaluation; (8) conducting studies of the technical adequacy of assessment instruments; (9) research and publishing in the area of assessment and psychometrics; and (10) applying the principles of universal design to large-scale assessments.

Projects funded under this priority also must--

- (a) Budget to attend a three-day Project Directors' meeting in Washington, DC;
- (b) If the project maintains a Web site, include relevant information and documents in a format that meets a government or industry-recognized standard for accessibility; and
- (c) Provide a written assurance that the State's Assessment Office (i.e., the office that addresses accountability under Title I of the ESEA) was given the opportunity to contribute to the formulation of the application.

**Program Authority:** 20 U.S.C. 1411 and 1416.

**PERFORMANCE MEASURES:** To evaluate the overall success of projects awarded under this competition, the Department will determine at the end of each grant whether the grantee has been successful in achieving the purposes of its award. Grantees will also be required to report information on their projects' performance in annual reports to the Department. (34 CFR 75.590).

**APPLICATIONS AVAILABLE:** July 9, 2007.

**DEADLINE FOR TRANSMITTAL OF APPLICATIONS:** August 23, 2007.

**DEADLINE FOR INTERGOVERNMENTAL REVIEW:** September 24, 2007.

**ESTIMATED AVAILABLE FUNDS:** \$13,500,000.

**MAXIMUM AWARD:** The Secretary does not intend to make awards for more than \$400,000 for year one, \$300,000 for year two, and \$300,000 for year three. We will reject any application that proposes a budget exceeding the stated maximum award amount for years one, two, or three of the budget period, unless the application involves a consortium, or any other group of eligible parties that meets the requirements of 34 CFR 75.127 through 75.129. The level of funding for a consortium, or any other group of States, outlying areas (OAs), or freely associated States(FAS) will reflect the combined total that the entities comprising the consortium, or group, would have received if they had applied separately. The Secretary does not intend to make more than one award to serve a State, OA, or FAS. The Assistant Secretary for Special Education and Rehabilitative Services may change the maximum amount through a notice published in the Federal Register.

**ESTIMATED NUMBER OF AWARDS:** 33.

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

**ESTIMATED AVERAGE SIZE OF AWARD:** \$400,000.

**PROJECT PERIOD:** Up to 36 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 40 pages. To determine the number of pages or the equivalent, you must use the following standards:

- A "page" is 8.5" x 11", (on one side only) with 1" 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).

## **APPLICABLE REGULATIONS:**

(a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 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.

## **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.

**ELIGIBLE APPLICANTS:** State educational agencies (SEAs), outlying areas (OAs), freely associated States (FAS), and, if endorsed by the SEA to apply and carry out the project on behalf of the SEA, local educational agencies (LEAs), public charter schools that are LEAs under State law, institutions of higher education (IHEs), tribes or tribal organizations, other public agencies, private nonprofit organizations, and for-profit organizations.

Note: States, OAs, and FAS are encouraged to form consortia with any other group of eligible parties that meet the requirements in 34 CFR 75.127 through 75.129 to apply under Priority A or Priority B. A consortium is any combination of eligible entities. The Secretary views the formation of consortia as an effective and efficient strategy to address the requirements of the priorities in this notice.

**For further information about this priority contact:**

Larry Wexler, Competition Manager  
Research to Practice Division  
Office of Special Education Programs

Telephone: (202) 245-7571  
FAX: (202) 245-7617

Internet: [Larry.Wexler@ed.gov](mailto:Larry.Wexler@ed.gov)  
TTD: 1-800-877-8339

## **SELECTION CRITERIA AND FORMAT FOR THE TECHNICAL ASSISTANCE ON STATE DATA COLLECTION--IDEA GENERAL SUPERVISION ENHANCEMENT GRANT (CFDA 84.373X) 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 **TECHNICAL ASSISTANCE ON STATE DATA COLLECTION--IDEA GENERAL SUPERVISION ENHANCEMENT GRANT (CFDA 84.373X)** 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.

A two-page **abstract** should precede the application narrative. The application narrative should include the following sections in this order:

### **(a) Significance. (25 points)**

- (1) The Secretary considers the significance of the proposed project.
- (2) In determining the significance of the proposed project, the Secretary considers:
  - (i) The extent to which the proposed project involves the development or demonstration of promising new strategies that build on, or alternatives to, existing strategies.
  - (ii) The importance or magnitude of the results or outcomes likely to be attained by the proposed project.

### **(b) Quality of the project design. (25 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 proposed development efforts include adequate quality controls and, as appropriate repeated testing of products.
  - (ii) The extent to which the proposed project will be coordinated with similar or related efforts, and with other appropriate community, State, and Federal resources.

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

(iv) The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs.

(v) 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.

(vi) The extent to which the proposed project represents an exceptional approach to the priority or priorities established for the competition.

**(c) Quality of project personnel. (25 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.

**(d) Quality of the management plan. (25 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.

GENERAL INFORMATION  
ON COMPLETING  
AN APPLICATION

## 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 a two-page abstract summarizing the objectives, activities, project participants, and expected outcomes of the proposed project 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.

Page #	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)
_____	(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)
_____	(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)
_____	(d) Projects funded under these priorities must budget for a three-day Project’s Directors’ meeting in Washington, D.C. during each year of the project.

## PROGRAM ABSTRACT

The program abstract should not exceed two pages in length. It would be helpful if it included; the title of the program, the name of the Absolute Priority, and the CFDA Number (e.g., 84.373X, etc.).

## NARRATIVE

Applications should be concise and clearly written. 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 40 pages. The narrative must be single-sided, double-spaced pages printed in 12 point font or larger. The page limitation does not include the title page, Application for Federal Assistance (SF 424), two-page abstract, the budget summary form (ED 524) and the narrative budget justification, any curriculum vitae, the bibliography of literature cited, or the GEPA statement, assurances, and certifications.

Before preparing the narrative, applicants should review the closing date notice, program statute, and any notice of final priorities for specific guidance or requirements. Note that applications will be evaluated according to the selection criteria specified in the closing date notice or in this package.

A strong evaluation plan should be included in the application narrative and should be used, as appropriate, to shape the development of the project from the beginning of the grant period. The plan should include benchmarks to monitor progress toward specific project objectives and also outcome measures to assess the impact on teaching and learning or other important outcomes for project participants. More specifically, the plan should identify the individual and/or organization that have agreed to serve as evaluator for the project and describe the qualifications of that evaluator. The plan should describe the evaluation design, indicating: (1) what types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports of results and outcomes will be available; and (7) how the applicant will use the information collected through the evaluation to monitor progress of the funded project and to provide accountability information both about success at the initial site and effective strategies for replication in other settings. Applicants are encouraged to devote an appropriate level of resources to project evaluation.

Successful applicants will be expected to report annually on the progress of each project or study included in the grant, including a description of preliminary or key findings and an explanation of any changes in goals, objectives, methodology, or planned products or publications.

APPLICATION TRANSMITTAL INSTRUCTIONS  
AND  
REQUIREMENTS FOR INTERGOVERNMENTAL REVIEW

## **Application Transmittal Instructions**

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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, D.C. 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# 84.373X  
400 Maryland Avenue, S.W.  
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# 84.373X  
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# 84.373X  
550 12<sup>th</sup> 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, D.C. 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.

Contact information for Federal agencies that award grants can be found in [The Catalog of Federal Domestic Assistance Catalog Contents Page](#). You can access Appendix IV by Agency [[http://12.46.245.173/CFDA/appx4\\_web.pdf](http://12.46.245.173/CFDA/appx4_web.pdf)] or by State [[http://12.46.245.173/CFDA/appx4\\_web\\_state.pdf](http://12.46.245.173/CFDA/appx4_web_state.pdf)].

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

<p><b>FLORIDA</b>          Lauren P. Milligan          Florida State Clearinghouse          Florida Dept. of Environmental Protection          3900 Commonwealth Boulevard          Mall Station 47          Tallahassee, Florida 32399-3000          Telephone: (850) 245-2161          FAX: (850) 245-2190  <a href="mailto:Lauren.Milligan@dep.state.fl.us">Lauren.Milligan@dep.state.fl.us</a></p>	<p><b>GEORGIA</b>          Barbara Jackson          Georgia State Clearinghouse          270 Washington Street, SW, 8<sup>th</sup> Floor          Atlanta, Georgia 30334          Telephone: (404) 656-3855          FAX: (404) 656-7901  <a href="mailto:gach@mail.opb.state.ga.us">gach@mail.opb.state.ga.us</a></p>
<p><b>ILLINOIS</b>          Roukaya McCaffrey          Department of Commerce and Economic Opportunities          620 East Adams, 6<sup>th</sup> Floor          Springfield, Illinois, 62701          Telephone: (217) 524-0188          FAX: (217) 558-0473  <a href="mailto:roukaya_mccaffrey@illinoisbiz.biz">roukaya_mccaffrey@illinoisbiz.biz</a></p>	<p><b>IOWA</b>          Kathy Mable          Iowa Department of Management          State Capitol Building Room G12          1007 E Grand Avenue          Des Moines, Iowa 50319          Telephone: (515) 281-8834          FAX: (515) 242-5897  <a href="mailto:Kathy.Mable@iowa.gov">Kathy.Mable@iowa.gov</a></p>
<p><b>KENTUCKY</b>          Ron Cook          The Governor's Office for Local Development          1024 Capital Center Drive, Suite 340          Frankfort, Kentucky 40601          Telephone: (502) 573-2382 / (800) 346-5606          FAX: (502) 573-2512  <a href="mailto:Ron.Cook@Ky.Gov">Ron.Cook@Ky.Gov</a></p>	<p><b>MAINE</b>          Joyce Benson          State Planning Office          184 State Street          38 State House Station          Augusta, Maine 04333          Telephone: (207) 287-3261          (direct): (207) 287-1461          FAX: (207) 287-6489  <a href="mailto:joyce.benson@state.me.us">joyce.benson@state.me.us</a></p>

<p><b>MARYLAND</b>  Linda C. Janey, J.D.  Director, Capital Planning and  Development Review  Maryland Department of Planning  301 West Preston Street, Room 1104  Baltimore, Maryland 21201-2305  Telephone: (410) 767-4490  FAX: (410) 767-4480  <a href="mailto:linda@mail.op.state.md.us">linda@mail.op.state.md.us</a></p>	<p><b>MICHIGAN</b>  William Parkus  Southeast Michigan Council of  Governments  535 Griswold, Suite 300  Detroit, Michigan 48226  Telephone: (313) 961-4266  FAX: (313) 961-4869  <a href="mailto:parkus@semcog.org">parkus@semcog.org</a></p>
<p><b>MISSISSIPPI</b>  Janet Riddell  Clearinghouse Officer  Department of Finance and  Administration  1301 Woolfolk Building, Suite E  501 North West Street  Jackson, Mississippi 39201  Telephone: (601) 359-6762  Fax: (601) 359-6758  <a href="mailto:JRiddell@dfa.state.ms.us">JRiddell@dfa.state.ms.us</a></p>	<p><b>MISSOURI</b>  Sara VanderFeltz  Federal Assistance Clearinghouse  Office of Administration  Commissioner's Office  Capitol Building, Room 125  Jefferson City, Missouri 65102  Telephone: (573) 751-0337  FAX: (573) 751-1212  <a href="mailto:sara.vanderfeltz@oa.mo.gov">sara.vanderfeltz@oa.mo.gov</a></p>
<p><b>NEVADA</b>  Zofia Targosz  Department of Administration  State Clearinghouse  209 E. Musser Street, Room 200  Carson City, Nevada 89701  Telephone: (775) 684-0209  FAX: (775) 684-0260  <a href="mailto:clearinghouse@budget.state.nv.us">clearinghouse@budget.state.nv.us</a></p>	<p><b>NEW HAMPSHIRE</b>  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  <a href="mailto:irp@nh.gov">irp@nh.gov</a></p>
<p><b>NEW YORK</b>  Linda Shkrell  Office of Public Security  Homeland Security Grants Coordination  633 3<sup>rd</sup> Avenue  New York, NY 10017  Telephone: (212) 867-1289  FAX: (212) 867-1725</p>	<p><b>NORTH DAKOTA</b>  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  <a href="mailto:jboyd@state.nd.us">jboyd@state.nd.us</a></p>

<p><b>RHODE ISLAND</b>  Joyce Karger  Department of Administration  One Capitol Hill  Providence Rhode Island 02908-5870  Telephone: (401) 222-6181  FAX: (401) 222-2083  <a href="mailto:jkarger@doa.state.ri.us">jkarger@doa.state.ri.us</a></p>	<p><b>SOUTH CAROLINA</b>  Jean Ricard  Office of State Budget  1201 Main Street, Suite 870  Columbia, South Carolina 29201  Telephone: (803) 734-1314  FAX: (803) 734-0645  <a href="mailto:jricard@budget.sc.us">jricard@budget.sc.us</a></p>
<p><b>TEXAS</b>  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  <a href="mailto:dfrancis@governor.state.tx.us">dfrancis@governor.state.tx.us</a></p>	<p><b>UTAH</b>  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  <a href="mailto:ddicaro@utah.gov">ddicaro@utah.gov</a></p>
<p><b>WEST VIRGINIA</b>  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  <a href="mailto:rlewis@wvdo.org">rlewis@wvdo.org</a></p>	<p><b>WISCONSIN</b>  Division of Intergovernmental Relations  Wisconsin Department of Administration  101 East Wilson Street, 10<sup>th</sup> Floor  P.O. Box 8944  Madison, Wisconsin 53708  Telephone: (608) 266-7043  FAX: (608) 267-6917  <a href="mailto:SPOC@doa.state.wi.us">SPOC@doa.state.wi.us</a></p>
<p><b>AMERICAN SAMOA</b>  Pat M. Galea'i  Federal Grants/Programs Coordinator  Office of Federal Programs/Office of the Governor  Department of Commerce  American Samoa Government  Pago Pago, American Samoa 96799  Telephone: (684) 633-5155  Fax: (684) 633-4195  <a href="mailto:pmgaleai@samoatelco.com">pmgaleai@samoatelco.com</a></p>	<p><b>GUAM</b>  Director  Bureau of Budget and Mgmt. Research  Office of the Governor  P.O. Box 2950  Agana, Guam 96910  Telephone: 011-671-472-2285  FAX: 011-671-472-2825  <a href="mailto:jer@ns.gov.gu">jer@ns.gov.gu</a></p>

<p><b>NORTH MARIANA ISLANDS</b>  Ms. Jacoba T. Seman  Federal Programs Coordinator  Office of Management and Budget  Office of the Governor  Saipan, MP 96950  Telephone: (670) 664-2289  FAX: (670) 664-2272  <a href="mailto:omb.jseman@saipan.com">omb.jseman@saipan.com</a></p>	<p><b>PUERTO RICO</b>  Jose Caballero / Mayra Silva  Puerto Rico Planning Board  Federal Proposals Review Office  Minillas Government Center  P.O. Box 41119  San Juan, Puerto Rico 00940-1119  Telephone: (787) 723-6190  FAX: (787) 722-6783</p>
<p><b>VIRGIN ISLANDS</b>  Ira Mills  Director, Office of Management and Budget  # 41 Norre Gade Emancipation Garden Station, Second Floor  Saint Thomas, Virgin Islands 00802  Telephone: (340) 774-0750  FAX: (787) 776-0069  <a href="mailto:Irmills@usvi.org">Irmills@usvi.org</a></p>	

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 [Hai M. Tran@omb.eop.gov](mailto:Hai.M.Tran@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 17<sup>th</sup> 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)  
AND  
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 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 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

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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.

OMB Number: 4040-0004  
Expiration Date: 01/31/2009

<b>Application for Federal Assistance SF-424</b>	
Version 02	
*1. Type of Submission: <input type="checkbox"/> Preapplication <input type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	*2. Type of Application      * If Revision, select appropriate letter(s) <input type="checkbox"/> New <input type="checkbox"/> Continuation              *Other (Specify) <input type="checkbox"/> Revision                      _____
3. Date Received:	4. Applicant Identifier:
5a. Federal Entity Identifier:	*5b. Federal Award Identifier:
<b>State Use Only:</b>	
6. Date Received by State:	7. State Application Identifier:
<b>8. APPLICANT INFORMATION:</b>	
*a. Legal Name:	
*b. Employer/Taxpayer Identification Number (EIN/TIN):	*c. Organizational DUNS:

**d. Address:**

\*Street 1: \_\_\_\_\_  
 Street 2: \_\_\_\_\_  
 \*City: \_\_\_\_\_  
 County: \_\_\_\_\_  
 \*State: \_\_\_\_\_  
 Province: \_\_\_\_\_  
 \*Country: \_\_\_\_\_  
 \*Zip / Postal Code \_\_\_\_\_

**e. Organizational Unit:**

Department Name: _____	Division Name: _____
------------------------	----------------------

**f. Name and contact information of person to be contacted on matters involving this application:**

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

Title: \_\_\_\_\_

Organizational Affiliation: \_\_\_\_\_

\*Telephone Number: \_\_\_\_\_ Fax Number: \_\_\_\_\_

\*Email: \_\_\_\_\_

OMB Number: 4040-0004  
 Expiration Date: 01/31/2009

**Application for Federal Assistance SF-424**  
 Version 02

**\*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:**

OMB Number: 4040-0004

Expiration Date: 01/31/2009

**Application for Federal Assistance SF-424**

Version 02

**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: \_\_\_\_\_

**Application for Federal Assistance SF-424**

Version 02

**\*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 45 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 used by applicants as a required face sheet for pre-applications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:	Item:	Entry:
1.	Select Type of Submission.	11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	12.	List only the largest political entities affected (e.g., State, counties, cities).
3.	only (if applicable).	13.	Enter the proposed start date and end date of the project.
4.	Enter Date Received by Federal Agency Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project
5.	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.	15.	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. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
7.	Select the appropriate letter in the space provided. A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School District I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify) O. Not for Profit Organization	17.	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.
8.	Select the type from the following list: • "New" means a new assistance award. • "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. • "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter:  A. Increase Award      B. Decrease Award C. Increase Duration      D. Decrease Duration	18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as 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.)
9.	Name of Federal agency from which assistance is being requested with this application.		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.		



**INSTRUCTIONS FOR  
DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424**

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**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.**

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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 12<sup>th</sup> Street, S.W. Room 7076  
Washington, DC 20202-4260

# DEFINITIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424 (Attachment to Instructions for Supplemental Information for SF 424)

## 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.

*Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education’s Protection of Human Subjects in Research Web Site: <http://www.ed.gov/about/offices/list/OCFO/humansub.html>*

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).



**U.S. DEPARTMENT OF EDUCATION  
BUDGET INFORMATION  
NON-CONSTRUCTION PROGRAMS**

OMB Control Number:  
1890-0004  
Expiration Date: 10-31-2007

Name of Institution/Organization

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***

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs*						
11. Training Stipends						
12. Total Costs (lines 9-11)						

**\*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)?

Name of Institution/Organization	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.
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**SECTION B - BUDGET SUMMARY  
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (Lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (Lines 9-11)						

**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**

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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.

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## ASSURANCES - NON-CONSTRUCTION PROGRAMS

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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

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

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**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.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §§874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
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.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
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.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

## CERTIFICATION REGARDING LOBBYING

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### **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 or 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



## 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 subawardee 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.

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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

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

1. Self-explanatory.
2. Self-identify.
3. 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

**NOTICE TO ALL APPLICANTS:  
Program Performance Measures Under  
The Government Performance and Results Act (GPRA)**

**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**

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**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**

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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**

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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)