

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

FISCAL YEAR 2013

APPLICATIONS FOR NEW AWARDS

**PROMOTING THE READINESS OF MINORS IN
SUPPLEMENTAL SECURITY INCOME
(PROMISE)**

(CFDA 84.418P)



DATED MATERIAL: OPEN IMMEDIATELY

CLOSING DATE: AUGUST 19, 2013 (4:30.00 PM WASHINGTON, DC TIME)

FORM APPROVED — OMB No. 1894-0006, EXP. DATE: 07/31/2014

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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, DC 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 Ave. SW, PCP 4106
Washington, DC 20202-2600

APPLICANT LETTER

Dear Applicant:

This application packet contains information and the required forms for you to use in submitting a new application for funding under a program authorized by the FY 2012 Consolidated Appropriations Act. This packet covers one competition under the Promoting the Readiness of Minors in Supplemental Security Income (PROMISE) program (CFDA No. 84.418P). The dates for the pre-application webinars and teleconference, and other information can be found at www.ed.gov/promise.

Please take the time to review the applicable requirements, definitions, selection criteria, and all of the application instructions thoroughly. An application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required. (EDGAR §75.216 (b) and (c)).

Please note the following:

- **GRANTS.GOV APPLICATION SUBMISSION.**
Applications for grants under this competition **must** be submitted electronically using the Grants.gov Apply site (www.Grants.gov). Please read carefully the **Grants.gov Submission Procedures and Tips for Applicants** document that we have included on page A-26-28, which includes helpful tips about submitting electronically using the Grants.gov Apply site. We strongly encourage you to familiarize yourself with Grants.gov and strongly recommend that you register *and* submit early. **Also, applicants are required to upload their attachments in PDF format only.** Please be aware that applications submitted to Grants.gov for the Department of Education will now be posted using Adobe forms. Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov. 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 can also be found in section D-1 of this application package, Application Transmittal Instructions and Requirements for Intergovernmental Review. Additional instructions for sending applications electronically are provided on page E-4, Application Forms and Instructions for Grants.gov Applications.
- **MAXIMUM AWARD AMOUNT.**
In addition to providing detailed budget information for the total grant period requested, the competitions included in this package have maximum award amounts. 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 AND LINE SPACING OF APPLICATION NARRATIVE.**
The competitions included in this package limit the Part III Application Narrative to a specified number of double-spaced pages. This page limitation and double-line spacing requirement applies to all material presented in the application narrative. (Please refer to the specific requirements on page limits for the priority/competition to which you are submitting an application, Section B of this package). The Department will reject, and will NOT consider an application that does not adhere to the narrative's double-line spacing and page limit requirements for the competition.

- FORMAT FOR APPLICATIONS.

Additional information regarding formatting applications has been included on Pages C-3 and C-4 of the “General Information on Completing an Application” section of this package. Please note that charts, tables, figures, graphs, and logic models **can** be single spaced and placed in an Appendix A. Reviewers will be instructed to review the content of Appendix A as they do the application narrative but will not be required to review any other appendices. Appendix A is to be used only for charts, tables, figures, graphs, and logic models that provide information directly relating to the application requirements for the narrative—it should not be used for supplementary information.

- 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:

www.ed.gov/about/offices/list/ocfo/gcsindex.html

www.ed.gov/about/offices/list/ocfo/humansub.html

- COPIES OF THE APPLICATION.

Unless you qualify for an exception in accordance with the instructions found in the Notice inviting applications, you must submit your application electronically. Therefore, you do not need to submit paper copies of the application. If you are granted an exception, current Government-wide policy requires that an original and two paper copies need to be submitted. Please note: If an application is recommended for funding and a grant award is issued, we will contact the applicant to request an electronic copy of the application in MS Word or a PDF file. 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 contact person 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. OSEP also provides information on developing performance measures and logic models at

<http://www.tadnet.org/pages/589> to assist you in preparing a quality application. 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:

www.ed.gov/about/offices/list/ocfo/grants/grants.html

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

Sincerely,

Lawrence J. Wexler, Ed.D.

Director

Research to Practice Division

Office of Special Education Programs

NOTICE INVITING APPLICANTS

FEDERAL REGISTER NOTICE

4000-01-U

DEPARTMENT OF EDUCATION

Applications for New Awards; Promoting the Readiness of Minors in Supplemental Security Income (PROMISE)

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

ACTION: Notice.

Overview Information:

Promoting the Readiness of Minors in Supplemental Security Income (PROMISE)

Notice inviting applications for new awards for fiscal year (FY) 2013.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.418P.

Dates:

Applications Available: **May 21, 2013.**

Deadline for Notice of Intent to Apply: **June 20, 2013.**

Dates of Pre-Application Webinars: **May 30, 2013 and June 4, 2013.**

Date of Pre-Application Teleconference: **June 27, 2013.**

For further information about the pre-application webinars and teleconference, see the PROMISE Web site at www.ed.gov/promise.

Deadline for Transmittal of Applications: **August 19, 2013.**

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program:

Promoting the Readiness of Minors in Supplemental Security Income (PROMISE) is a joint initiative of the U.S. Department of Education (ED), the U.S. Social Security Administration (SSA), the U.S. Department of Health and Human Services (DHHS), and the U.S. Department of Labor (DOL). Under PROMISE, ED will fund States to develop and implement model demonstration projects (MDPs) that promote positive outcomes for children who receive Supplemental Security Income (SSI) and their families. Specifically, PROMISE is intended to improve the provision and coordination of services and supports for child SSI recipients and their families to enable them to achieve improved outcomes. These outcomes include graduating from high school ready for college and a career, completing postsecondary education and job training, and obtaining competitive employment in an integrated setting and, as a result, achieving long-term reductions in the child recipients' reliance on SSI.

Priority:

We are establishing this priority for the FY 2013 grant competition and any subsequent year in which we make awards from the list of unfunded applicants from this competition, in accordance with section 437(d)(1) of the General Education Provisions Act (GEPA), 20 U.S.C. 1232(d)(1).

Absolute Priority:

This priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this priority. Applications submitted under this absolute priority may be from a single State or a multi-State consortium.¹

This priority is:

Promoting the Readiness of Minors in Supplemental Security Income (PROMISE).

Background:

The Supplemental Security Income (SSI) program for children provides cash payments to low-income families that have a child with a severe disability under SSA disability eligibility criteria. This means-tested cash payment is a vital source of income for families of children

¹ Applicants are invited to form consortia consistent with the Education Department General Administrative Regulations in 34 CFR 75.127 through 75.129. A consortium is any combination of eligible entities. See the [Eligibility Information](#) section of this notice for further requirements for consortia.

under the age of 18. To qualify for SSI, children and their families must meet income, asset, and disability eligibility criteria. To meet the SSI disability eligibility criteria, a child must have a medically determinable physical or mental impairment that results in marked and severe functional limitations, and that can be expected to result in death or that has lasted, or can be expected to last, for a continuous period of not less than 12 months (42 U.S.C. 1382(c)). In 2011, SSA paid roughly \$9.4 billion to 1.3 million children, an average monthly payment of \$592 per child. In 2013, the maximum monthly SSI payment is \$710 per child (www.ssa.gov/oact/cola/SSI.html).

Under the Personal Responsibility and Work Opportunity Reconciliation Act of 1996, when they reach the age of 18, child SSI recipients must have their eligibility for SSI redetermined using more stringent adult eligibility criteria. Using the adult program rules, eligibility is based on the inability to perform substantial gainful activity (Hemmeter & Gilby, 2009).

Approximately 60 percent of child SSI recipients receive SSI as adults (Hemmeter, Kauff, & Wittenburg, 2009). Of those who leave the program at age 18, either because they did not meet the adult SSI disability criteria or for other reasons, about one-fourth of the SSI recipients return to the program within four years (Hemmeter & Gilby, 2009). The probability of remaining on SSI varies substantially among individuals and especially by the type and significance of impairment (Hemmeter, Kauff, & Wittenburg, 2009).

Child SSI recipients who become adult SSI recipients continue to face many challenges. Rangarajan et al. (2009) report the following data (from 2000) for young adults, ages 19 to 23, receiving SSI payments:

- Low educational attainment rates: 39 percent did not have a high school diploma and were not currently attending school.
- Low employment rates: 22 percent were employed compared with 69 percent for all adults ages 20 to 24.
- Low postsecondary enrollment rates: 6 percent were enrolled in some form of postsecondary education after graduating from high school, compared with 41 percent of all youth ages 18 to 23.
- Low enrollment rates in vocational rehabilitation (VR): Only 13 percent had ever received services from a State VR agency.

- High arrest rates: Approximately one-fifth had been arrested, which is fairly consistent with other reports (e.g., Quinn, Rutherford, Leone, Osher, & Poirier, 2005) indicating that 30 to 50 percent of all incarcerated youth have disabilities that could qualify them for support services, such as special education.
- High rates of disconnection overall: 57 percent were not enrolled in education programs, not receiving VR services, and not employed.

Parents and other family members of child SSI recipients also face many challenges and are in need of support services. According to Davies, Rupp, and Wittenburg (2009), about one-third of the parents of child SSI recipients have less than a high school education, and almost half of child SSI recipients live in a household with at least one other person with a disability. There also is evidence that child SSI recipients and their families lack information about various work incentives available to them to help them pursue activities that would increase self-sufficiency (Fraker & Rangarajan, 2009; Loprest & Wittenburg, 2005).²

The structure of services to help children with disabilities who are SSI recipients transition from school to postsecondary education and competitive employment may also be a barrier to achieving self-sufficiency and independence. Not all child SSI recipients receive transition support services as adults because many services, including VR and mental health services, are not entitlements (Hemmeter, Kauff, & Wittenburg, 2009). In addition, there are concerns about gaps (e.g., differing eligibility requirements and goals) in the coordination of transition support services provided by Federal, State, and local governments, as noted in a series of U.S. Government Accountability Office (GAO) reports over the past decade (GAO, 2003, 2008, 2012).

To address these gaps and improve postsecondary education and employment outcomes for children with disabilities, there is a need to strengthen coordination among agencies through the development of interagency partnerships that integrate educational and employment services, supports, and resources. It is also essential to provide coordinated individual and family-centered interventions that use evidence-based transition support services (SSA, 2003). The Individuals with Disabilities Education Act (IDEA) requires that, beginning at age 16, or younger if determined appropriate by the individualized education program (IEP) Team, a child with a disability, including child SSI recipients served under the IDEA, receive transition services, which are a coordinated set of activities to facilitate the child's movement

² SSI programs include a number of employment support provisions commonly referred to as "work incentives." Additional information about SSI work incentives is available at www.socialsecurity.gov/redbook/eng/ssi-only-employment-supports.htm#2.

from school to post-school activities.³ Transition services could include services available through the VR State Grants program, SSA's Ticket to Work Program and Work Incentives Program, Medicaid's care coordination services, Job Corps, and other Workforce Investment Act programs.

Unfortunately, there is no strong evidence of the effectiveness of specific services for youth with disabilities who are transitioning from school to post-school activities. More research is needed to identify effective interventions, although there are some suggestive findings (Cobb et al., in review). For example, the National Survey of SSI Children and Families found that the probability of remaining on SSI was substantially lower for those who were employed prior to age 18 (Hemmeter, Kauff, & Wittenburg, 2009). Other correlational studies suggest that better post-school outcomes for children with disabilities may be linked to the following: (1) primary and secondary school activities such as inclusion in general education, exposure to career awareness and community activities, and education in skills such as self-awareness, self-advocacy, and independent living; (2) interagency collaboration; and (3) education and supports for the families, including ways to encourage parental participation in IEP Team meetings, financial and career planning courses, and transition plans for moving off of SSI (Test et al., 2009).

To address these concerns about barriers, to encourage new ways of providing supports, and to build an evidence base on the effectiveness of promising interventions, the Consolidated Appropriations Act, 2012 (P.L. 112-74) provided funds for activities aimed at improving the outcomes for child SSI recipients and their families. Specifically, the FY 2012 appropriation for Special Education included \$2 million to support activities needed to plan and begin implementing PROMISE. In addition, the FY 2012 Consolidated Appropriations Act allows the Secretary to use amounts that remain available subsequent to the reallocation of funds to States under the VR State Grants program pursuant to section 110(b) of the Rehabilitation Act of 1973, as amended (Rehabilitation Act), for improving the outcomes of child SSI recipients and their families under PROMISE. These funds, which remain available for Federal obligation until September 30, 2013, will be used to support PROMISE grant awards and related activities.

Children receiving payments under the SSI program need a continuum of coordinated services and supports to prepare for the transition to postsecondary education and competitive employment and to continue on a path to economic self-sufficiency. Through the PROMISE program, States will develop and implement MDPs that are designed to improve the educational

³ See 20 U.S.C. 1401(34) and 34 CFR 300.43; see also 20 U.S.C. 1414(d)(1)(A)(i)(VIII) and 34 CFR 300.320(b).

and employment outcomes of child SSI recipients and their families, and SSA will evaluate these MDPs in order to help build an evidence base of practices that improve these outcomes.

Based on our review of the available research, extensive public input, and consultation with experts, ED believes that effective partnerships among agencies responsible for programs that provide key services to child SSI recipients and their families will increase the likelihood of success of the PROMISE MDPs. Effective partnerships can improve the coordination of services, integrate multiple funding sources and other resources at the State and local levels, and enhance the ability of the State to effectively serve child SSI recipients and their families. We also believe that focusing on the needs of both children and their families will help further the long-term goal of independence and self-sufficiency for child SSI recipients. In particular, we are interested in testing whether initiating interventions with the child and family when the child is 14 to 16 years of age will lead to better outcomes.

For this reason, each PROMISE project must have several core features: (1) strong and effective partnerships with agencies responsible for programs that play a key role in providing services to child SSI recipients and their families; (2) a plan to provide a set of coordinated services and supports, and implement effective practices, targeted to the needs of child SSI recipients and their families; and (3) the capacity to achieve results, including the capacity to implement the required project design and adhere to data collection protocols that allow for the testing and rigorous evaluation of the project.

The first four months of the project period will be used for planning and finalizing all aspects of the MDP, such as establishing formal partnerships, securing memoranda of understanding (MOUs) with the lead coordinating entity as described in the Eligibility Information section of this notice, and collaborating with the national evaluator⁴ to plan for and initiate participant outreach and recruitment.

ED expects States, in developing their MDPs, to draw on their knowledge and experience in working with children and families with similar characteristics (i.e., those living in poverty and those with family members with disabilities), as well as on the relevant literature, to identify innovative methods of providing services and supports that show potential to improve the economic self-sufficiency of child SSI recipients and their families. In addition, based on the review of literature, input from non-Federal experts, and expertise of the Federal PROMISE partners, we have identified a small subset of services that each project will be required to

⁴ A national evaluator, funded under a contract with SSA, will conduct a rigorous evaluation using randomized controlled trials to determine the effectiveness of the projects at improving the outcomes of participating youth and reducing their dependence on SSI.

provide. Furthermore, we have identified examples of other services and supports that we ask States to consider as they develop their MDPs (see Services and Supports under paragraph (b) of the Project Activities section of this notice).

ED and its Federal PROMISE partners intend to use the findings and results of these projects to inform public policy and to build an evidence base for improving postsecondary education and employment outcomes for child SSI recipients and their families.

References:

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- Quinn, M. M., Rutherford, R. B., Leone, P. E., Osher, D. M., & Poirier, J. M. (2005). Youth with disabilities in juvenile corrections: A national survey. Exceptional Children, 71, 339–345.

Rangarajan, A., Fraker, T., Honeycutt, T., Mamun, A., Martinez, J., O'Day, B., & Wittenburg, D. (2009). The Social Security Administration's Youth Transition Demonstration Projects: Evaluation Design Report. Available from www.mdrc.org/sites/default/files/full_576.pdf.

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Test, D. W., Mazzotti, V. L., Mustian, A. L., Fowler, C. H., Kortering, L. J., & Kohler, P. H. (2009). Evidence-based secondary transition predictors for improving post-school outcomes for students with disabilities. Career Development for Exceptional Individuals, 32, 160-181.

U.S. Government Accountability Office. (2003, July). Special education: Federal actions can assist States in improving postsecondary outcomes for youth (GAO-03-773). Washington, DC: Government Printing Office.

U.S. Government Accountability Office. (2008, May). Federal disability programs: More strategic coordination could help overcome challenges to needed transformation (GAO-08-635). Washington, DC: Government Printing Office.

U.S. Government Accountability Office. (2012, June). Supplemental Security Income: Better management oversight needed for children's benefits (GAO-12-497). Washington, DC: Government Printing Office.

Priority:

The purpose of this priority is to fund three to six cooperative agreements for five years, to establish and operate State MDPs designed to improve the education and employment outcomes of child SSI recipients and their families, and eventually lead to increased economic self-sufficiency and a reduction in their dependence on SSI payments. At a minimum, the MDPs must--

(a) Develop and implement interventions for child SSI recipients between the ages of 14 and 16 at the time the project services are initiated for them and their families. The MDP interventions should be based on the best available research evidence or data from State experience relating to coordinating, arranging, and providing services and supports for child SSI recipients and their families.

The MDP interventions must be designed to meet PROMISE's goals (for both the children and their families), which include:

- Increased educational attainment for the child SSI recipients and their parents;
- Improved rates of employment, wages/earnings, and job retention for the child SSI recipients and their parents;
- Increased total household income; and
- Long-term reduction in SSI payments.

(b) Establish partnerships (through subgrants subcontracts, memoranda of understanding, or other formal agreements) with State and local agencies and other entities to improve interagency collaboration in carrying out the MDP interventions and in developing innovative methods of providing services and supports that will lead to better outcomes for child SSI recipients and their families. For example, these methods could include better use of existing services, identification of gaps in services, and sharing resources, data, or other information so long as such sharing of data or information is permitted under any applicable Federal or State laws or regulations that protect the confidentiality or privacy of personally identifiable information or records;

(c) Participate, and require any subgrantees or partners to participate, in collaboration with the national evaluator, in ongoing data collection and analysis, in a manner consistent with any applicable Federal or State laws or regulations that protect the confidentiality or privacy of personally identifiable information or records, both to determine the effectiveness of the MDP, including specific interventions, and to allow for mid-course corrections in the project as needed during the demonstration period, including by--

(1) Cooperating with the national evaluator in the random assignment of eligible child participants and their families either to the group that receives the MDP interventions (treatment group) or to the group that does not receive the MDP interventions, but receives services they would ordinarily receive (control group), and in the collection of data for the evaluation as permitted under applicable Federal or State laws or regulations; and

(2) Designing and implementing a plan for continually assessing the progress of the MDP interventions, for the purpose of ongoing program evaluation.

Project Activities.

To meet the requirements of this priority, the MDP, at a minimum, must conduct the following activities:

(a) Partnerships

(1) Establish a formal partnership with agencies and organizations in the State that play, or have the potential to play, a substantial role in the development and implementation of policies and practices affecting child SSI recipients and their families and in the provision of services and supports to those children and their families.

(i) At a minimum, partners must include the State agencies or equivalents responsible for administering programs that provide the following services:

- State VR services under Title I of the Rehabilitation Act;
- Special education and related services under Part B of the IDEA;
- Workforce Development services under Title I of the Workforce Investment Act (WIA), including Youth Services described in the WIA (Section 129(c)(2));
- Medicaid services under Title XIX of the Social Security Act;
- Temporary Assistance for Needy Families under the Personal Responsibility and Work Opportunity Reconciliation Act;
- Developmental/intellectual disabilities services; and
- Mental health services.

(ii) An applicant may propose a partnership that excludes a required State partner described in paragraph (a)(1)(i) of this section if the applicant provides a strong justification for doing so. A strong justification for excluding a required State partner would be if the applicant can provide the required services and supports and other proposed services and supports (described in Services and Supports under paragraph (b) of the Project Activities section of this notice) to the child participants and their families without the participation of the required partner. However, at least three of the required partners, including the lead coordinating entity, must participate in the partnership.

(iii) In order to meet the requirements described in paragraph (a)(1)(i) or (a)(1)(ii) of this section, applicants may propose to include an established State-level interagency entity such as a State Transition Coordinating Council.

(iv) Applicants may propose other partners that they believe would facilitate the success of the project, such as Employment Networks under the Ticket to Work Program, employers or employer organizations, community colleges, institutions of higher education, independent living centers, and agencies that administer or carry out adult education programs, career and technical education programs, and maternal and child welfare programs.

(v) Applicants must establish procedures governing the exchange of information by the partners in accordance with any applicable Federal or State laws or regulations that protect the confidentiality or privacy of personally identifiable information or records. This includes establishing procedures to ensure that personally identifiable information from education records is exchanged among the partners in compliance with the requirements of the Family Educational Rights and Privacy Act (FERPA)⁵, 20 U.S.C. 1232g, and its implementing regulations in 34 CFR part 99, and the IDEA confidentiality of information provisions in 20 U.S.C. 1417(c) and 34 CFR 300.622, which protect the privacy of personally identifiable information in education records and generally require the prior consent of the parent or eligible student for the disclosure of such information to third parties, unless there is an exception that would permit the disclosure without consent.

(b) Services and Supports for Participants in the Treatment Group

(1) Develop and implement interventions for child SSI recipients and their families that include a coordinated set of services and supports designed to improve the education and employment outcomes (described under Performance Measures in paragraph (c) of the Evaluation and Project Assessment Activities section of this notice) of child SSI recipients and their families. The MDP must also develop innovative methods of providing these services and supports, including coordinating and using resources available through existing programs or funding streams.

⁵ Applicants must ensure the confidentiality of individual data, consistent with the requirements of FERPA, 20 U.S.C. 1232g, the confidentiality of information provisions in section 617(c) of the IDEA, and any other applicable Federal or State laws or regulations that protect the privacy or confidentiality of personally identifiable information or records. FERPA generally prohibits school districts and schools that receive Federal funds from the U.S. Department of Education from disclosing, without the prior written consent of a parent or an eligible student, personally identifiable information from education records. See 20 U.S.C. 1232g and 34 CFR 99.30. (An eligible student is a student who is 18 years of age or older or attends a postsecondary institution at any age). However, certain disclosures may occur, without the prior written consent of a parent or an eligible student, under one of FERPA's specific exceptions to the prior consent requirement. See 34 CFR 99.31. In general and consistent with FERPA, IDEA's confidentiality of information provisions require prior written consent for disclosures of personally identifiable information contained in education records, unless a specific exception applies (20 U.S.C. 1417(c) and 34 CFR 300.622). Questions about FERPA can be forwarded to the Family Policy Compliance Office (www.ed.gov/fpco) at (202) 260-3887 or FERPA@ed.gov.

In selecting the services and supports to be provided, the applicant must consider the best available information on promising strategies and practices, including, where available, evidence of the effectiveness of the proposed strategies and practices.

(i) As a subset of the proposed services and supports, each MDP must provide or arrange for the following--

(A) Case management: Each MDP must provide case management services for the duration of the project to ensure that services for the participating children and their families are appropriately planned and coordinated and to assist project participants in navigating through the services, supports, and benefits available from the larger service delivery system. Case management services must include, at a minimum:

(1) identifying, locating, and arranging for needed services and supports for the children and their families;

(2) coordinating services provided directly by the MDP with other services that are available in the larger service delivery system; and

(3) transition planning to assist the participating children in setting post-school goals and to facilitate their transition to an appropriate post-school setting, including postsecondary education, training, or competitive employment in an integrated setting. Transition planning must be conducted in coordination with the local educational agency⁶ and, as appropriate, with the consent of the parents or a child who has reached the age of majority under State law, with other agency partners, such as the VR agency, the State Medicaid Agency or other public insurance program, and workforce investment agencies;

(B) Benefits counseling and financial capability services: Each MDP must include ongoing training for the child participants and their families on SSA work incentives, eligibility requirements of various programs, earnings rules, asset accumulation, and financial literacy and planning;

⁶ Under the IDEA, beginning not later than the first IEP to be in effect when the child turns 16, or younger if determined appropriate by the IEP Team and updated annually thereafter, the IEP must include (1) appropriate measurable postsecondary goals based upon age appropriate transition assessments related to training, education, employment, and where appropriate, independent living skills; and (2) the transition services (including courses of study) needed to assist the child in reaching those goals. 34 CFR 300.320(b). These determinations are made through the IEP process in a meeting of the IEP Team. If a purpose of an IEP Team meeting is the consideration of the child's postsecondary goals and the transition services needed to assist the child in reaching those goals, the requirements in 34 CFR 300.321(b) apply to the participants at that meeting. Section 300.321(b)(3) provides that: To the extent appropriate, with the consent of the parents or a child who has reached the age of majority under State law, the public agency, a term that includes the local educational agency, must invite a representative of any participating agency that is likely to be responsible for providing or paying for transition services.

(C) Career and work-based learning experiences: At least one paid work experience in an integrated setting must be provided for children participating in the project before leaving high school. In addition, other skill development opportunities must be provided in an integrated setting, such as volunteering or participating in internships, community services, and on-the-job training experiences, including experiences designed to improve workplace basic skills (sometimes called “soft skills”); and

(D) Parent training and information: At a minimum, the project must provide information and training to the family of participating children with respect to:

(1) the parents’ role in supporting and advocating for their children’s education and employment goals, including the importance of high expectations for their children’s participation in education and competitive employment;

(2) resources for improving the education and employment outcomes of the parents and the economic self-sufficiency of the family, including through--

(i) the acquisition of basic education, literacy, and job-readiness skills, and

(ii) job training and employment services.

(ii) The MDPs also must provide, or arrange for the provision of, other services and supports designed, in combination with the required services, to improve education and employment outcomes for participating children and their parents. Examples of other services include:

(A) Youth development activities: Examples include training in job-seeking skills, life skills, independent living skills, self-advocacy, self-determination, and conflict resolution; exposure to personal leadership development and mentoring opportunities; and exposure to post-school supports through structured arrangements with postsecondary education programs and adult service agencies;

(B) Career development/preparatory activities:

Examples include career assessments to help identify career preferences, interests, and skills; career counseling and exploration, including structured exposure to postsecondary education and other life-long learning opportunities; exposure to career opportunities that ultimately lead to a living wage; and information about educational requirements, entry requirements, and income and benefits potential;

(iii) Extended and experiential learning opportunities in integrated settings;

(iv) Job search and job placement assistance, job development, and post-placement employment supports;

(v) Activities designed to engage employers in providing work experiences and in employing participants of the project;

(vi) Health and behavioral management and wellness services, including transition to adult services;

(vii) Literacy training;

(viii) Training in the use of technology and assistive technology services and devices, including the use of assistive technology for education, training, and employment purposes; and

(ix) Independent living activities such as assistance in locating and obtaining housing, health care, and personal attendant services; transportation training and subsidies; child care services; and other community supports.

(c) Participant Outreach and Recruitment

Within two years of the initiation of the project:

(1) Plan for and conduct outreach and recruitment activities (such activities may include mailings, phone calls, informational meetings at State or local agencies or schools, home visits, and other efforts targeted to this population);⁷

(2) Obtain consent for the participation of a minimum of 2,000 child SSI recipients;

(3) Initiate services to participants in the treatment group who must be between the ages of 14 and 16 at the time that project services are initiated; and

(4) As part of the plan for outreach and recruitment, prepare and provide potential participants with a recruitment packet that includes--

(i) A description of the full scope of the project and the goals and objectives of the project with respect to participant outcomes and evaluation activities, including the use of random assignment to determine who will receive MDP interventions, and an explanation of what will be expected of the control group members (e.g., participation in surveys at 18 months, and potentially 60 months after random assignment);

⁷ To assist in these efforts, SSA will, upon completion of an MOU between SSA and the State, provide a list of child SSI recipients and the available contact information in order to assist each funded project in identifying potential participants.

(ii) An MDP enrollment form developed by the national evaluator that includes sufficient demographic and other information to classify the participants into subgroups for further analysis; and

(iii) A written consent form to participate in the project for the parent and, if applicable, the child, that will be developed jointly by the MDP and the national evaluator. As part of the consent, the project requirements must be fully explained to the parent and, if appropriate, to the child. If appropriate, a child who has reached the age of majority under State law must sign the consent form. The consent form must obtain from the parent or child, if appropriate, written consent to participate in the program and to permit the disclosure of personally identifiable information from relevant, privacy-protected records either to the national evaluator or to the project partners in order for them to share data needed to carry out project activities.

All outreach and recruitment materials and forms must be developed and provided in accessible formats for individuals with disabilities, using jargon-free, easily comprehended language, and provided in the family's native language or through another mode of communication, unless it is clearly not feasible to do so.

(d) Technical Assistance and Training

(1) Provide or arrange for the provision of technical assistance, professional development, and training for State and local staff who will carry out project and evaluation activities to ensure that the interventions are implemented in accordance with the MDP design and the needs of the national evaluation. At a minimum, the MDP must provide for the following:

(i) Development of all necessary information and materials about the MDP interventions and project assessments, including the roles and responsibilities of all partners and staff at the State and local levels;

(ii) Twice-a-year meetings in which local site staff are required to participate and for which their participation is supported with project funds. For single State applicants, conduct these meetings either at the location of the lead coordinating entity or at a central location in the State. For consortia, conduct these meetings at a mutually agreeable location. The types of professional development and training to carry out the MDP interventions will be determined by the lead coordinating entity, its partners, and ED. The professional development will be provided by personnel from those entities or other experts. One or more sessions at the semi-annual meetings will be led by the national evaluator in order to train appropriate State and local staff on the evaluation requirements, including the random assignment and data collection processes

consistent with any applicable Federal or State laws or regulations that protect the privacy or confidentiality of any relevant data. The first semi-annual meeting must occur early in the first year of the project before random assignment begins; and

(iii) Other ongoing technical assistance that the lead coordinating entity and its partners, including the national evaluator, determine is necessary for fidelity of implementation of the MDP interventions and the evaluation and project assessment activities.⁸

Evaluation and Project Assessment Activities.

Each MDP must be designed to show progress in the key outcome measures to be evaluated under the PROMISE initiative (described in the Performance Measures under paragraph (c) of the Evaluation and Project Assessment Activities section of this notice), as well as the other outcomes that a project proposes to measure. To meet the requirements of this priority, each MDP, at a minimum, must participate in the following activities.

(a) Rigorous Program Evaluation

(1) SSA, in collaboration with ED, will conduct a rigorous evaluation of the PROMISE program using a randomized controlled trial design for each project to obtain evidence of the effectiveness of the MDP interventions carried out under the PROMISE program. MDPs and their designated partners at the State and local levels must:

(i) Agree to allow random assignment to determine which half of the at least 2,000 children and their families recruited for the project will receive the MDP interventions (treatment group) and which half of the children and families will receive the services they ordinarily would receive and will not receive the MDP interventions (control group);

(ii) Ensure that State or local site staff, wherever MDP enrollment forms are being collected, assist in the random assignment process. Staff will be required to provide information from each child's enrollment form (e.g., name, Social Security number, gender, disability, age) to the national evaluator through a secure Web-based random assignment system or a secure phone system. The Web or phone systems will be developed by the national evaluator. After staff provide the data items that are necessary to conduct the random assignment, the results of the random assignment will be made available to the project staff;

⁸ ED and SSA plan to fund technical assistance to PROMISE projects on program implementation, data collection, and evaluation fidelity. Projects should provide or arrange for technical assistance beyond what will be funded by ED and SSA.

(iii) Ensure that State or local staff communicate the results of the random assignment (i.e., whether the participants have been assigned to the treatment group or the control group) to the child SSI recipients and their families;

(iv) Provide the MDP interventions only to the children and their families assigned to the treatment group; and

(v) Require State and local staff involved in the random assignment process to receive training from the national evaluator at the technical assistance and training meetings (described in paragraph (d)(1) of the Technical Assistance and Training section of this notice) arranged by the State.

(b) Formative Evaluation

(1) Each MDP must develop and implement a plan for conducting a formative evaluation of the project's activities and model, consistent with the proposed logic model and data collection plan, to assess the project's performance and progress in achieving its goals and inform decision making (as outlined in paragraph (j) in the Application Requirements section of this notice).

(c) Performance Measures

(1) Each project must be designed to track its progress on the key outcomes to be evaluated under the PROMISE program as well as the other outcomes that a project proposes to measure.

(2) In collaboration with the national evaluator, the performance of the PROMISE program will be assessed on the basis of established key outcome measures for participating child SSI recipients and their families, as reflected in the goals of the program provided in the priority:

(i) Increased educational attainment (high school completion, diploma or equivalent) and enrollment and persistence in postsecondary education or training by child SSI recipients and their parents;

(ii) Increased number of individuals, including both child SSI recipients and their parents, earning credentials after high school (e.g., postsecondary degree, technical certification, occupational licensure, or other industry-recognized credential);

(iii) Improved employment outcomes (e.g., competitive employment and increased earnings, number of hours worked per week, job retention) for child SSI recipients and their parents;

(iv) Reduced use of public benefits provided to the individual or family (e.g., cash benefits and other benefits with directly measurable economic value);

(v) Increased total gross income of all the members of a household who are 15 years old and older (included in the total are amounts reported separately for wage or salary income; net self-employment income; interest, dividends, or net rental or royalty income or income from estates and trusts; Social Security or Railroad Retirement income; Supplemental Security Income; public assistance or welfare payments; retirement, survivor, or disability pensions; and all other income); and

(vi) Post-program reduction in SSI payments as a result of participation in the MDP (i.e., amounts paid to children and their families who participate in the MDP interventions are expected to be less than amounts paid to participants randomly assigned to receive services they typically receive).

(3) In addition to the key program outcome measures, each MDP must develop project measures that assess the project's performance in achieving its goals consistent with the purpose of the priority and the project's logic model.

(i) The set of project measures must include interim measures that assess the progress toward achieving the project's outcomes, including the attainment of milestones and benchmarks consistent with the logic model. For example, the applicant may consider measures related to school attendance, project attrition, work experiences, enrollment in education or workforce development programs, or the use of partner-provided services for which the child participants and their families are eligible.

(ii) The MDP must report progress and performance on its measures at least quarterly to the Office of Special Education Programs (OSEP) and the national evaluator and use this information to inform decision making consistent with any applicable Federal or State laws or regulations that protect the privacy or confidentiality of any personally identifiable information or records.

(d) Data Collection

(1) Each MDP must develop and implement a plan for collecting data and for cooperating with the national evaluator in its efforts to obtain data and other information on the MDP. The plan must be designed to ensure that the MDP will:

(i) Assist in collecting baseline (pre-program) data using the MDP enrollment form provided by the national evaluator;

(ii) Require project partners and staff at the State and local levels to cooperate with the national evaluator's efforts to obtain descriptive information on project implementation such as through surveys, focus groups, or other methods.

(iii) Have the capacity to track and manage project information, such as referrals and service participation, and document the services and supports received by the child participants and their families.

(iv) Ensure the State administrative data collected by various State agency PROMISE partners are shared with the national evaluator, subject to obtaining required consent under FERPA and the IDEA confidentiality of information provisions and any other applicable Federal or State laws or regulations that protect the privacy or confidentiality of personally identifiable information or records. These State data may include information related to services provided, interim and long-term outcomes, and project progress and performance. Examples of State administrative data include education records maintained by a State educational agency through its statewide longitudinal data system (e.g., transcripts, State assessment data, attendance records, high school completion data, postsecondary enrollment information), employment and earnings information obtained through the State Unemployment Insurance system, service data collected by the State VR system, and health records maintained by the State Medicaid office;

(v) Collect data to evaluate the performance of the MDP on the key outcome measures (described in the Performance Measures under paragraph (c)(1) of the Evaluation and Project Assessment Activities section of this notice), and develop and implement a process to identify and collect the data needed to support project measures that assess the MDP's progress and performance, including by making data available from its statewide longitudinal data system(s); and

(vi) Use unique program identifiers that can be matched to various data systems.

Other Project Activities.

To meet the requirements of this priority, each MDP, at a minimum, must conduct the following activities:

(a) Maintain ongoing telephone and email communication with the OSEP project officer;

(b) Maintain detailed documentation sufficient for model replication purposes, should the model be successful, including the sources of support for services to participants (other than direct project funds) such as services provided through existing State and local programs;

(c) Communicate and collaborate on an ongoing basis with other federally funded projects, including other MDPs funded under this priority, to share information on successful strategies and implementation challenges regarding the coordination of services and supports for child SSI recipients and their families. ED will encourage ED-funded projects to cooperate with, and provide technical assistance to, PROMISE MDPs when appropriate. The following are examples of federally funded technical assistance centers and projects the MDPs are encouraged to contact: the National Dropout Prevention Center for Students with Disabilities (www.ndpc-sd.org), National Secondary Transition Technical Assistance Center (www.nsttac.org), State Implementation and Scaling-up of Evidence-based Practices Center (<http://sisep.fpg.unc.edu>), Postsecondary Education Programs Network (www.pepnet.org), IDEA Partnership (www.ideapartnership.org), National and Regional Parent TA Centers (www.parentcenternetwork.org), Parent Training and Information Centers and Community Parent Resource Centers (www.parentcenternetwork.org), Independent Living Research and Utilization Project (www.ilru.org), National Collaborative on Workforce and Disability for Youth (www.ncwd-youth.info), Rehabilitation Research and Training Centers (<http://www2.ed.gov/programs/rrtc/index.html>), The National Technical Assistance Center for Children's Mental Health (<http://gucchdtacenter.georgetown.edu>), The Solutions Desk on Helping Youth Transition (www.syvdsd.ou.edu), Healthy & Ready to Work National Resource Center (www.syntiro.org/hrtw), TA Partnership for Child and Family Mental Health (www.tapartnership.org), and the National Center for Mental Health Promotion and Youth Violence Prevention (www.promoteprevent.org);

(d) Maintain contact and cooperate with the national evaluator throughout the project period and for one year after the close of the project for follow-up data collection and other needs; and

(e) Contribute relevant MDP information to a central PROMISE Web site that OSEP will make available.

Application Requirements.

To be considered for funding under this absolute priority, an applicant must include in its application--

(a) A description of the proposed project, including the applicant's plan for implementing the project. The description must include--

(1) A cohesive, articulated model of partnership and coordination among the participating agencies and organizations;

(2) A logic model that depicts, at a minimum, the goals, activities, outputs, and outcomes of the proposed project. The logic model must specify the contributions of each partner to the activities, outputs, and outcomes of the proposed project. A logic model communicates how a project will achieve its outcomes and provides a framework for the formative evaluation of the project;

Note: The following Web sites provide more information on logic models:

www.researchutilization.org/matrix/logicmodel_resource3c.html and

http://archive.tadnet.org/model_and_performance?format=html; and

(3) A timeline for implementing the model and achieving project milestones and outcomes consistent with the logic model and the requirements of this priority.

(b) A description of the coordinated set of required and other services and supports that the project proposes to provide to the participating children and their families in order to meet the project's objectives. The description must describe how the services and supports, including the four required services and other services chosen by the project, will be provided, including whether the project will provide the services directly or will arrange for the services to be provided through its partners or other entities (described in Services and Supports under paragraph (b) of the Project Activities section of this notice).

(c) A detailed description of any evidence that the services and supports proposed by the applicant have been implemented previously with the targeted populations of child SSI recipients and their families, or similar populations, albeit on a limited scale or in a limited setting, and have yielded promising results that suggest that more formal and systematic study is warranted. An applicant must provide a rationale for the coordinated set of services or

supports that is based on research findings or reasonable hypotheses, including related research or theories in education and other disciplines.

(d) A detailed description of the project's proposed partners (including required partners described in paragraph (a)(1) of the Project Activities section of this notice) that will play a key role in coordinating services and implementing the interventions in the proposed model, including a description of--

(1) The proposed partners' roles and responsibilities under the project;

(2) The proposed partners' commitment to the project, including letters of intent from all proposed partners to enter into an MOU with the lead coordinating entity as described in the Eligibility Information section of this notice;

(3) The plan to coordinate services among partner agencies and other entities to ensure that project resources are used efficiently and effectively; and

(4) The justification to exclude a required State partner, if applicable.

(e) A description of the proposed outreach and recruitment plan, including--

(1) The methods for ensuring that, within two years of the start of the MDP, the project will obtain consent from at least 2,000 child SSI recipients who will be between the ages of 14 and 16 at the time that project services are initiated, and their families.

(2) An assurance that the applicant will secure a signed written consent to participate in the project from the parent or, if applicable, the child; that the consent form will be provided to the parent and the child in an accessible format; and that, as part of the consent, project requirements will be fully explained to the parent and child, including that participation in the program is voluntary on the part of the child and family (described in Participant Outreach and Recruitment under paragraph (c) of the Project Activities section of this notice). The MDP must also obtain any necessary written consent from the parent or, if applicable, the child for the disclosure of personally identifiable information from relevant records, consistent with FERPA, the IDEA confidentiality of information provisions, and any other applicable Federal or State laws or regulations that protect the privacy or confidentiality of personally identifiable information or records, such as the Health Insurance Portability and Accountability Act, which contains specific privacy and security rules protecting health information. In addition, under the State VR

Services Program, the requirements in 34 CFR 361.38 (protection, use, and release of personal information) would apply to any records of participants in that VR Services program.⁹

(f) A description of the applicant's commitment to work with ED, SSA, and the national evaluator for PROMISE to ensure that random assignment and data collection are completed in a manner that supports ED's and SSA's efforts to conduct a rigorous national evaluation of the PROMISE program and the specific interventions and strategies implemented by individual grantees. The application must include an assurance that--

(1) Project staff will assist with the random assignment of recruited children and their families; and

(2) Through MOUs with partners and other participating entities, the national evaluator, ED, and SSA will be provided access to relevant program and project data (e.g., administrative data and program and project performance data) and that, if requested, ED and SSA will be provided data quarterly.

(g) An assurance that the applicant will provide or arrange for the provision of technical assistance and training to ensure consistency in the implementation and evaluation of the MDP, including the fidelity of implementation of the MDP interventions (described in Technical Assistance and Training under paragraph (d) of the Project Activities section of this notice).

(h) A description of the performance measures (and performance targets), including interim measures, the MDP will use to assess its performance and progress toward achieving its goals, consistent with the logic model and the formative evaluation plan.

(i) A description of the data collection plan that--

(1) Outlines the process for assessing, collecting, and sharing project data and other information among the collaborating partners and the national evaluator (described in Data Collection in paragraph (d) of the Evaluation and Project Assessment Activities section of this notice), in a manner consistent with any Federal or State laws or regulations that protect the confidentiality or privacy of personally identifiable information or records; and

(2) Identifies the systems or tools that will be used for storing, managing, analyzing, and reporting data, including a description of the applicant's capacity to track and manage project information (e.g., referrals and service participation) and document the services and supports

⁹ 34 CFR 361.38(e)(1) provides: Upon receiving the informed written consent of the individual or, if appropriate, the individual's representative, the State unit may release personal information to another agency or organization for its program purposes only to the extent that the information may be released to the involved individual or the individual's representative and only to the extent that the other agency or organization demonstrates that the information requested is necessary for its program.

received by the children and their families, and for the partners or other participating entities to communicate about, and collaborate on, the MDP's services, processes, and data collection plan.

(j) A description of the applicant's plan, consistent with the proposed logic model and data collection plan, for conducting a formative evaluation of the proposed project's activities and model, including--

(1) The data to be periodically collected for the formative evaluation, including data related to the fidelity of implementation, stakeholder acceptability, and descriptions of the site context;

(2) The methods the applicant will use to collect these data;

(3) How these data will be reviewed by the project, when they will be reviewed (consistent with the timeline required in paragraph (a)(3) of the Application Requirements section of this notice), and how they will be used during the course of the project to adjust the model or its implementation to increase the model's usefulness, generalizability, and potential for sustainability; and

(4) How the formative evaluation will use clear performance objectives to ensure continuous improvement in the operation of the proposed project, including objective measures of progress in implementing the project and ensuring the quality of products and services.

(k) A plan for attendance at the following:

(1) A one and one-half day kick-off meeting to be held in Washington, DC, after receipt of the award and an annual planning meeting to be held in Washington, DC, with the OSEP project officer during each subsequent year of the project period.

Note: Within 30 days of the receipt of the award, a post-award teleconference must be held between the OSEP project officer and the grantee's project director or other authorized representative.

(2) A three-day project directors' conference in Washington, DC, during each year of the project period;

(3) Three, two-day trips annually to attend Department briefings, Department-sponsored conferences, and other meetings, as requested by OSEP; and

(4) A one-day intensive review meeting in Washington, DC, that will be held during the last half of the third year of the project period.

Fourth and Fifth Years of the Project:

In deciding whether to continue funding the project for the fourth and fifth years, the Secretary will consider the requirements of 34 CFR 75.253(a), and in addition--

(a) The recommendation of a review team consisting of experts selected by the Secretary. This review will be conducted during a one-day intensive meeting in Washington, DC, that will be held during the second half of the third year of the project period;

(b) The timeliness and effectiveness with which all requirements of the negotiated cooperative agreement have been or are being met by the project including successfully obtaining consent from at least 2,000 child SSI recipients and their families;

(c) The number of child SSI recipients and their families still being served and the duration of their participation in project services; and

(d) The quality, relevance, and usefulness of the project's activities and products; the degree to which the project's activities and products are aligned with the project's objectives; and the likelihood that current performance and progress will result in the project achieving its proposed outcomes.

Waivers:

Applicants may apply for waivers that are currently authorized under existing Federal programs if the applicant believes having one or more waivers would enable the applicant to achieve better outcomes for the project participants. Applicants may request waivers under authorities administered by any of the Federal agencies participating in this interagency initiative--ED, DOL, DHHS, and SSA. Applicants seeking waivers must apply directly to the agency that administers the relevant waiver authority. However, to assist us in ensuring that the effect on PROMISE projects is carefully considered in processing any waiver request, we are asking applicants to submit to the Department of Education an explanation of the waivers the applicant is requesting, why the applicant believes the waivers are needed for the PROMISE project, and how project outcomes might be enhanced with the approval of such waivers. The applicant should not refer to the requested waivers in its application narrative for PROMISE. The waiver content will not be considered as part of the application scoring process. The approval of any requested waivers will be at the sole discretion of the relevant Federal agency. For example, waivers of SSA program rules will be approved or denied by SSA. For further information about waivers see www.ed.gov/promise. Information on waivers requested by the

applicant should be sent by August 19, 2013 as an email attachment to Corinne Weidenthal at corinne.weidenthal@ed.gov.

Within this absolute priority, we are particularly interested in applications that address the following invitational priority.

Invitational Priority:

Under 34 CFR 75.105(c)(1) we do not give an application that meets this invitational priority a competitive or absolute preference over other applications.

This priority is:

Outcome-Based Payments. The Secretary is especially interested in applicants that propose to incorporate into their PROMISE MDPs an Outcome-based Payment (OBP) model that ties payments to service providers to the achievement of outcomes or established milestones.

Although the OBP model is distinct from the fee-for-service payment model, the OBP model has been used in the health-care arena to offer financial rewards to providers that achieve, improve, or exceed their performance on specified quality, cost, and other benchmarks. Under an OBP arrangement, providers are rewarded for meeting pre-established targets for delivery of services, thus creating an incentive to meet performance objectives. However, for OBP arrangements to be effective, all the factors that affect performance must be considered including: motivation, skills, an understanding of the goals, and the ability to measure progress. For example, one type of OBP model is performance-based contracting. Performance-based contracts typically:

- Emphasize results related to output, quality, and outcomes rather than how the work is performed;
- Specify deliverables, measurable performance standards, and clearly defined objectives and timeframes;
- Use quality assurance plans;
- Provide performance incentives and consequences for nonperformance; and
- Tie payment to deliverables, performance measures, and outcomes.

In inviting OBP models, ED is interested in demonstrating how payment models can help achieve positive outcomes for child SSI recipients and their families, consistent with those identified in the absolute priority. ED's objectives in establishing this OBP invitational priority are to:

- Test a model that limits at least part of the risk of government funding for unachieved outcomes by clearly defining performance-based consequences (rewards or sanctions) for service providers.
- Learn whether the OBP concept is feasible in this arena given the complexity of needs and number of agencies involved in serving child SSI recipients and their families.
- Determine whether paying only for specific outcomes achieved at predetermined milestones within the project period creates an incentive structure that promotes the achievement of PROMISE's goals.

Applicants that address this invitational priority must include a plan for implementing the OBP model during the project. The plan must describe a validation methodology and a payment plan that (a) is derived from quantifiable data and (b) measures performance against outcome targets for the target population relative to a well-defined comparison population. The applicant must describe the terms of the payment arrangement between the applicant and the provider, including the agreed performance milestones and targeted outcomes and the payments due upon their achievement.

For more information, see the following Web site:

<http://www.mass.gov/chia/docs/pc/2009-02-13-pay-for-performance-c3.pdf>.

DEFINITIONS:

Background:

The following definitions are provided to ensure that applicants have a clear understanding of how we are using these terms in the priority. These definitions apply in any year in which this program is in effect. These definitions are based on definitions that ED uses or relies on in other contexts.

Competitive employment means work:

(a) In the competitive labor market that is performed on a full-time or part-time basis in an integrated setting; and

(b) For which an individual is compensated at or above the minimum wage, but not less than the customary wage and level of benefits paid by the employer for the same or similar work performed by individuals who are not disabled.

Source: State Vocational Rehabilitation Services Program, 34 CFR 361.5(b)(11).

Education records means those records that are directly related to a student and maintained by an educational agency or institution or by a party acting for the agency or institution. Source: FERPA (20 U.S.C. 1232g(a)(4)(A)) and the FERPA regulations at 34 CFR 99.3 (definition of "Education records.")

Experiential learning means learning through experience. The individual is encouraged to be directly involved in the experience and then reflect on the experience using analytic skills, in order to gain a better understanding of the new knowledge and retain the information. For further information: www.infed.org/biblio/b-explrn.htm.

Extended learning opportunities (ELOs) means safe, structured learning environments for students outside the traditional school day. ELOs include after-school, before-school, evening, weekend, and summer learning programs. ELOs come in many forms and can include tutoring, volunteering, academic support, community service, organized sports, homework help, and art and music programs. Source: www.ccsso.org/Documents/2009/The_Quality_Imperative_a_2009.pdf.

Families includes a wide range of relationships, including spouse, parents, parents-in-law, children, brothers, sisters, grandparents, grandchildren, stepparents, stepchildren, foster parents, foster children, guardianship relationships, same-sex and opposite-sex domestic partners, and spouses or domestic partners of the aforementioned, as applicable. Source: www.opm.gov/oca/leave/html/FamilyDefs.asp.

Fidelity of implementation means the accurate and consistent delivery of the intervention in the way in which it was designed to be delivered. Source: www.nrcl.org/rti_manual/pages/RTIManualSection4.

Integrated setting, as used in the context of education or employment, means a setting typically found in the community in which individuals with disabilities interact with non-disabled

individuals, other than non-disabled individuals who are providing services to such individuals, to the same extent that non-disabled individuals in comparable positions interact with other persons. Source: State Vocational Rehabilitation Services Program, 34 CFR 361.5(b)(33)(ii).

Logic model means a well-specified conceptual framework that identifies key components of the proposed project, practice, strategy, or intervention (i.e., the active “ingredients” that are hypothesized to be critical to achieving the relevant outcomes) and describes the relationships among the key components and outcomes, theoretically and operationally. For further information:

www.researchutilization.org/matrix/logicmodel_resource3c.html; and www.tadnet.org/pages/589.

Parent means (from 34 CFR 300.30):

(a) Parent means--

(1) A biological or adoptive parent of a child;

(2) A foster parent, unless State law, regulations, or contractual obligations with a State or local entity prohibit a foster parent from acting as a parent;

(3) A guardian generally authorized to act as the child's parent, or authorized to make educational decisions for the child (but not the State if the child is a ward of the State);

(4) An individual acting in the place of a biological or adoptive parent (including a grandparent, stepparent, or other relative) with whom the child lives, or an individual who is legally responsible for the child's welfare; or

(5) A surrogate parent who has been appointed in accordance with section 300.519 or section 639(a)(5) of the Act.

(b) (1) Except as provided in paragraph (b)(2) of this section, the biological or adoptive parent, when attempting to act as the parent under this part and when more than one party is qualified under paragraph (a) of this section to act as a parent, must be presumed to be the parent for purposes of this section unless the biological or adoptive parent does not have legal authority to make educational decisions for the child.

(2) If a judicial decree or order identifies a specific person or persons under paragraphs (a)(1) through (4) of this section to act as the “parent” of a child or to make educational decisions on behalf of a child, then such person or persons shall be determined to be the “parent” for purposes of this section.

Source: 34 CFR 300.30 of the IDEA regulations.

Personally identifiable information includes, but is not limited to, the following--

- (a) The student's name;
- (b) The name of the student's parent or other family members;
- (c) The address of the student or student's family;
- (d) A personal identifier, such as the student's Social Security number, student number, or biometric record;
- (e) Other indirect identifiers, such as the student's date of birth, place of birth, and mother's maiden name;
- (f) Other information that, alone or in combination, is linked or linkable to a specific student that would allow a reasonable person in the school community, who does not have personal knowledge of the relevant circumstances, to identify the student with reasonable certainty; or
- (g) Information requested by a person who the educational agency or institution reasonably believes knows the identity of the student to whom the education record relates.

Source: 34 CFR 99.3 of the FERPA regulations; see also 34 CFR 300.32 of the IDEA regulations.

Waiver of Proposed Rulemaking:

Under the Administrative Procedure Act (5 U.S.C. 553), ED generally offers interested parties the opportunity to comment on proposed priorities, definitions, requirements, and selection criteria. Section 437(d)(1) of GEPA, however, allows the Secretary to exempt from rulemaking requirements regulations governing the first grant competition under a new or substantially revised program authority. This is the first grant competition for this initiative, as authorized under the Fiscal Year 2012 Consolidated Appropriations Act, and therefore qualifies for this exemption. Due to the extensive public input received in the development of this priority, and in order to ensure timely grant awards, the Secretary has decided to forego formal public comment on the priority, definitions, requirements, and selection criteria under section 437(d)(1) of GEPA. The Secretary has gathered input on the priority, definitions, requirements, and selection criteria through a public input notice, which is posted on the following Web site: www.ed.gov/promise. The priority, definitions, requirements, and selection criteria will apply to the FY 2013 grant

competition and any subsequent year in which we make awards from the list of unfunded applicants from this competition.

Program Authority:

Consolidated Appropriations Act, 2012 (P.L. 112-74).

Applicable Regulations:

(a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 86, 97, 98, and 99.

(b) The Education Department debarment and suspension regulations in 2 CFR part 3485.

II. Award Information

Type of Award: Cooperative agreements.

Estimated Available Funds: \$100,000,000.

Dependent upon the number of awards that are made, these funds would largely be used to support years one and two, and possibly year three, of PROMISE project activities.

Estimated Range of Awards: \$22,500,000 - \$50,000,000 for 5 years.

Estimated Average Award Size: \$37,500,000 for 5 years.

Estimated Number of Awards: 3 to 6. Contingent upon the quality of applications, the Secretary will make an award to at least one consortium applicant in this competition.

Maximum Award: \$50,000,000 for 5 years. We will not consider any application that proposes an award size for a project period of up to 60 months exceeding an annual average of \$6,500 per child SSI recipient and his or her family served. Therefore, an applicant proposing to serve the minimum treatment group size of 1,000 child SSI recipients and their families for five years may request an annual average funding level of up to \$6,500 per child and his or her family, which corresponds to a five-year award of up to \$32,500,000.

An applicant requesting the maximum award of \$50,000,000 must propose to serve at least 1,539 child SSI recipients and their families in the treatment group for a five year project period. Projects may spend more than \$6,500 per year to serve a particular child and his or her family during the operation of the project. Projects may also propose a funding level for a single 12-month budget period that exceeds \$6,500 per child and his or her family served. However, the average annual funding level for all of the project's budget periods may not exceed \$6,500 per child SSI recipient and his or her family served. The Assistant Secretary for Special Education and Rehabilitative Services may change the maximum amount through a notice published in the Federal Register.

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

Project Period: Up to 60 months. Grants awarded under this competition may be for a project period of up to five years. Depending on the availability of funds, the Department will make continuation awards for years two and three of the project period in accordance with section 75.253 of EDGAR (34 CFR 75.253). However, to ensure that continuation funds will be used only for high-quality and effective projects, in determining whether to award continuation grants for years four and five the Department will consider whether: (1) funds are available; (2) the

grantee meets the requirements in section 75.253 of EDGAR; and (3) the grantee is achieving the intended outcomes of the grant (see specific factors to be considered in the Fourth and Fifth Years section of this notice).

III. Eligibility Information

1. Eligible Applicants:

Eligible applicants are the 50 States and the District of Columbia. A consortium of States may also apply. A grantee, subgrantee, or partner under this program is not eligible to receive funding for the SSA national evaluation contract. An applicant must meet the following requirements to be eligible to compete for funding under this program:

(a) Single State applicant. A single State with adequate child SSI recipients, as described in paragraph (d) of this section, may apply. The State applicant must:

- (1) Designate a lead coordinating entity, which must be a State agency; and
- (2) Submit an application that has been signed by the State's Governor and the administrative head of the State's lead coordinating entity.

(b) Consortium of States applicant. A consortium of States may apply in order to meet the minimum sample size eligibility requirement, as described in paragraph (d) of this section.

- (1) One of the States participating in the consortium must submit an application on behalf of the consortium;
- (2) Each of the consortium States must designate a lead coordinating entity, which must be a State agency;
- (3) The application must be signed by the Governor of each State and the administrative head of each State's lead coordinating entity;
- (4) The applicant on behalf of the consortium is the grantee and is legally responsible for the use of all grant funds and ensuring that the project is carried out by the consortium in accordance with Federal requirements;
- (5) Each member of the consortium is legally responsible to carry out the activities it agrees to perform (EDGAR, 34 CFR 75.129); and
- (6) Each State participating in the consortium must have partnerships with at least three common agencies (or equivalent for administering common programs). (Described in Partnerships under paragraph (a) of the Project Activities section of this notice.)
- (7) Each State participating in the consortium must provide the coordinated set of required and other services and supports as proposed in the application (described in

paragraph (b) of the Application Requirements section of this notice.) This set of coordinated services and supports must be the same across all States in the consortium.

(c) Lead coordinating entity. The lead coordinating entity must partner with other State agencies and is encouraged to partner with local agencies and organizations that play or have the potential to play a substantial role in the development and implementation of policies and practices affecting child SSI recipients and their families (see Partnerships under the Project Activities section of this notice and the related application requirements).

(d) Minimum sample size. The State or consortium of States must have a sufficient number of children between the ages of 14 and 16 who receive SSI to, within two years of the start of the project, recruit the minimum sample size of 2,000 child SSI recipients into the MDP and begin providing MDP interventions to half of those recruited. This sample size is necessary to assess the effectiveness of each MDP. If the MDP chooses to exceed the minimum sample size, half of the child SSI recipients must still be assigned to the treatment group and half to the control group. Each MDP will be evaluated separately because ED and its Federal PROMISE partners expect grantees to vary in their approaches to implementing PROMISE (see the Evaluation and Project Assessment Activities section of this notice).

2. Cost Sharing or Matching:

This program does not require cost sharing or matching.

3. Other General Requirements:

(a) The projects funded under this competition must make positive efforts to employ and advance in employment qualified individuals with disabilities (see section 606 of IDEA).

(b) Applicants and the grant recipients funded under this competition 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).

IV. Application and Submission Information

1. Address to Request Application Package:

You can obtain an application package via the Internet, from the Education Publications Center (ED Pubs), or from the program office.

To obtain a copy via the Internet, use the following address:

www.ed.gov/fund/grant/apply/grantapps/index.html.

To obtain a copy from ED Pubs, write, fax, or call the following:

ED Pubs, U.S. Department of Education, P.O. Box 22207, Alexandria, VA 22304.

Telephone, toll free: 1-877-433-7827.

FAX: (703) 605-6794.

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

You can contact ED Pubs at its Web site, also: www.EDPubs.gov or at its email address:

edpubs@inet.ed.gov.

If you request an application package from ED Pubs, be sure to identify this competition as follows: **CFDA number 84.418P**.

To obtain a copy from the program office, contact the person listed under For Further Information Contact in section VII of this notice.

Individuals with disabilities can obtain a copy of the application package in an accessible format (e.g., braille, large print, audiotope, or compact disc) by contacting the person or team listed under Accessible Format in section VIII of this notice.

2. Notice of Intent to Apply:

ED will be able to develop a more efficient process for reviewing grant applications if it has a better understanding of the number of entities that intend to apply for funding under this competition. Therefore, we strongly encourage each potential applicant to notify ED by sending a short email message indicating the applicant's intent to submit an application for funding. If the applicant is submitting an application on behalf of a consortium also indicate the States that will be involved. The email need not include information regarding the content of the proposed application. This email notification should be sent to Corinne Weidenthal at

corinne.weidenthal@ed.gov.

Applicants that fail to provide this email notification may still apply for funding.

3. 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 100 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).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

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, or the letters of support. However, the page limit does apply to all of the application narrative section (Part III).

We will reject your application if you exceed the page limit; or if you apply other standards and exceed the equivalent of the page limit.

4. Submission Dates and Times:

Applications Available: May 21, 2013.

Deadline for Notice of Intent to Apply: June 20, 2013.

Dates of Pre-Application Webinars: Interested parties are invited to participate in pre-application webinars. The pre-application webinars with staff from ED and its Federal PROMISE partners will be held on May 30, 2013 and June 4, 2013; and a teleconference will be held on June 27, 2013, between 2:00 p.m. and 3:30 p.m., Washington, DC time.

For further information about the pre-application webinars and teleconference, see the PROMISE Web site at www.ed.gov/promise.

Deadline for Transmittal of Applications: August 19, 2013.

Applications for grants under this competition must be submitted electronically using the Grants.gov Apply site (Grants.gov). For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 8. Other Submission Requirements of 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 of 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.

5. 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. Please note that, under 34 CFR 79.8(a), we have waived the standard 60-day intergovernmental review period in order to make awards by the end of FY 2013.

6. Funding Restrictions:

We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

7. Data Universal Numbering System Number, Taxpayer Identification Number, Central Contractor Registry, and System for Award Management:

To do business with the Department of Education, you must--

- a. Have a Data Universal Numbering System (DUNS) number and a Taxpayer Identification Number (TIN);
- b. Register both your DUNS number and TIN with the Central Contractor Registry (CCR)--and, after July 24, 2012, with the System for Award Management (SAM), the Government's primary registrant database;
- c. Provide your DUNS number and TIN on your application; and
- d. Maintain an active CCR or SAM registration with current information while your application is under review by the Department and, if you are awarded a grant, during the project period.

You can obtain a DUNS number from Dun and Bradstreet. A DUNS number can be created within one business day.

If you are a corporate entity, agency, institution, or organization, you can obtain a TIN from the Internal Revenue Service. If you are an individual, you can obtain a TIN from the Internal Revenue Service or the Social Security Administration. If you need a new TIN, please allow 2-5 weeks for your TIN to become active.

The CCR or SAM registration process may take five or more business days to complete. If you are currently registered with the CCR, you may not need to make any changes. However, please make certain that the TIN associated with your DUNS number is correct. Also note that you will need to update your registration annually. This may take three or more business days to complete. Information about SAM is available at SAM.gov.

In addition, if you are submitting your application via Grants.gov, you must (1) be designated by your organization as an Authorized Organization Representative (AOR); and (2) register yourself with Grants.gov as an AOR. Details on these steps are outlined at the following Grants.gov Web page: www.grants.gov/applicants/get_registered.jsp.

8. Other Submission Requirements:

Applications for grants under this competition must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in this section.

a. Electronic Submission of Applications.

Applications for grants under the PROMISE competition, CFDA number 84.418P, must be submitted electronically using the Governmentwide Grants.gov Apply site at 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 email an electronic copy of a grant application to us.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you 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. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

You may access the electronic grant application for the PROMISE competition at www.Grants.gov. You must search for the downloadable application package for this competition by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.418, not 84.418P).

Please note the following:

- 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 4:30:00 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not accept your application if it is received--that is, date and time stamped by the Grants.gov system--after 4:30:00 p.m., Washington, DC time, on the application deadline date. We do not consider an application that does not comply with the deadline requirements. 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 4:30:00 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 under News and Events on the Department's G5 system home page at www.G5.gov.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information you typically provide on the following forms: the 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.

- You must upload any narrative sections and all other attachments to your application as files in a PDF (Portable Document) read-only, non-modifiable format. Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-modifiable PDF or submit a password-protected file, we will not review that material. Additional, detailed information on how to attach files is in the application instructions.

- 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 email. 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 Technical Issues with the Grants.gov System:

If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, 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 4:30:00 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 4:30:00 p.m., Washington, DC time, on the application deadline date, please contact the person listed under For Further Information Contact in section VII of this notice 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 4:30:00 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.

Exception to Electronic Submission Requirement:

You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through the Grants.gov system because—

- You do not have access to the Internet; or

- You do not have the capacity to upload large documents to the Grants.gov system;

and

- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevents you from using the Internet to submit your application.

If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to: Corinne Weidenthal, U.S. Department of Education, 400 Maryland Avenue, SW., room 4115, Potomac Center Plaza (PCP), Washington, DC 20202-2600. FAX: (202) 245-7617.

Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, 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 84.418P)
LBJ Basement Level 1
400 Maryland Avenue, SW.
Washington, DC 20202-4260

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 qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You 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 84.418P)
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 4:30:00 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 Process and Evaluation Criteria

1. Selection Criteria:

The selection criteria for this competition are based on 34 CFR 75.210 and include selection criteria established for PROMISE. They are:

(a) Quality of the project design (35 points).

(1) The extent to which the MDP identifies and plans to address gaps and weaknesses in current State service systems for child SSI recipients and their families.

(2) The extent to which the MDP's interventions are likely to meet the needs of child SSI recipients and their families and achieve the desired outcomes.

(3) The extent to which the applicant documents that proposed services and supports are based on the best available evidence including, where available, research that has demonstrated statistically significant positive effects using the strongest possible study designs such as those that meet the standards of the What Works Clearinghouse.¹⁰

(4) The extent to which the budget is adequate to support the proposed MDP, including whether costs are reasonable in relation to the objectives, design, and potential significance of the proposed project.

(5) The extent to which the MDP has clearly articulated a model of partnership, coordination, and service delivery that includes:

(i) An explicit and comprehensive strategy, with actions that are expected to result in achieving the goals, objectives, and desired outcomes of the proposed project; and

(ii) Measurable goals and benchmarks that are supported by quantitative projections of the accomplishments for each activity and that are attainable given the number of activities to be accomplished and the project period, as well as a timetable with target dates for achievement of the benchmarks and goals.

(6) Quality of the logic model, project implementation plan, and timeline, including the extent to which there is a conceptual framework underlying the demonstration activities and the quality of that framework.

¹⁰ The What Works Clearinghouse uses objective and transparent standards and procedures to make its assessment of the scientific merit of studies of the effectiveness of education interventions, and then summarizes the results of its systematic reviews in a set of products. For further information: <http://ies.ed.gov/ncee/wwc>.

(b) Quality of participant recruitment plan (25 points).

(1) The extent to which the MDP has clearly articulated a realistic outreach and recruitment plan that is likely to lead to at least 2000 child SSI recipients and their families giving consent to participate in the MDP.

(c) Quality of management plan and personnel (35 points).

(1) The adequacy of the management plan that is designed to achieve the objectives of the proposed project on time and within budget.

(2) The adequacy of partnerships within the State or consortium that are designed to achieve project objectives, including:

(i) An overall management plan for the partnerships, including mechanisms for coordinating across agencies and organizations. The plan should also describe how the partnership will be organized to carry out the project, including clearly defined roles and responsibilities for each partner;

(ii) The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners, including at least three of the required partners, to maximize the impact of the MDP;

(iii) The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project. Partner commitment should be demonstrated in the form of MOUs, substantive non-form letters of intent, or other documents that show strategic relationships are preferably already in place, that the partners have prior experience collaborating to serve low-income children with disabilities, that each partner understands its roles and responsibilities, and that the leadership of each partner supports the proposed activities; and

(iv) A system for holding partners accountable for performance in accordance with the MOU, letters of intent, or other commitments among the partners.

(3) The capacity of the project to execute necessary data collection protocols and requirements in a high-quality manner, including:

(i) Implementing a process to collect the data needed to track the required outcome measures, project-specific measures, and other necessary information over time and across partner agencies and organizations;

(ii) Adequately documenting project activities, referrals, services, and supports received by each child SSI recipient and his or her family, and any resulting State systems change; and

(iii) Cooperating with the national evaluator on all matters necessary to undertake rigorous evaluation and measurement of the project.

(4) The quality of key personnel, including:

(i) A qualified and sufficient staff to accomplish the goals of the project, including the techniques proposed to ensure that an adequate supply of qualified staff are enlisted in a timely manner;

(ii) The extent to which there is evidence that key project staff, by virtue of their training or professional experience, have the requisite knowledge to design, implement, and manage projects of the size and scope of the proposed project; and

(iii) The extent to which the identified key personnel have the requisite authority to commit their agency and its resources to the implementation of the project.

(d) Significance (20 points).

(1) The extent to which the proposed project will result in systems change and improvement.

(2) The potential contribution of the proposed project to the development and advancement of knowledge and practices in the field.

(3) The extent to which the project is designed to raise the expectations held by, and about, participating child SSI recipients regarding their education and employment outcomes.

(4) The importance or magnitude of the results or outcomes likely to be attained by the proposed project.

(e) Capacity for continuous feedback and improvement (10 points).

(1) The adequacy of plans and procedures for ensuring continuous feedback and improvement in the implementation of the proposed project.

(2) The capacity for incorporating participating child SSI recipient and family feedback, including:

(i) The extent to which the proposed project seeks, encourages, and includes parental involvement and feedback; and

(ii) The extent to which the proposed project seeks, encourages, and includes feedback from participating child SSI recipients and encourages their self-determination.

2. Review and Selection Process:

The Department will screen applications submitted in accordance with the requirements in this notice, and will determine which applications have met eligibility requirements and other requirements in this notice. Additional information about the review process will be published on the program's Web site.

We remind potential applicants that in reviewing applications in any discretionary grant competition, the Secretary may consider, under 34 CFR 75.217(d)(3), the past performance of the applicant in carrying out a previous award, such as the applicant's use of funds, achievement of project objectives, and compliance with grant conditions. The Secretary may also consider whether the applicant failed to submit a timely performance report or submitted a report of unacceptable quality.

In addition, in making a competitive grant award, the Secretary also requires various assurances including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department of Education (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

3. Additional Review and Selection Process Factors:

In the past, the Department has had difficulty finding peer reviewers for certain competitions because so many individuals who are eligible to serve as peer reviewers have conflicts of interest. The standing panel requirements under section 682(b) of IDEA also have placed additional constraints on the availability of reviewers. Therefore, the Department has determined that, for some discretionary grant competitions, applications may be separated into two or more groups and ranked and selected for funding within specific groups. This procedure will make it easier for the Department to find peer reviewers by ensuring that greater numbers of individuals who are eligible to serve as reviewers for any particular group of applicants will not have conflicts of interest. It also will increase the quality, independence, and fairness of the review process, while permitting panel members to review applications under discretionary grant competitions for which they also have submitted applications. However, if the Department decides to select an equal number of applications in each group for funding, this may result in different cut-off points for fundable applications in each group.

4. Special Conditions:

Under 34 CFR 74.14 and 80.12, the Secretary may impose special conditions on a grant if the applicant or grantee is not financially stable; has a history of unsatisfactory performance; has a financial or other management system that does not meet the standards in 34 CFR parts 74 or 80, as applicable; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

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 Notification (GAN); or we may send you an email containing a link to access an electronic version of your 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 of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of 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:

(a) If you apply for a grant under this competition, you must ensure that you have in place the necessary processes and systems to comply with the reporting requirements in 2 CFR part 170 should you receive funding under the competition. This does not apply if you have an exception under 2 CFR 170.110(b).

(b) 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 directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to www.ed.gov/fund/grant/apply/appforms/appforms.html.

4. Continuation Awards:

In making a continuation award, the Secretary may consider, under 34 CFR 75.253, the extent to which a grantee has made “substantial progress toward meeting the objectives in its

approved application.” This consideration includes the review of a grantee’s progress in meeting the targets and projected outcomes in its approved application, and whether the grantee has expended funds in a manner that is consistent with its approved application and budget. In making a continuation grant, the Secretary also considers whether the grantee is operating in compliance with the assurances in its approved application, including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

VII. Agency Contact

For Further Information Contact:

Corinne Weidenthal, U.S. Department of Education, 400 Maryland Avenue SW., room 4115, PCP, Washington, DC 20202-2600.

Telephone: (202) 245-6529, or by

email: corinne.weidenthal@ed.gov.

If you use a TDD or a TTY, call the Federal Relay Service (FRS), toll free, at 1-800-877-8339.

VIII. Other Information

Accessible Format:

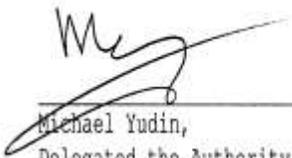
Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) by contacting the Grants and Contracts Services Team, U.S. Department of Education, 400 Maryland Avenue, SW., room 5075, PCP, Washington,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

Electronic Access to This Document:

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 via the Federal Digital System at: www.gpo.gov/fdsys. At this site 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). To use PDF you must have Adobe Acrobat Reader, which is available free at the site.

You may also access documents of the Department published in the Federal Register by using the article search feature at: www.federalregister.gov. Specifically, through the advanced search feature at this site, you can limit your search to documents published by the Department.

Dated:



Michael Yudin,
Delegated the Authority to
Perform the Functions and Duties
of the Assistant Secretary for
Special Education and
Rehabilitative Services.

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—ADOBE FORMS AND PDF FILES REQUIRED

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download a newer version of Adobe reader (Grants.gov recommends Adobe Reader 10.1.4). Information on computer and operating system compatibility with Adobe, links to download a newer version, and warnings about using Adobe Reader XI are all available on Grants.gov. We strongly recommend that you review these details on www.Grants.gov before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Also, applicants are required to upload their attachments in .pdf format only. (See details below under “Attaching Files – Additional Tips.”).

Please be aware that **Grants.gov has discovered an issue with the newest version of Adobe Reader XI.**

Applicants may encounter the following error that will prevent them from submitting their application:

"At least one required Field was empty. Please fill in the required field (highlighted) before continuing."

Grants.gov recommends that if applicants encounter this issue, they submit their application using any version below Adobe Reader XI. Please refer to the [compatibility table](#) for additional information about supported versions of Adobe Reader. If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

1) REGISTER EARLY

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

2) SUBMIT EARLY

We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully to Grants.gov before 4:30:00 p.m. Washington, DC time on the deadline date.

Note: To submit successfully, you must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This DUNS number is typically the same number used when your organization registered with the SAM (formerly CCR -Central Contractor Registry). If you do not enter the same DUNS number on your application as the DUNS you registered with, Grants.gov will reject your application.

3) **VERIFY SUBMISSION IS OK**

You will want to verify that Grants.gov received your application submission on time 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 4:30:00 p.m. Washington, DC time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned. Once the Department of Education receives your application from Grants.gov, an Agency Tracking Number (PR/award number) will be assigned to your application and will be available for viewing on Grants.gov's Track My Application link.

If the date/time received is later than 4:30:00 p.m. Washington, D.C. time, on the deadline 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/applicants/applicant_faqs.jsp#54. For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Error Messages document at <http://www.grants.gov/assets/AdobeReaderErrorMessages.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 <http://www.grants.gov/contactus/contactus.jsp>, or access the Grants.gov Self-Service web portal at: <https://grants-portal.psc.gov/Welcome.aspx?pt=Grants>

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 4:30:00 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 the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov.**

Please go to <http://www.grants.gov/contactus/contactus.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/applicants/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

For MAC compatibility information, review the Operating System Platform Compatibility Table at the following Grants.gov link: http://www.grants.gov/help/download_software.jsp. **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.)

ATTACHING FILES—ADDITIONAL TIPS

Please note the following tips related to attaching files to your application, especially the requirement that applicants **only include read-only, non-modifiable .PDF files** in their application:

1. Ensure that you attach **.PDF files only** for any attachments to your application, and they must be in a **read-only, non-modifiable format**. PDF files are the only Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are not .PDF files or are password protected files will not be read. If you need assistance converting your files to a .pdf format, please refer to the following Grants.gov webpage with links to conversion programs under the heading of additional resources: http://www.grants.gov/applicants/app_help_reso.jsp
2. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
3. When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded files must be less than 50 characters, contain no spaces, no special characters (example: -, &, *, %, /, #, \) including periods (.), blank spaces and accent marks. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.
4. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

* Please note that the Central Contractor Registry (CCR) was replaced by the System for Award Management (SAM) effective July 30, 2012. For more information on the migration of CCR data to SAM, grant applicants should read this information located on Grants.gov: <http://grants-gov.blogspot.com/2012/07/information-about-pending-migration.html#/2012/07/information-about-pending-migration.html>

2/13/2013

PRIORITY DESCRIPTION AND SELECTION CRITERIA

PROMOTING THE READINESS OF MINORS IN SUPPLEMENTAL SECURITY INCOME (PROMISE) (CFDA 84.418P)

DEADLINE: 08/19/13

ABSOLUTE PRIORITY:

Background:

The Supplemental Security Income (SSI) program for children provides cash payments to low-income families that have a child with a severe disability under SSA disability eligibility criteria. This means-tested cash payment is a vital source of income for families of children under the age of 18. To qualify for SSI, children and their families must meet income, asset, and disability eligibility criteria. To meet the SSI disability eligibility criteria, a child must have a medically determinable physical or mental impairment that results in marked and severe functional limitations, and that can be expected to result in death or that has lasted, or can be expected to last, for a continuous period of not less than 12 months (42 U.S.C. 1382(c)). In 2011, SSA paid roughly \$9.4 billion to 1.3 million children, an average monthly payment of \$592 per child. In 2013, the maximum monthly SSI payment is \$710 per child (www.ssa.gov/oact/cola/SSI.html).

Under the Personal Responsibility and Work Opportunity Reconciliation Act of 1996, when they reach the age of 18, child SSI recipients must have their eligibility for SSI redetermined using more stringent adult eligibility criteria. Using the adult program rules, eligibility is based on the inability to perform substantial gainful activity (Hemmeter & Gilby, 2009).

Approximately 60 percent of child SSI recipients receive SSI as adults (Hemmeter, Kauff, & Wittenburg, 2009). Of those who leave the program at age 18, either because they did not meet the adult SSI disability criteria or for other reasons, about one-fourth of the SSI recipients return to the program within four years (Hemmeter & Gilby, 2009). The probability of remaining on SSI varies substantially among individuals and especially by the type and significance of impairment (Hemmeter, Kauff, & Wittenburg, 2009).

Child SSI recipients who become adult SSI recipients continue to face many challenges. Rangarajan et al. (2009) report the following data (from 2000) for young adults, ages 19 to 23, receiving SSI payments:

- Low educational attainment rates:
39 percent did not have a high school diploma and were not currently attending school.
- Low employment rates:
22 percent were employed compared with 69 percent for all adults ages 20 to 24.
- Low postsecondary enrollment rates:
6 percent were enrolled in some form of postsecondary education after graduating from high school, compared with 41 percent of all youth ages 18 to 23.

- Low enrollment rates in vocational rehabilitation (VR):
Only 13 percent had ever received services from a State VR agency.
- High arrest rates:
Approximately one-fifth had been arrested, which is fairly consistent with other reports (e.g., Quinn, Rutherford, Leone, Osher, & Poirier, 2005) indicating that 30 to 50 percent of all incarcerated youth have disabilities that could qualify them for support services, such as special education.
- High rates of disconnection overall:
57 percent were not enrolled in education programs, not receiving VR services, and not employed.

Parents and other family members of child SSI recipients also face many challenges and are in need of support services. According to Davies, Rupp, and Wittenburg (2009), about one-third of the parents of child SSI recipients have less than a high school education, and almost half of child SSI recipients live in a household with at least one other person with a disability. There also is evidence that child SSI recipients and their families lack information about various work incentives available to them to help them pursue activities that would increase self-sufficiency (Fraker & Rangarajan, 2009; Loprest & Wittenburg, 2005).¹

The structure of services to help children with disabilities who are SSI recipients transition from school to postsecondary education and competitive employment may also be a barrier to achieving self-sufficiency and independence. Not all child SSI recipients receive transition support services as adults because many services, including VR and mental health services, are not entitlements (Hemmeter, Kauff, & Wittenburg, 2009). In addition, there are concerns about gaps (e.g., differing eligibility requirements and goals) in the coordination of transition support services provided by Federal, State, and local governments, as noted in a series of U.S. Government Accountability Office (GAO) reports over the past decade (GAO, 2003, 2008, 2012).

To address these gaps and improve postsecondary education and employment outcomes for children with disabilities, there is a need to strengthen coordination among agencies through the development of interagency partnerships that integrate educational and employment services, supports, and resources. It is also essential to provide coordinated individual and family-centered interventions that use evidence-based transition support services (SSA, 2003). The Individuals with Disabilities Education Act (IDEA) requires that, beginning at age 16, or younger if determined appropriate by the individualized education program (IEP) Team, a child with a disability, including child SSI recipients served under the IDEA, receive transition services, which are a coordinated set of activities to facilitate the child's movement from school to post-school activities.² Transition services could include services available through the VR State Grants program, SSA's Ticket to Work Program and Work Incentives Program, Medicaid's care coordination services, Job Corps, and other Workforce Investment Act programs.

Unfortunately, there is no strong evidence of the effectiveness of specific services for youth with disabilities who are transitioning from school to post-school activities. More research is needed to identify effective interventions, although there are some suggestive findings (Cobb

¹ SSI programs include a number of employment support provisions commonly referred to as "work incentives." Additional information about SSI work incentives is available at www.socialsecurity.gov/redbook/eng/ssi-only-employment-supports.htm#2.

² See 20 U.S.C. 1401(34) and 34 CFR 300.43; see also 20 U.S.C. 1414(d)(1)(A)(i)(VIII) and 34 CFR 300.320(b).

et al., in review). For example, the National Survey of SSI Children and Families found that the probability of remaining on SSI was substantially lower for those who were employed prior to age 18 (Hemmeter, Kauff, & Wittenburg, 2009). Other correlational studies suggest that better post-school outcomes for children with disabilities may be linked to the following: (1) primary and secondary school activities such as inclusion in general education, exposure to career awareness and community activities, and education in skills such as self-awareness, self-advocacy, and independent living; (2) interagency collaboration; and (3) education and supports for the families, including ways to encourage parental participation in IEP Team meetings, financial and career planning courses, and transition plans for moving off of SSI (Test et al., 2009).

To address these concerns about barriers, to encourage new ways of providing supports, and to build an evidence base on the effectiveness of promising interventions, the Consolidated Appropriations Act, 2012 (P.L. 112-74) provided funds for activities aimed at improving the outcomes for child SSI recipients and their families. Specifically, the FY 2012 appropriation for Special Education included \$2 million to support activities needed to plan and begin implementing PROMISE. In addition, the FY 2012 Consolidated Appropriations Act allows the Secretary to use amounts that remain available subsequent to the reallocation of funds to States under the VR State Grants program pursuant to section 110(b) of the Rehabilitation Act of 1973, as amended (Rehabilitation Act), for improving the outcomes of child SSI recipients and their families under PROMISE. These funds, which remain available for Federal obligation until September 30, 2013, will be used to support PROMISE grant awards and related activities.

Children receiving payments under the SSI program need a continuum of coordinated services and supports to prepare for the transition to postsecondary education and competitive employment and to continue on a path to economic self-sufficiency. Through the PROMISE program, States will develop and implement MDPs that are designed to improve the educational and employment outcomes of child SSI recipients and their families, and SSA will evaluate these MDPs in order to help build an evidence base of practices that improve these outcomes.

Based on our review of the available research, extensive public input, and consultation with experts, ED believes that effective partnerships among agencies responsible for programs that provide key services to child SSI recipients and their families will increase the likelihood of success of the PROMISE MDPs. Effective partnerships can improve the coordination of services, integrate multiple funding sources and other resources at the State and local levels, and enhance the ability of the State to effectively serve child SSI recipients and their families. We also believe that focusing on the needs of both children and their families will help further the long-term goal of independence and self-sufficiency for child SSI recipients. In particular, we are interested in testing whether initiating interventions with the child and family when the child is 14 to 16 years of age will lead to better outcomes.

For this reason, each PROMISE project must have several core features: (1) strong and effective partnerships with agencies responsible for programs that play a key role in providing services to child SSI recipients and their families; (2) a plan to provide a set of coordinated services and supports, and implement effective practices, targeted to the needs of child SSI recipients and their families; and (3) the capacity to achieve results, including the capacity to implement the required project design and adhere to data collection protocols that allow for the testing and rigorous evaluation of the project.

The first four months of the project period will be used for planning and finalizing all aspects of the MDP, such as establishing formal partnerships, securing memoranda of

understanding (MOUs) with the lead coordinating entity as described in the Eligibility Information section of this notice, and collaborating with the national evaluator³ to plan for and initiate participant outreach and recruitment.

ED expects States, in developing their MDPs, to draw on their knowledge and experience in working with children and families with similar characteristics (i.e., those living in poverty and those with family members with disabilities), as well as on the relevant literature, to identify innovative methods of providing services and supports that show potential to improve the economic self-sufficiency of child SSI recipients and their families. In addition, based on the review of literature, input from non-Federal experts, and expertise of the Federal PROMISE partners, we have identified a small subset of services that each project will be required to provide. Furthermore, we have identified examples of other services and supports that we ask States to consider as they develop their MDPs (see Services and Supports under paragraph (b) of the Project Activities section of this notice).

ED and its Federal PROMISE partners intend to use the findings and results of these projects to inform public policy and to build an evidence base for improving postsecondary education and employment outcomes for child SSI recipients and their families.

References:

- Cobb, R. B., Lipscomb, S., Wolgemuth, J., Schulte, T., Veliquette, A., Alwell, M., Batchelder, K., Bernard, R., Hernandez, P., Holmquist-Johnson, H., Orsi, R., Sample McMeeking, L., Wang, J., and Weinberg, A. (in review). Improving Postsecondary Outcomes for Transition-Age Students with Disabilities: An Evidence Review. Washington, DC: National Center for Education Evaluation and Regional Assistance, Institute of Education Sciences, U.S. Department of Education.
- Davies, P. S., Rupp, K., & Wittenburg, D. (2009). A life-cycle perspective on the transition to adulthood among children receiving Supplemental Security Income payments. Journal of Vocational Rehabilitation, 30, 133-151.
- Fraker, T., & Rangarajan, A. (2009). The Social Security Administration's youth transition demonstration projects. Journal of Vocational Rehabilitation, 30, 223-240.
- Hemmeter, J., & Gilby, E. (2009). The age-18 redetermination and postredetermination participation in SSI. Social Security Bulletin, 69(4).
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- Loprest, P., & Wittenburg, D. (2005). Choices, Challenges, and Options: Child SSI Recipients Preparing for the Transition to Adult Life. Retrieved from The Urban Institute Web site: www.urban.org/url.cfm?ID=411168.

³ A national evaluator, funded under a contract with SSA, will conduct a rigorous evaluation using randomized controlled trials to determine the effectiveness of the projects at improving the outcomes of participating youth and reducing their dependence on SSI.

- Quinn, M. M., Rutherford, R. B., Leone, P. E., Osher, D. M., & Poirier, J. M. (2005). Youth with disabilities in juvenile corrections: A national survey. *Exceptional Children*, *71*, 339–345.
- Rangarajan, A., Fraker, T., Honeycutt, T., Mamun, A., Martinez, J., O'Day, B., & Wittenburg, D. (2009). The Social Security Administration's Youth Transition Demonstration Projects: Evaluation Design Report. Available from www.mdrc.org/sites/default/files/full_576.pdf.
- Social Security Administration (SSA). (2003). Youth Demonstration Request for Applications. Program: Cooperative Agreements for Youth Transition Process Demonstrations (Program Announcement No. SSA-OPDR-03-01). Washington, DC.
- Test, D. W., Mazzotti, V. L., Mustian, A. L., Fowler, C. H., Kortering, L. J., & Kohler, P. H. (2009). Evidence-based secondary transition predictors for improving post-school outcomes for students with disabilities. *Career Development for Exceptional Individuals*, *32*, 160-181.
- U.S. Government Accountability Office. (2003, July). Special education: Federal actions can assist States in improving postsecondary outcomes for youth (GAO-03-773). Washington, DC: Government Printing Office.
- U.S. Government Accountability Office. (2008, May). Federal disability programs: More strategic coordination could help overcome challenges to needed transformation (GAO-08-635). Washington, DC: Government Printing Office.
- U.S. Government Accountability Office. (2012, June). Supplemental Security Income: Better management oversight needed for children's benefits (GAO-12-497). Washington, DC: Government Printing Office.

Priority:

The purpose of this priority is to fund three to six cooperative agreements for five years, to establish and operate State MDPs designed to improve the education and employment outcomes of child SSI recipients and their families, and eventually lead to increased economic self-sufficiency and a reduction in their dependence on SSI payments. At a minimum, the

MDPs must--

(a) Develop and implement interventions for child SSI recipients between the ages of 14 and 16 at the time the project services are initiated for them and their families. The MDP interventions should be based on the best available research evidence or data from State experience relating to coordinating, arranging, and providing services and supports for child SSI recipients and their families.

The MDP interventions must be designed to meet PROMISE's goals (for both the children and their families), which include:

- Increased educational attainment for the child SSI recipients and their parents;
- Improved rates of employment, wages/earnings, and job retention for the child SSI recipients and their parents;
- Increased total household income; and

- Long-term reduction in SSI payments.

(b) Establish partnerships (through subgrants subcontracts, memoranda of understanding, or other formal agreements) with State and local agencies and other entities to improve interagency collaboration in carrying out the MDP interventions and in developing innovative methods of providing services and supports that will lead to better outcomes for child SSI recipients and their families. For example, these methods could include better use of existing services, identification of gaps in services, and sharing resources, data, or other information so long as such sharing of data or information is permitted under any applicable Federal or State laws or regulations that protect the confidentiality or privacy of personally identifiable information or records;

(c) Participate, and require any subgrantees or partners to participate, in collaboration with the national evaluator, in ongoing data collection and analysis, in a manner consistent with any applicable Federal or State laws or regulations that protect the confidentiality or privacy of personally identifiable information or records, both to determine the effectiveness of the MDP, including specific interventions, and to allow for mid-course corrections in the project as needed during the demonstration period, including by--

(1) Cooperating with the national evaluator in the random assignment of eligible child participants and their families either to the group that receives the MDP interventions (treatment group) or to the group that does not receive the MDP interventions, but receives services they would ordinarily receive (control group), and in the collection of data for the evaluation as permitted under applicable Federal or State laws or regulations; and

(2) Designing and implementing a plan for continually assessing the progress of the MDP interventions, for the purpose of ongoing program evaluation.

Project Activities.

To meet the requirements of this priority, the MDP, at a minimum, must conduct the following activities:

(a) Partnerships

(1) Establish a formal partnership with agencies and organizations in the State that play, or have the potential to play, a substantial role in the development and implementation of policies and practices affecting child SSI recipients and their families and in the provision of services and supports to those children and their families.

(i) At a minimum, partners must include the State agencies or equivalents responsible for administering programs that provide the following services:

- State VR services under Title I of the Rehabilitation Act;
- Special education and related services under Part B of the IDEA;
- Workforce Development services under Title I of the Workforce Investment Act (WIA), including Youth Services described in the WIA (Section 129(c)(2));
- Medicaid services under Title XIX of the Social Security Act;
- Temporary Assistance for Needy Families under the Personal Responsibility and Work Opportunity Reconciliation Act;

- Developmental/intellectual disabilities services; and
- Mental health services.

(ii) An applicant may propose a partnership that excludes a required State partner described in paragraph (a)(1)(i) of this section if the applicant provides a strong justification for doing so. A strong justification for excluding a required State partner would be if the applicant can provide the required services and supports and other proposed services and supports (described in Services and Supports under paragraph (b) of the Project Activities section of this notice) to the child participants and their families without the participation of the required partner. However, at least three of the required partners, including the lead coordinating entity, must participate in the partnership.

(iii) In order to meet the requirements described in paragraph (a)(1)(i) or (a)(1)(ii) of this section, applicants may propose to include an established State-level interagency entity such as a State Transition Coordinating Council.

(iv) Applicants may propose other partners that they believe would facilitate the success of the project, such as Employment Networks under the Ticket to Work Program, employers or employer organizations, community colleges, institutions of higher education, independent living centers, and agencies that administer or carry out adult education programs, career and technical education programs, and maternal and child welfare programs.

(v) Applicants must establish procedures governing the exchange of information by the partners in accordance with any applicable Federal or State laws or regulations that protect the confidentiality or privacy of personally identifiable information or records. This includes establishing procedures to ensure that personally identifiable information from education records is exchanged among the partners in compliance with the requirements of the Family Educational Rights and Privacy Act (FERPA)⁴, 20 U.S.C. 1232g, and its implementing regulations in 34 CFR part 99, and the IDEA confidentiality of information provisions in 20 U.S.C. 1417(c) and 34 CFR 300.622, which protect the privacy of personally identifiable information in education records and generally require the prior consent of the parent or eligible student for the disclosure of such information to third parties, unless there is an exception that would permit the disclosure without consent.

(b) Services and Supports for Participants in the Treatment Group

(1) Develop and implement interventions for child SSI recipients and their families that include a coordinated set of services and supports designed to improve the education and employment outcomes (described under Performance Measures in paragraph (c) of the Evaluation and Project Assessment Activities section of this notice) of child SSI recipients and their families. The MDP must also develop innovative methods of providing these services and

⁴ Applicants must ensure the confidentiality of individual data, consistent with the requirements of FERPA, 20 U.S.C. 1232g, the confidentiality of information provisions in section 617(c) of the IDEA, and any other applicable Federal or State laws or regulations that protect the privacy or confidentiality of personally identifiable information or records. FERPA generally prohibits school districts and schools that receive Federal funds from the U.S. Department of Education from disclosing, without the prior written consent of a parent or an eligible student, personally identifiable information from education records. See 20 U.S.C. 1232g and 34 CFR 99.30. (An eligible student is a student who is 18 years of age or older or attends a postsecondary institution at any age). However, certain disclosures may occur, without the prior written consent of a parent or an eligible student, under one of FERPA's specific exceptions to the prior consent requirement. See 34 CFR 99.31. In general and consistent with FERPA, IDEA's confidentiality of information provisions require prior written consent for disclosures of personally identifiable information contained in education records, unless a specific exception applies (20 U.S.C. 1417(c) and 34 CFR 300.622). Questions about FERPA can be forwarded to the Family Policy Compliance Office (www.ed.gov/fpco) at (202) 260-3887 or FERPA@ed.gov.

supports, including coordinating and using resources available through existing programs or funding streams.

In selecting the services and supports to be provided, the applicant must consider the best available information on promising strategies and practices, including, where available, evidence of the effectiveness of the proposed strategies and practices.

(i) As a subset of the proposed services and supports, each MDP must provide or arrange for the following--

(A) Case management: Each MDP must provide case management services for the duration of the project to ensure that services for the participating children and their families are appropriately planned and coordinated and to assist project participants in navigating through the services, supports, and benefits available from the larger service delivery system. Case management services must include, at a minimum:

(1) identifying, locating, and arranging for needed services and supports for the children and their families;

(2) coordinating services provided directly by the MDP with other services that are available in the larger service delivery system; and

(3) transition planning to assist the participating children in setting post-school goals and to facilitate their transition to an appropriate post-school setting, including postsecondary education, training, or competitive employment in an integrated setting. Transition planning must be conducted in coordination with the local educational agency⁵ and, as appropriate, with the consent of the parents or a child who has reached the age of majority under State law, with other agency partners, such as the VR agency, the State Medicaid Agency or other public insurance program, and workforce investment agencies;

(B) Benefits counseling and financial capability services: Each MDP must include ongoing training for the child participants and their families on SSA work incentives, eligibility requirements of various programs, earnings rules, asset accumulation, and financial literacy and planning;

(C) Career and work-based learning experiences: At least one paid work experience in an integrated setting must be provided for children participating in the project before leaving high school. In addition, other skill development opportunities must be provided in an integrated setting, such as volunteering or participating in internships, community services, and on-the-job training experiences, including experiences designed to improve workplace basic skills (sometimes called “soft skills”); and

⁵ Under the IDEA, beginning not later than the first IEP to be in effect when the child turns 16, or younger if determined appropriate by the IEP Team and updated annually thereafter, the IEP must include (1) appropriate measurable postsecondary goals based upon age appropriate transition assessments related to training, education, employment, and where appropriate, independent living skills; and (2) the transition services (including courses of study) needed to assist the child in reaching those goals. 34 CFR 300.320(b). These determinations are made through the IEP process in a meeting of the IEP Team. If a purpose of an IEP Team meeting is the consideration of the child's postsecondary goals and the transition services needed to assist the child in reaching those goals, the requirements in 34 CFR 300.321(b) apply to the participants at that meeting. Section 300.321(b)(3) provides that: To the extent appropriate, with the consent of the parents or a child who has reached the age of majority under State law, the public agency, a term that includes the local educational agency, must invite a representative of any participating agency that is likely to be responsible for providing or paying for transition services.

(D) Parent training and information: At a minimum, the project must provide information and training to the family of participating children with respect to:

(1) the parents' role in supporting and advocating for their children's education and employment goals, including the importance of high expectations for their children's participation in education and competitive employment;

(2) resources for improving the education and employment outcomes of the parents and the economic self-sufficiency of the family, including through--

(i) the acquisition of basic education, literacy, and job-readiness skills, and

(ii) job training and employment services.

(ii) The MDPs also must provide, or arrange for the provision of, other services and supports designed, in combination with the required services, to improve education and employment outcomes for participating children and their parents. Examples of other services include:

(A) Youth development activities: Examples include training in job-seeking skills, life skills, independent living skills, self-advocacy, self-determination, and conflict resolution; exposure to personal leadership development and mentoring opportunities; and exposure to post-school supports through structured arrangements with postsecondary education programs and adult service agencies;

(B) Career development/preparatory activities: Examples include career assessments to help identify career preferences, interests, and skills; career counseling and exploration, including structured exposure to postsecondary education and other life-long learning opportunities; exposure to career opportunities that ultimately lead to a living wage; and information about educational requirements, entry requirements, and income and benefits potential;

(iii) Extended and experiential learning opportunities in integrated settings;

(iv) Job search and job placement assistance, job development, and post-placement employment supports;

(v) Activities designed to engage employers in providing work experiences and in employing participants of the project;

(vi) Health and behavioral management and wellness services, including transition to adult services;

(vii) Literacy training;

(viii) Training in the use of technology and assistive technology services and devices, including the use of assistive technology for education, training, and employment purposes; and

(ix) Independent living activities such as assistance in locating and obtaining housing, health care, and personal attendant services; transportation training and subsidies; child care services; and other community supports.

(c) Participant Outreach and Recruitment

Within two years of the initiation of the project:

(1) Plan for and conduct outreach and recruitment activities (such activities may include mailings, phone calls, informational meetings at State or local agencies or schools, home visits, and other efforts targeted to this population);⁶

(2) Obtain consent for the participation of a minimum of 2,000 child SSI recipients;

(3) Initiate services to participants in the treatment group who must be between the ages of 14 and 16 at the time that project services are initiated; and

(4) As part of the plan for outreach and recruitment, prepare and provide potential participants with a recruitment packet that includes--

(i) A description of the full scope of the project and the goals and objectives of the project with respect to participant outcomes and evaluation activities, including the use of random assignment to determine who will receive MDP interventions, and an explanation of what will be expected of the control group members (e.g., participation in surveys at 18 months, and potentially 60 months after random assignment);

(ii) An MDP enrollment form developed by the national evaluator that includes sufficient demographic and other information to classify the participants into subgroups for further analysis; and

(iii) A written consent form to participate in the project for the parent and, if applicable, the child, that will be developed jointly by the MDP and the national evaluator. As part of the consent, the project requirements must be fully explained to the parent and, if appropriate, to the child. If appropriate, a child who has reached the age of majority under State law must sign the consent form. The consent form must obtain from the parent or child, if appropriate, written consent to participate in the program and to permit the disclosure of personally identifiable information from relevant, privacy-protected records either to the national evaluator or to the project partners in order for them to share data needed to carry out project activities.

All outreach and recruitment materials and forms must be developed and provided in accessible formats for individuals with disabilities, using jargon-free, easily comprehended language, and provided in the family's native language or through another mode of communication, unless it is clearly not feasible to do so.

(d) Technical Assistance and Training

(1) Provide or arrange for the provision of technical assistance, professional development, and training for State and local staff who will carry out project and evaluation activities to ensure that the interventions are implemented in accordance with the MDP design and the needs of the national evaluation. At a minimum, the MDP must provide for the following:

⁶ To assist in these efforts, SSA will, upon completion of an MOU between SSA and the State, provide a list of child SSI recipients and the available contact information in order to assist each funded project in identifying potential participants.

(i) Development of all necessary information and materials about the MDP interventions and project assessments, including the roles and responsibilities of all partners and staff at the State and local levels;

(ii) Twice-a-year meetings in which local site staff are required to participate and for which their participation is supported with project funds. For single State applicants, conduct these meetings either at the location of the lead coordinating entity or at a central location in the State. For consortia, conduct these meetings at a mutually agreeable location. The types of professional development and training to carry out the MDP interventions will be determined by the lead coordinating entity, its partners, and ED. The professional development will be provided by personnel from those entities or other experts. One or more sessions at the semi-annual meetings will be led by the national evaluator in order to train appropriate State and local staff on the evaluation requirements, including the random assignment and data collection processes consistent with any applicable Federal or State laws or regulations that protect the privacy or confidentiality of any relevant data. The first semi-annual meeting must occur early in the first year of the project before random assignment begins; and

(iii) Other ongoing technical assistance that the lead coordinating entity and its partners, including the national evaluator, determine is necessary for fidelity of implementation of the MDP interventions and the evaluation and project assessment activities.⁷

Evaluation and Project Assessment Activities.

Each MDP must be designed to show progress in the key outcome measures to be evaluated under the PROMISE initiative (described in the Performance Measures under paragraph (c) of the Evaluation and Project Assessment Activities section of this notice), as well as the other outcomes that a project proposes to measure. To meet the requirements of this priority, each MDP, at a minimum, must participate in the following activities.

(a) Rigorous Program Evaluation

(1) SSA, in collaboration with ED, will conduct a rigorous evaluation of the PROMISE program using a randomized controlled trial design for each project to obtain evidence of the effectiveness of the MDP interventions carried out under the PROMISE program. MDPs and their designated partners at the State and local levels must:

(i) Agree to allow random assignment to determine which half of the at least 2,000 children and their families recruited for the project will receive the MDP interventions (treatment group) and which half of the children and families will receive the services they ordinarily would receive and will not receive the MDP interventions (control group);

(ii) Ensure that State or local site staff, wherever MDP enrollment forms are being collected, assist in the random assignment process. Staff will be required to provide information from each child's enrollment form (e.g., name, Social Security number, gender, disability, age) to the national evaluator through a secure Web-based random assignment system or a secure phone system. The Web or phone systems will be developed by the national evaluator. After

⁷ ED and SSA plan to fund technical assistance to PROMISE projects on program implementation, data collection, and evaluation fidelity. Projects should provide or arrange for technical assistance beyond what will be funded by ED and SSA.

staff provide the data items that are necessary to conduct the random assignment, the results of the random assignment will be made available to the project staff;

(iii) Ensure that State or local staff communicate the results of the random assignment (i.e., whether the participants have been assigned to the treatment group or the control group) to the child SSI recipients and their families;

(iv) Provide the MDP interventions only to the children and their families assigned to the treatment group; and

(v) Require State and local staff involved in the random assignment process to receive training from the national evaluator at the technical assistance and training meetings (described in paragraph (d)(1) of the Technical Assistance and Training section of this notice) arranged by the State.

(b) Formative Evaluation

(1) Each MDP must develop and implement a plan for conducting a formative evaluation of the project's activities and model, consistent with the proposed logic model and data collection plan, to assess the project's performance and progress in achieving its goals and inform decision making (as outlined in paragraph (j) in the Application Requirements section of this notice).

(c) Performance Measures

(1) Each project must be designed to track its progress on the key outcomes to be evaluated under the PROMISE program as well as the other outcomes that a project proposes to measure.

(2) In collaboration with the national evaluator, the performance of the PROMISE program will be assessed on the basis of established key outcome measures for participating child SSI recipients and their families, as reflected in the goals of the program provided in the priority:

(i) Increased educational attainment (high school completion, diploma or equivalent) and enrollment and persistence in postsecondary education or training by child SSI recipients and their parents;

(ii) Increased number of individuals, including both child SSI recipients and their parents, earning credentials after high school (e.g., postsecondary degree, technical certification, occupational licensure, or other industry-recognized credential);

(iii) Improved employment outcomes (e.g., competitive employment and increased earnings, number of hours worked per week, job retention) for child SSI recipients and their parents;

(iv) Reduced use of public benefits provided to the individual or family (e.g., cash benefits and other benefits with directly measurable economic value);

(v) Increased total gross income of all the members of a household who are 15 years old and older (included in the total are amounts reported separately for wage or salary income; net self-employment income; interest, dividends, or net rental or royalty income or income from estates and trusts; Social Security or Railroad Retirement income; Supplemental Security Income; public assistance or welfare payments; retirement, survivor, or disability pensions; and all other income); and

(vi) Post-program reduction in SSI payments as a result of participation in the MDP (i.e., amounts paid to children and their families who participate in the MDP interventions are expected to be less than amounts paid to participants randomly assigned to receive services they typically receive).

(3) In addition to the key program outcome measures, each MDP must develop project measures that assess the project's performance in achieving its goals consistent with the purpose of the priority and the project's logic model.

(i) The set of project measures must include interim measures that assess the progress toward achieving the project's outcomes, including the attainment of milestones and benchmarks consistent with the logic model. For example, the applicant may consider measures related to school attendance, project attrition, work experiences, enrollment in education or workforce development programs, or the use of partner-provided services for which the child participants and their families are eligible.

(ii) The MDP must report progress and performance on its measures at least quarterly to the Office of Special Education Programs (OSEP) and the national evaluator and use this information to inform decision making consistent with any applicable Federal or State laws or regulations that protect the privacy or confidentiality of any personally identifiable information or records.

(d) Data Collection

(1) Each MDP must develop and implement a plan for collecting data and for cooperating with the national evaluator in its efforts to obtain data and other information on the MDP. The plan must be designed to ensure that the MDP will:

(i) Assist in collecting baseline (pre-program) data using the MDP enrollment form provided by the national evaluator;

(ii) Require project partners and staff at the State and local levels to cooperate with the national evaluator's efforts to obtain descriptive information on project implementation such as through surveys, focus groups, or other methods.

(iii) Have the capacity to track and manage project information, such as referrals and service participation, and document the services and supports received by the child participants and their families.

(iv) Ensure the State administrative data collected by various State agency PROMISE partners are shared with the national evaluator, subject to obtaining required consent under FERPA and the IDEA confidentiality of information provisions and any other applicable Federal or State laws or regulations that protect the privacy or confidentiality of personally identifiable information or records. These State data may include information related to services provided,

interim and long-term outcomes, and project progress and performance. Examples of State administrative data include education records maintained by a State educational agency through its statewide longitudinal data system (e.g., transcripts, State assessment data, attendance records, high school completion data, postsecondary enrollment information), employment and earnings information obtained through the State Unemployment Insurance system, service data collected by the State VR system, and health records maintained by the State Medicaid office;

(v) Collect data to evaluate the performance of the MDP on the key outcome measures (described in the Performance Measures under paragraph (c)(1) of the Evaluation and Project Assessment Activities section of this notice), and develop and implement a process to identify and collect the data needed to support project measures that assess the MDP's progress and performance, including by making data available from its statewide longitudinal data system(s); and

(vi) Use unique program identifiers that can be matched to various data systems.

Other Project Activities.

To meet the requirements of this priority, each MDP, at a minimum, must conduct the following activities:

(a) Maintain ongoing telephone and email communication with the OSEP project officer;

(b) Maintain detailed documentation sufficient for model replication purposes, should the model be successful, including the sources of support for services to participants (other than direct project funds) such as services provided through existing State and local programs;

(c) Communicate and collaborate on an ongoing basis with other federally funded projects, including other MDPs funded under this priority, to share information on successful strategies and implementation challenges regarding the coordination of services and supports for child SSI recipients and their families. ED will encourage ED-funded projects to cooperate with, and provide technical assistance to, PROMISE MDPs when appropriate. The following are examples of federally funded technical assistance centers and projects the MDPs are encouraged to contact: the National Dropout Prevention Center for Students with Disabilities (www.ndpc-sd.org), National Secondary Transition Technical Assistance Center (www.nsttac.org), State Implementation and Scaling-up of Evidence-based Practices Center (<http://siseq.fpg.unc.edu>), Postsecondary Education Programs Network (www.pepnet.org), IDEA Partnership (www.ideapartnership.org), National and Regional Parent TA Centers (www.parentcenternetwork.org), Parent Training and Information Centers and Community Parent Resource Centers (www.parentcenternetwork.org), Independent Living Research and Utilization Project (www.ilru.org), National Collaborative on Workforce and Disability for Youth (www.ncwd-youth.info), Rehabilitation Research and Training Centers (<http://www2.ed.gov/programs/rrtc/index.html>), The National Technical Assistance Center for Children's Mental Health (<http://gucchdtacenter.georgetown.edu>), The Solutions Desk on Helping Youth Transition (www.syvdsd.ou.edu), Healthy & Ready to Work National Resource Center (www.syntiro.org/hrtw), TA Partnership for Child and Family Mental Health (www.tapartnership.org), and the National Center for Mental Health Promotion and Youth Violence Prevention (www.promoteprevent.org);

(d) Maintain contact and cooperate with the national evaluator throughout the project period and for one year after the close of the project for follow-up data collection and other needs; and

(e) Contribute relevant MDP information to a central PROMISE Web site that OSEP will make available.

Application Requirements.

To be considered for funding under this absolute priority, an applicant must include in its application--

(a) A description of the proposed project, including the applicant's plan for implementing the project. The description must include--

(1) A cohesive, articulated model of partnership and coordination among the participating agencies and organizations;

(2) A logic model that depicts, at a minimum, the goals, activities, outputs, and outcomes of the proposed project. The logic model must specify the contributions of each partner to the activities, outputs, and outcomes of the proposed project. A logic model communicates how a project will achieve its outcomes and provides a framework for the formative evaluation of the project;

Note: The following Web sites provide more information on logic models:
www.researchutilization.org/matrix/logicmodel_resource3c.html and
http://archive.tadnet.org/model_and_performance?format=html; and

(3) A timeline for implementing the model and achieving project milestones and outcomes consistent with the logic model and the requirements of this priority.

(b) A description of the coordinated set of required and other services and supports that the project proposes to provide to the participating children and their families in order to meet the project's objectives. The description must describe how the services and supports, including the four required services and other services chosen by the project, will be provided, including whether the project will provide the services directly or will arrange for the services to be provided through its partners or other entities (described in Services and Supports under paragraph (b) of the Project Activities section of this notice).

(c) A detailed description of any evidence that the services and supports proposed by the applicant have been implemented previously with the targeted populations of child SSI recipients and their families, or similar populations, albeit on a limited scale or in a limited setting, and have yielded promising results that suggest that more formal and systematic study is warranted. An applicant must provide a rationale for the coordinated set of services or supports that is based on research findings or reasonable hypotheses, including related research or theories in education and other disciplines.

(d) A detailed description of the project's proposed partners (including required partners described in paragraph (a)(1) of the Project Activities section of this notice) that will play a key

role in coordinating services and implementing the interventions in the proposed model, including a description of--

(1) The proposed partners' roles and responsibilities under the project;

(2) The proposed partners' commitment to the project, including letters of intent from all proposed partners to enter into an MOU with the lead coordinating entity as described in the Eligibility Information section of this notice;

(3) The plan to coordinate services among partner agencies and other entities to ensure that project resources are used efficiently and effectively; and

(4) The justification to exclude a required State partner, if applicable.

(e) A description of the proposed outreach and recruitment plan, including--

(1) The methods for ensuring that, within two years of the start of the MDP, the project will obtain consent from at least 2,000 child SSI recipients who will be between the ages of 14 and 16 at the time that project services are initiated, and their families.

(2) An assurance that the applicant will secure a signed written consent to participate in the project from the parent or, if applicable, the child; that the consent form will be provided to the parent and the child in an accessible format; and that, as part of the consent, project requirements will be fully explained to the parent and child, including that participation in the program is voluntary on the part of the child and family (described in Participant Outreach and Recruitment under paragraph (c) of the Project Activities section of this notice). The MDP must also obtain any necessary written consent from the parent or, if applicable, the child for the disclosure of personally identifiable information from relevant records, consistent with FERPA, the IDEA confidentiality of information provisions, and any other applicable Federal or State laws or regulations that protect the privacy or confidentiality of personally identifiable information or records, such as the Health Insurance Portability and Accountability Act, which contains specific privacy and security rules protecting health information. In addition, under the State VR Services Program, the requirements in 34 CFR 361.38 (protection, use, and release of personal information) would apply to any records of participants in that VR Services program.⁸

(f) A description of the applicant's commitment to work with ED, SSA, and the national evaluator for PROMISE to ensure that random assignment and data collection are completed in a manner that supports ED's and SSA's efforts to conduct a rigorous national evaluation of the PROMISE program and the specific interventions and strategies implemented by individual grantees. The application must include an assurance that--

(1) Project staff will assist with the random assignment of recruited children and their families; and

(2) Through MOUs with partners and other participating entities, the national evaluator, ED, and SSA will be provided access to relevant program and project data (e.g., administrative

⁸ 34 CFR 361.38(e)(1) provides: Upon receiving the informed written consent of the individual or, if appropriate, the individual's representative, the State unit may release personal information to another agency or organization for its program purposes only to the extent that the information may be released to the involved individual or the individual's representative and only to the extent that the other agency or organization demonstrates that the information requested is necessary for its program.

data and program and project performance data) and that, if requested, ED and SSA will be provided data quarterly.

(g) An assurance that the applicant will provide or arrange for the provision of technical assistance and training to ensure consistency in the implementation and evaluation of the MDP, including the fidelity of implementation of the MDP interventions (described in Technical Assistance and Training under paragraph (d) of the Project Activities section of this notice).

(h) A description of the performance measures (and performance targets), including interim measures, the MDP will use to assess its performance and progress toward achieving its goals, consistent with the logic model and the formative evaluation plan.

(i) A description of the data collection plan that--

(1) Outlines the process for assessing, collecting, and sharing project data and other information among the collaborating partners and the national evaluator (described in Data Collection in paragraph (d) of the Evaluation and Project Assessment Activities section of this notice), in a manner consistent with any Federal or State laws or regulations that protect the confidentiality or privacy of personally identifiable information or records; and

(2) Identifies the systems or tools that will be used for storing, managing, analyzing, and reporting data, including a description of the applicant's capacity to track and manage project information (e.g., referrals and service participation) and document the services and supports received by the children and their families, and for the partners or other participating entities to communicate about, and collaborate on, the MDP's services, processes, and data collection plan.

(j) A description of the applicant's plan, consistent with the proposed logic model and data collection plan, for conducting a formative evaluation of the proposed project's activities and model, including--

(1) The data to be periodically collected for the formative evaluation, including data related to the fidelity of implementation, stakeholder acceptability, and descriptions of the site context;

(2) The methods the applicant will use to collect these data;

(3) How these data will be reviewed by the project, when they will be reviewed (consistent with the timeline required in paragraph (a)(3) of the Application Requirements section of this notice), and how they will be used during the course of the project to adjust the model or its implementation to increase the model's usefulness, generalizability, and potential for sustainability; and

(4) How the formative evaluation will use clear performance objectives to ensure continuous improvement in the operation of the proposed project, including objective measures of progress in implementing the project and ensuring the quality of products and services.

(k) A plan for attendance at the following:

(1) A one and one-half day kick-off meeting to be held in Washington, DC, after receipt of the award and an annual planning meeting to be held in Washington, DC, with the OSEP project officer during each subsequent year of the project period.

Note: Within 30 days of the receipt of the award, a post-award teleconference must be held between the OSEP project officer and the grantee's project director or other authorized representative.

(2) A three-day project directors' conference in Washington, DC, during each year of the project period;

(3) Three, two-day trips annually to attend Department briefings, Department-sponsored conferences, and other meetings, as requested by OSEP; and

(4) A one-day intensive review meeting in Washington, DC, that will be held during the last half of the third year of the project period.

Fourth and Fifth Years of the Project:

In deciding whether to continue funding the project for the fourth and fifth years, the Secretary will consider the requirements of 34 CFR 75.253(a), and in addition--

(a) The recommendation of a review team consisting of experts selected by the Secretary. This review will be conducted during a one-day intensive meeting in Washington, DC, that will be held during the second half of the third year of the project period;

(b) The timeliness and effectiveness with which all requirements of the negotiated cooperative agreement have been or are being met by the project including successfully obtaining consent from at least 2,000 child SSI recipients and their families;

(c) The number of child SSI recipients and their families still being served and the duration of their participation in project services; and

(d) The quality, relevance, and usefulness of the project's activities and products; the degree to which the project's activities and products are aligned with the project's objectives; and the likelihood that current performance and progress will result in the project achieving its proposed outcomes.

Waivers:

Applicants may apply for waivers that are currently authorized under existing Federal programs if the applicant believes having one or more waivers would enable the applicant to achieve better outcomes for the project participants. Applicants may request waivers under authorities administered by any of the Federal agencies participating in this interagency initiative--ED, DOL, DHHS, and SSA. Applicants seeking waivers must apply directly to the agency that administers the relevant waiver authority. However, to assist us in ensuring that the effect on PROMISE projects is carefully considered in processing any waiver request, we are asking applicants to submit to the Department of Education an explanation of the waivers the

applicant is requesting, why the applicant believes the waivers are needed for the PROMISE project, and how project outcomes might be enhanced with the approval of such waivers. The applicant should not refer to the requested waivers in its application narrative for PROMISE. The waiver content will not be considered as part of the application scoring process. The approval of any requested waivers will be at the sole discretion of the relevant Federal agency. For example, waivers of SSA program rules will be approved or denied by SSA. For further information about waivers see www.ed.gov/promise. Information on waivers requested by the applicant should be sent by August 19, 2013 as an email attachment to Corinne Weidenthal at corinne.weidenthal@ed.gov.

Within this absolute priority, we are particularly interested in applications that address the following invitational priority.

Invitational Priority:

Under 34 CFR 75.105(c)(1) we do not give an application that meets this invitational priority a competitive or absolute preference over other applications.

This priority is:

Outcome-Based Payments. The Secretary is especially interested in applicants that propose to incorporate into their PROMISE MDPs an Outcome-based Payment (OBP) model that ties payments to service providers to the achievement of outcomes or established milestones.

Although the OBP model is distinct from the fee-for-service payment model, the OBP model has been used in the health-care arena to offer financial rewards to providers that achieve, improve, or exceed their performance on specified quality, cost, and other benchmarks. Under an OBP arrangement, providers are rewarded for meeting pre-established targets for delivery of services, thus creating an incentive to meet performance objectives. However, for OBP arrangements to be effective, all the factors that affect performance must be considered including: motivation, skills, an understanding of the goals, and the ability to measure progress. For example, one type of OBP model is performance-based contracting.

Performance-based contracts typically:

- Emphasize results related to output, quality, and outcomes rather than how the work is performed;
- Specify deliverables, measurable performance standards, and clearly defined objectives and timeframes;
- Use quality assurance plans;
- Provide performance incentives and consequences for nonperformance; and
- Tie payment to deliverables, performance measures, and outcomes.

In inviting OBP models, ED is interested in demonstrating how payment models can help achieve positive outcomes for child SSI recipients and their families, consistent with those identified in the absolute priority. ED's objectives in establishing this OBP invitational priority are to:

- Test a model that limits at least part of the risk of government funding for unachieved outcomes by clearly defining performance-based consequences (rewards or sanctions) for service providers.

- Learn whether the OBP concept is feasible in this arena given the complexity of needs and number of agencies involved in serving child SSI recipients and their families.
- Determine whether paying only for specific outcomes achieved at predetermined milestones within the project period creates an incentive structure that promotes the achievement of PROMISE's goals.

Applicants that address this invitational priority must include a plan for implementing the OBP model during the project. The plan must describe a validation methodology and a payment plan that (a) is derived from quantifiable data and (b) measures performance against outcome targets for the target population relative to a well-defined comparison population. The applicant must describe the terms of the payment arrangement between the applicant and the provider, including the agreed performance milestones and targeted outcomes and the payments due upon their achievement.

For more information, see the following Web site:

<http://www.mass.gov/chia/docs/pc/2009-02-13-pay-for-performance-c3.pdf>.

DEFINITIONS:

Background:

The following definitions are provided to ensure that applicants have a clear understanding of how we are using these terms in the priority. These definitions apply in any year in which this program is in effect. These definitions are based on definitions that ED uses or relies on in other contexts.

Competitive employment means work:

(a) In the competitive labor market that is performed on a full-time or part-time basis in an integrated setting; and

(b) For which an individual is compensated at or above the minimum wage, but not less than the customary wage and level of benefits paid by the employer for the same or similar work performed by individuals who are not disabled.

Source: State Vocational Rehabilitation Services Program, 34 CFR 361.5(b)(11).

Education records means those records that are directly related to a student and maintained by an educational agency or institution or by a party acting for the agency or institution. Source: FERPA (20 U.S.C. 1232g(a)(4)(A)) and the FERPA regulations at 34 CFR 99.3 (definition of "Education records.")

Experiential learning means learning through experience. The individual is encouraged to be directly involved in the experience and then reflect on the experience using analytic skills, in order to gain a better understanding of the new knowledge and retain the information. For further information: www.infed.org/biblio/b-explrn.htm.

Extended learning opportunities (ELOs) means safe, structured learning environments for students outside the traditional school day. ELOs include after-school, before-school,

evening, weekend, and summer learning programs. ELOs come in many forms and can include tutoring, volunteering, academic support, community service, organized sports, homework help, and art and music programs. Source: www.ccsso.org/Documents/2009/The_Quality_Imperative_a_2009.pdf.

Families includes a wide range of relationships, including spouse, parents, parents-in-law, children, brothers, sisters, grandparents, grandchildren, stepparents, stepchildren, foster parents, foster children, guardianship relationships, same-sex and opposite-sex domestic partners, and spouses or domestic partners of the aforementioned, as applicable. Source: www.opm.gov/oqa/leave/html/FamilyDefs.asp.

Fidelity of implementation means the accurate and consistent delivery of the intervention in the way in which it was designed to be delivered. Source: www.nrcl.org/rti_manual/pages/RTIManualSection4.

Integrated setting, as used in the context of education or employment, means a setting typically found in the community in which individuals with disabilities interact with non-disabled individuals, other than non-disabled individuals who are providing services to such individuals, to the same extent that non-disabled individuals in comparable positions interact with other persons. Source: State Vocational Rehabilitation Services Program, 34 CFR 361.5(b)(33)(ii).

Logic model means a well-specified conceptual framework that identifies key components of the proposed project, practice, strategy, or intervention (i.e., the active “ingredients” that are hypothesized to be critical to achieving the relevant outcomes) and describes the relationships among the key components and outcomes, theoretically and operationally. For further information: www.researchutilization.org/matrix/logicmodel_resource3c.html; and www.tadnet.org/pages/589.

Parent means (from 34 CFR 300.30):

(a) Parent means--

(1) A biological or adoptive parent of a child;

(2) A foster parent, unless State law, regulations, or contractual obligations with a State or local entity prohibit a foster parent from acting as a parent;

(3) A guardian generally authorized to act as the child's parent, or authorized to make educational decisions for the child (but not the State if the child is a ward of the State);

(4) An individual acting in the place of a biological or adoptive parent (including a grandparent, stepparent, or other relative) with whom the child lives, or an individual who is legally responsible for the child's welfare; or

(5) A surrogate parent who has been appointed in accordance with section 300.519 or section 639(a)(5) of the Act.

(b) (1) Except as provided in paragraph (b)(2) of this section, the biological or adoptive parent, when attempting to act as the parent under this part and when more than one party is qualified under paragraph (a) of this section to act as a parent, must be presumed to be the

parent for purposes of this section unless the biological or adoptive parent does not have legal authority to make educational decisions for the child.

(2) If a judicial decree or order identifies a specific person or persons under paragraphs (a)(1) through (4) of this section to act as the “parent” of a child or to make educational decisions on behalf of a child, then such person or persons shall be determined to be the “parent” for purposes of this section.

Source: 34 CFR 300.30 of the IDEA regulations.

Personally identifiable information includes, but is not limited to, the following--

- (a) The student's name;
- (b) The name of the student's parent or other family members;
- (c) The address of the student or student's family;
- (d) A personal identifier, such as the student's Social Security number, student number, or biometric record;
- (e) Other indirect identifiers, such as the student's date of birth, place of birth, and mother's maiden name;
- (f) Other information that, alone or in combination, is linked or linkable to a specific student that would allow a reasonable person in the school community, who does not have personal knowledge of the relevant circumstances, to identify the student with reasonable certainty; or
- (g) Information requested by a person who the educational agency or institution reasonably believes knows the identity of the student to whom the education record relates.

Source: 34 CFR 99.3 of the FERPA regulations; see also 34 CFR 300.32 of the IDEA regulations.

Program Authority:

Consolidated Appropriations Act, 2012 (P.L. 112-74).

Applicable Regulations:

(a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 86, 97, 98, and 99. (b) The Education Department debarment and suspension regulations in 2 CFR part 3485.

II. AWARD INFORMATION

TYPE OF AWARD: Cooperative agreements.

ESTIMATED AVAILABLE FUNDS: \$100,000,000.

Dependent upon the number of awards that are made, these funds would largely be used to support years one and two, and possibly year three, of PROMISE project activities.

ESTIMATED RANGE OF AWARDS: \$22,500,000 - \$50,000,000 for 5 years.

ESTIMATED AVERAGE AWARD SIZE: \$37,500,000 for 5 years.

ESTIMATED NUMBER OF AWARDS: 3 to 6. Contingent upon the quality of applications, the Secretary will make an award to at least one consortium applicant in this competition.

MAXIMUM AWARD: \$50,000,000 for 5 years. We will not consider any application that proposes an award size for a project period of up to 60 months exceeding an annual average of \$6,500 per child SSI recipient and his or her family served. Therefore, an applicant proposing to serve the minimum treatment group size of 1,000 child SSI recipients and their families for five years may request an annual average funding level of up to \$6,500 per child and his or her family, which corresponds to a five-year award of up to \$32,500,000.

An applicant requesting the maximum award of \$50,000,000 must propose to serve at least 1,539 child SSI recipients and their families in the treatment group for a five year project period. Projects may spend more than \$6,500 per year to serve a particular child and his or her family during the operation of the project. Projects may also propose a funding level for a single 12-month budget period that exceeds \$6,500 per child and his or her family served. However, the average annual funding level for all of the project's budget periods may not exceed \$6,500 per child SSI recipient and his or her family served. The Assistant Secretary for Special Education and Rehabilitative Services may change the maximum amount through a notice published in the Federal Register.

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

PROJECT PERIOD: Up to 60 months. Grants awarded under this competition may be for a project period of up to five years. Depending on the availability of funds, the Department will make continuation awards for years two and three of the project period in accordance with section 75.253 of EDGAR (34 CFR 75.253). However, to ensure that continuation funds will be used only for high-quality and effective projects, in determining whether to award continuation grants for years four and five the Department will consider whether: (1) funds are available; (2) the grantee meets the requirements in section 75.253 of EDGAR; and (3) the grantee is achieving the intended outcomes of the grant (see specific factors to be considered in the Fourth and Fifth Years section of this notice).

APPLICATIONS AVAILABLE:

May 21, 2013.

DEADLINE FOR INTENT TO APPLY:

June 20, 2013.

DEADLINE FOR TRANSMITTAL OF APPLICATIONS:

August 19, 2013.

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 100 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).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

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, or the letters of support. However, the page limit does apply to all of the application narrative section (Part III).

We will reject your application if you exceed the page limit; or if you apply other standards and exceed the equivalent of the page limit..

GENERAL REQUIREMENTS:

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

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

ELIGIBLE APPLICANTS:

Eligible applicants are the 50 States and the District of Columbia. A consortium of States may also apply. A grantee, subgrantee, or partner under this program is not eligible to receive funding for the SSA national evaluation contract. An applicant must meet the following requirements to be eligible to compete for funding under this program:

(a) Single State applicant. A single State with adequate child SSI recipients, as described in paragraph (d) of this section, may apply. The State applicant must:

- (1) Designate a lead coordinating entity, which must be a State agency; and

(2) Submit an application that has been signed by the State's Governor and the administrative head of the State's lead coordinating entity.

(b) Consortium of States applicant. A consortium of States may apply in order to meet the minimum sample size eligibility requirement, as described in paragraph (d) of this section.

(1) One of the States participating in the consortium must submit an application on behalf of the consortium;

(2) Each of the consortium States must designate a lead coordinating entity, which must be a State agency;

(3) The application must be signed by the Governor of each State and the administrative head of each State's lead coordinating entity;

(4) The applicant on behalf of the consortium is the grantee and is legally responsible for the use of all grant funds and ensuring that the project is carried out by the consortium in accordance with Federal requirements;

(5) Each member of the consortium is legally responsible to carry out the activities it agrees to perform (EDGAR, 34 CFR 75.129); and

(6) Each State participating in the consortium must have partnerships with at least three common agencies (or equivalent for administering common programs). (Described in Partnerships under paragraph (a) of the Project Activities section of this notice.)

(7) Each State participating in the consortium must provide the coordinated set of required and other services and supports as proposed in the application (described in paragraph (b) of the Application Requirements section of this notice.) This set of coordinated services and supports must be the same across all States in the consortium.

(c) Lead coordinating entity. The lead coordinating entity must partner with other State agencies and is encouraged to partner with local agencies and organizations that play or have the potential to play a substantial role in the development and implementation of policies and practices affecting child SSI recipients and their families (see Partnerships under the Project Activities section of this notice and the related application requirements).

(d) Minimum sample size. The State or consortium of States must have a sufficient number of children between the ages of 14 and 16 who receive SSI to, within two years of the start of the project, recruit the minimum sample size of 2,000 child SSI recipients into the MDP and begin providing MDP interventions to half of those recruited. This sample size is necessary to assess the effectiveness of each MDP. If the MDP chooses to exceed the minimum sample size, half of the child SSI recipients must still be assigned to the treatment group and half to the control group. Each MDP will be evaluated separately because ED and its Federal PROMISE partners expect grantees to vary in their approaches to implementing PROMISE (see the Evaluation and Project Assessment Activities section of this notice).

FOR FURTHER INFORMATION ABOUT THIS PRIORITY CONTACT:

Corinne Weidenthal, Project Officer
Research to Practice Division
Office of Special Education Programs
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**SELECTION CRITERIA AND FORMAT
FOR THE APPLICATIONS FOR NEW AWARDS—
PROMOTING THE READINESS OF MINORS IN
SUPPLEMENTAL SECURITY INCOME (PROMISE)
(CFDA 84.418P) 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 **Applications for New Awards; Promoting the Readiness of Minors in Supplemental Security Income (PROMISE) (CFDA 84.418P)** 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 125 points.

An **abstract**, not to exceed one page, should precede the application narrative of all applications. In addition to any requirements for the abstract in the priority, it would be helpful if it included the following: Purpose of the project; disability addressed by the project; age group (e.g., 0-3, preschool, elementary school, middle school, high school, secondary transition, and postsecondary); geography (e.g., rural, suburban, urban); severity (e.g., mild, moderate, and severe); proposed products; proposed outcomes; names/affiliations of key collaborators. It would be helpful if the abstract includes: (a) the title of the program, (b) the name of the Absolute Priority, and (c) the CFDA Number (e.g., 84.418P).

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

(a) Quality of the project design.....(35 points)

- (1) The extent to which the MDP identifies and plans to address gaps and weaknesses in current State service systems for child SSI recipients and their families.
- (2) The extent to which the MDP’s interventions are likely to meet the needs of child SSI recipients and their families and achieve the desired outcomes.
- (3) The extent to which the applicant documents that proposed services and supports are based on the best available evidence including, where available, research that has demonstrated statistically significant positive effects using the strongest possible study designs such as those that meet the standards of the What Works Clearinghouse.⁹

⁹ The What Works Clearinghouse uses objective and transparent standards and procedures to make its assessment of the scientific merit of studies of the effectiveness of education interventions, and then summarizes the results of its systematic reviews in a set of products. For further information: <http://ies.ed.gov/ncee/wwc>.

- (4) The extent to which the budget is adequate to support the proposed MDP, including whether costs are reasonable in relation to the objectives, design, and potential significance of the proposed project.
- (5) The extent to which the MDP has clearly articulated a model of partnership, coordination, and service delivery that includes:
 - (i) An explicit and comprehensive strategy, with actions that are expected to result in achieving the goals, objectives, and desired outcomes of the proposed project; and
 - (ii) Measurable goals and benchmarks that are supported by quantitative projections of the accomplishments for each activity and that are attainable given the number of activities to be accomplished and the project period, as well as a timetable with target dates for achievement of the benchmarks and goals.
- (6) Quality of the logic model, project implementation plan, and timeline, including the extent to which there is a conceptual framework underlying the demonstration activities and the quality of that framework.

(b) Quality of participant recruitment plan(25) points

- (1) The extent to which the MDP has clearly articulated a realistic outreach and recruitment plan that is likely to lead to at least 2000 child SSI recipients and their families giving consent to participate in the MDP.

(c) Quality of management plan and personnel(35) points

- (1) The adequacy of the management plan that is designed to achieve the objectives of the proposed project on time and within budget.
- (2) The adequacy of partnerships within the State or consortium that are designed to achieve project objectives, including:
 - (i) An overall management plan for the partnerships, including mechanisms for coordinating across agencies and organizations. The plan should also describe how the partnership will be organized to carry out the project, including clearly defined roles and responsibilities for each partner;
 - (ii) The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners, including at least three of the required partners, to maximize the impact of the MDP;
 - (iii) The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project. Partner commitment should be demonstrated in the form of MOUs, substantive non-form letters of intent, or other documents that show strategic relationships are preferably already in place, that the partners have prior experience collaborating to serve low-income children with disabilities, that each partner understands its roles and responsibilities, and that the leadership of each partner supports the proposed activities; and

- (iv) A system for holding partners accountable for performance in accordance with the MOU, letters of intent, or other commitments among the partners.
- (3) The capacity of the project to execute necessary data collection protocols and requirements in a high-quality manner, including:
 - (i) Implementing a process to collect the data needed to track the required outcome measures, project-specific measures, and other necessary information over time and across partner agencies and organizations;
 - (ii) Adequately documenting project activities, referrals, services, and supports received by each child SSI recipient and his or her family, and any resulting State systems change; and
 - (iii) Cooperating with the national evaluator on all matters necessary to undertake rigorous evaluation and measurement of the project.
- (4) The quality of key personnel, including:
 - (i) A qualified and sufficient staff to accomplish the goals of the project, including the techniques proposed to ensure that an adequate supply of qualified staff are enlisted in a timely manner;
 - (ii) The extent to which there is evidence that key project staff, by virtue of their training or professional experience, have the requisite knowledge to design, implement, and manage projects of the size and scope of the proposed project; and
 - (iii) The extent to which the identified key personnel have the requisite authority to commit their agency and its resources to the implementation of the project.

(d) Significance(20) points

- (1) The extent to which the proposed project will result in systems change and improvement.
- (2) The potential contribution of the proposed project to the development and advancement of knowledge and practices in the field.
- (3) The extent to which the project is designed to raise the expectations held by, and about, participating child SSI recipients regarding their education and employment outcomes.
- (4) The importance or magnitude of the results or outcomes likely to be attained by the proposed project.

(e) Capacity for continuous feedback and improvement(10 points)

- (1) The adequacy of plans and procedures for ensuring continuous feedback and improvement in the implementation of the proposed project.
- (2) The capacity for incorporating participating child SSI recipient and family feedback, including:
 - (i) The extent to which the proposed project seeks, encourages, and includes parental involvement and feedback; and
 - (ii) The extent to which the proposed project seeks, encourages, and includes feedback from participating child SSI recipients and encourages their self-determination.

GENERAL INFORMATION ON COMPLETING AN APPLICATION

GENERAL INFORMATION ON COMPLETING AN APPLICATION

Potential applicants frequently direct questions to officials of the Department regarding application notices and programmatic and administrative regulations governing various direct grant programs. To assist potential applicants, the Office of Special Education Programs staff have assembled the following most commonly raised issues. In general, this information applies to the grant competitions covered by this application package.

EXTENSION OF DEADLINES

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

COPIES OF THE APPLICATION

Unless you qualify for an exception in accordance with the instructions found in the Notice inviting applications, you must submit your application electronically. Therefore, you do not need to submit paper copies of the application. If you are granted an exception, current Government-wide policy requires that an original and two paper copies need to be submitted. Please note: If an application is recommended for funding and a grant award is issued, we will contact the applicant to request an electronic copy of the application in MS Word or a PDF file. The Department is moving toward an electronic grant filing system and an electronic copy of all applications that are being funded will facilitate this effort.

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

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

MISSED DEADLINES AND SUBMISSION UNDER OTHER COMPETITIONS

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

SUBMISSION TO MORE THAN ONE PROGRAM

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

HELP PREPARING APPLICATIONS

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

NOTIFICATION OF FUNDING

The time required to complete the evaluation of applications is variable. Once applications have been received staff must determine the areas of expertise needed to appropriately evaluate the applications, identify and contact potential reviewers, convene peer review panels, and summarize and review the recommendations of the review panels. You can expect to receive notification within 3 to 6 months of the application closing date, depending on the number of applications received and the number of competitions with closing dates at about the same time.

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

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

FORMAT FOR APPLICATIONS

The application narrative (Part III of the application form) should be organized to follow the exact sequence of the components in the selection criteria used to evaluate applications. (The selection criteria for the competitions covered by this packet are listed following the specific competition information in section "B" of this packet. The abstract, not to exceed one page, should precede the table of contents, and application narrative. In submitting your application through Grants.gov, the one page abstract should be uploaded and attached to the Abstract File. For the table of contents, and application narrative, you will have to PDF these documents into one file, then upload and attach to the Mandatory Project Narrative File. 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.

In addition to any requirements for the abstract in the priority, it would be helpful if it included the following information: Purpose of the project; disability addressed by the project; age group (e.g., 0-3, preschool, elementary school, middle school, high school, secondary transition, and postsecondary); geography (e.g., rural, suburban, urban); severity (e.g., mild, moderate, and severe); proposed products; proposed outcomes; names/affiliations of key collaborators. It would be helpful if the abstract includes: (a) the title of the program, (b) the name of the Absolute Priority, and (c) the CFDA Number (e.g., 84.418P).

To aid in screening and reviewing the application, applicants should list after the abstract, all general, special, and other requirements for the priority and corresponding page number (s) where requirements are addressed within the application. (All requirements are found in each priority description included in this application package.) Page limits do not apply to this list of priority requirements (see Application Forms and Instructions for Grants.gov Submission document for upload instructions). 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.

PAGE LIMITS

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

1. **Staff Vitae:** They should include each person's title and role in the proposed project and contain only information that is relevant to this proposed project's activities and/or publications. Vitae for consultants and Advisory Council members should be similarly brief.
2. **Instruments:** Except in the case of generally available and well known instruments.
3. **Agreements:** When the participation of an agency other than the applicant is critical to the project. This is particularly critical when an intervention will be implemented within an agency, or when subjects will be drawn from particular agencies. Letters of cooperation should be specific, indicating agreement to implement a particular intervention or to provide access to a particular group of students.

The items listed above are not included under page limits.

MAKING SURE APPLICATION IS ASSIGNED TO THE CORRECT COMPETITION

Applicants should clearly indicate in Item 11 on the application (SF Form 424) the CFDA number of the program priority (e.g., 84.418P, etc.) representing the competition in which the application should be considered. If this information is not provided, your application may inadvertently be assigned and reviewed under a different competition from the one you intended.

RETURN OF NON-FUNDED APPLICATIONS

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

PROPOSED STAFF AVAILABILITY TO PROJECT

For each staff person named in the application, please provide documentation of all internal and external time commitments. In instances where a staff person is committed on a federally supported project, please provide the project name, Federal office, program title, the project federal award number, and the

amount of committed time by each project year. This information (e.g., Staff: Jane Doe; Project Name: Succeeding in the General Curriculum; Federal office: Office of Special Education Programs; Program title: Educational Technology, Media, and Materials for Individuals with Disabilities; Award number: H373A030002; Time commitments: Year 1—30%; Year 2—25% and Year 3—40%) can be provided as an Appendix to the application.

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

USE OF PERSON LOADING CHARTS

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

TABLE: PERSON LOADING CHART—TIME IN DAY(S) BY PERSON*

Activity	Time in Day(s) by Person			
	Person A	Person B	Person C	Person D
Library Research	0	0	0	0
Hire Staff	0	0	0	0
Prepare Materials	0	0	0	0
Train Raters	0	2	0	0
Data Collection	0	0	0	0
Data Analysis	0	0	0	0
Dissemination (manuscripts, etc.)	0	0	0	0

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

DELIVERING/SENDING APPLICATIONS TO THE COMPETITION MANAGER

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

ALLOWED TRAVEL UNDER THESE PROJECTS

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

FUNDING OF APPROVED APPLICATIONS

It is often the case that the number of applications recommended for approval by the reviewers exceeds the dollars available for funding projects under a particular competition. When the panel reviews are completed for a particular competition, the individual reviewer scores and applications are ranked. The higher ranked, approved applications are funded first, and there are often lower ranked, approved applications that do not receive funding. Sometimes, one or two applications that are approved and fall next in rank order (after those projects selected for funding) are placed on hold. If dollars become available as a result of negotiations, or if a higher ranked applicant declines the award, the projects on

hold may receive funding. If you receive a letter stating that you will not receive funding, then your project has neither been selected for funding nor placed on hold.

INDIRECT COST RATE

There is no maximum indirect cost for the competitions in this application package. An organization's current effective indirect cost rate is the rate that should be reflected in your proposed budget. The Department of Education (ED) reimburses grantees for its portion of indirect costs that a grantee incurs in projects funded by the Applications for New Awards; Technical Assistance to Improve State Data Capacity --Promoting the Readiness of Minors in Supplemental Security Income (PROMISE) (CFDA 84.418P) competition. Any grantee charging indirect costs to a grant from this program must use the indirect cost rate (ICR), negotiated with its *cognizant agency*, i.e., either the Federal agency from which it has received the most direct funding, subject to indirect cost support, the particular agency specifically assigned cognizance by the Office of Management and Budget or the State agency that provides the most subgrant funds to the grantee.

Note: Applicants should pay special attention to specific questions on the application budget form (ED 524) about their cognizant agency and the ICR they are using in their budget.

If an applicant selected for funding under this program has not already established a current ICR with its cognizant agency as a result of current or previous funding, ED will require it to do so within 90 days after the date the grant was issued by ED. Applicants should be aware that ED is very often **not** the cognizant agency for its own grantees. Rather, ED accepts, for the purpose of funding its awards, the current ICR established by the appropriate cognizant agency.

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

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

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

katrina.mcdonald@ed.gov

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

ISSUES RAISED DURING DISCUSSIONS PRIOR TO AWARD

If your application is recommended for funding, discussions may be held prior to award to clarify technical or budget issues. These are issues that have been identified during panel and staff review. Generally, technical issues are minor issues that require clarification. Alternative approaches may be presented for your consideration, or you may be asked to provide additional information or rationale for something you have proposed to do. Sometimes, concerns are stated as "conditions". These are concerns that have been identified as so critical that the award cannot be made unless those conditions are met. Questions are also raised about the proposed budget during the discussion phase. Generally, budget issues are raised because there is inadequate justification or explanation of the particular budget item, or because the budget item does not seem critical to the successful completion of the project. A Federal project officer will present the issues to you and ask you to respond. If you do not understand the question, you should ask for clarification. In responding to discussion items you should provide any additional information or clarification requested. You may feel that an issue was addressed in the application. It may not, however, have been

explained in enough detail to make it understood by reviewers, and more information should be provided. If you are asked to make changes that you feel could seriously affect the project's success, you may provide reasons for not making the changes, or provide alternative suggestions. Similarly, if proposed budget reductions will, in your opinion, seriously affect the proposed activities, you may want to explain why and provide additional justification for the proposed expenses. Your changes, explanations and alternative suggestions will be carefully evaluated by staff. In some instances, an applicant may again be contacted for additional information. An award cannot be made until all issues have been resolved and conditions met.

TREATING A PRIORITY AS TWO SEPARATE COMPETITIONS.

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

SUCCESSFUL APPLICATIONS AND ESTIMATED/PROJECTED BUDGET AMOUNTS IN SUBSEQUENT YEARS

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

REQUIREMENT TO REPORT THE RESULTS OF GRANT ACTIVITIES

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

DIFFERENCE BETWEEN A COOPERATIVE AGREEMENT AND A GRANT

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

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

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

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

A competitive priority is like an invitational priority in that it reflects a particular interest of the Department, and an applicant is encouraged to address the competitive priority along with the required absolute priority. A competitive priority may be handled in one of two ways:

1. an application may be awarded additional points depending on how effectively it addresses the competitive priority; or
2. an application that meets a competitive priority may be selected over an application of comparable merit that does not address the competitive priority. The type of competitive priority for a particular competition is always included in the *Federal Register* announcement.

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

Copies of these materials can usually be found at your local library. If not, they can be obtained by writing to:

Superintendent of Documents
U.S. Government Printing Office
Washington, DC 20402

Telephone: 202-512-1800

Information about the Department's funding opportunities, including copies of application notices for discretionary grant competitions, can be viewed on the Department's grant information web page which can be accessed on the Internet at: www.ed.gov/about/offices/list/ocfo/gcsindex.html

However, the official application notice for a discretionary grant competition is the notice published in the *Federal Register*.

APPLICATION TRANSMITTAL INSTRUCTIONS

APPLICATION TRANSMITTAL INSTRUCTIONS

ATTENTION ELECTRONIC APPLICANTS:

Please note that you must follow the Application Procedures as described in the Federal Register notice announcing the grant competition. This program requires electronic submission of applications, and specific requirements and waiver instructions can be found in the Federal Register notice.

We will reject your application if you submit it in paper format unless, as described in the Federal Register notice for this competition, you 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.

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

APPLICATIONS SUBMITTED ELECTRONICALLY

Applications for grants under this program must be submitted electronically using the Government-wide 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.

Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system **no later than 4:30:00 p.m., Washington, DC time, on the application deadline date**. Except as otherwise noted in Federal Register notice for this competition, we will not consider your application if it is date and time stamped by the Grants.gov system later than 4:30:00 p.m., Washington, DC time, on the application deadline date.

You should review and follow the Grants.gov Submission Procedures and Tips for Applicants for submitting an application through Grants.gov that are included in this application package to ensure that you submit your application in a timely manner to the Grants.gov system.

Please note the following:

- You must attach any narrative sections of your application as files in a **.pdf** (Portable Document) format. **If you upload a file type other than a .pdf file, or submit a password-protected file, we will not review that material.**
- Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.
- When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters. 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.
- Your electronic application must comply with any page-limit requirements described in this application package.
- If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

According to the instructions found in the Federal Register notice, only those requesting and qualifying for an Exception to the electronic submission requirement may submit an application via mail, commercial carrier or by hand delivery.

SUBMISSION OF PAPER APPLICATIONS BY MAIL:

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, 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 **84.418P**)
LBJ Basement Level 1
400 Maryland Avenue, SW.
Washington, DC 20202-4260

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.

SUBMISSION OF PAPER APPLICATIONS BY HAND DELIVERY:

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You 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 **84.418P**)
550 12th Street, SW.
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 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.

SUBMITTING APPLICATIONS WITH ADOBE READER SOFTWARE

The Department of Education, working with Grants.gov, is currently moving from using PureEdge software to using Adobe Reader software exclusively and applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Applicants will no longer need to use the PureEdge software to create or submit an application.

Please note: The compatible version of Adobe Reader is **required** for viewing, editing and submitting a complete grant application package for the Department of Education through Grants.gov. Applicants should confirm the compatibility of their Adobe Reader version **before** downloading the application. To ensure applicants have a version of Adobe Reader on their computer that is compatible with Grants.gov, applicants are encouraged to use the test package provided by Grants.gov that can be accessed at <http://www.grants.gov/applicants/AdobeVersioningTestOnly.jsp>.

IMPORTANT ISSUES TO CONSIDER:

- If the applicant opened or edited the application package with any software other than the compatible version of Adobe Reader, the application package may contain errors that will be transferred to the new package even if you later download the compatible Adobe Reader version.
- Applicants **cannot** copy and paste data from a package initially opened or edited with an incompatible version of Adobe Reader and will need to download an **entirely new package** using the compatible version of Adobe Reader.
- Some applicants using an incompatible version of Adobe Reader **may have trouble** opening and viewing the application package while others may find they can open, view and complete the application package but **may not be able to submit** the application package through Grants.gov.
- Grants.gov **does not** guarantee to support versions of Adobe Reader that are not compatible with Grants.gov.
- Any and all edits made to the Adobe Reader application package **must** be made with the compatible version of Adobe Reader.

For your convenience, the latest version of Adobe Reader is available for free download at

<http://get.adobe.com/reader/otherversions/>.

We strongly recommend that you review the information on computer and operating system compatibility with Adobe available at http://www.grants.gov/applicants/applicant_fags.jsp#software **before** downloading, completing or submitting your application.

Applicants are reminded that they should submit their application a day or two in advance of the closing date as detailed in the Federal Register Notice. If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

**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.

OMB Control No. 1894-0005 (Exp. 03/2014)

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 **1894-0005**. 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:

U.S. Department of Education
400 Maryland Avenue, SW
Washington, DC 20202-4537

APPLICATION FORMS AND INSTRUCTIONS FOR GRANTS.GOV APPLICATIONS

The electronic application on Grants.gov consists of multiple mandatory forms that must be completed as well as narrative attachment forms that should be used to upload any file attachments. While there are no file size restrictions, we strongly discourage submission of very large documents. Follow the guidance provided on Grants.gov as well as the Submission Tips document located in this application instruction document for specific information on file sizes, file naming requirements, etc. NOTE: As stated in the application notice, the Department only accepts PDF files.

Listed below are all forms that must be completed and instructions on where to upload narratives for the application.

General Forms:

Application for Federal Assistance (SF-424)

Department of Education Budget Information for Non-Construction Programs (ED-524)

Department of Education Supplemental for SF-424

Note: instructions for all of the standard forms (SF-424, 524, and 424 Supplemental, etc.), will follow the forms included elsewhere in the application package.

Assurances and Certifications:

Assurances for Non-Construction Programs (SF-424B)

Disclosure of Lobbying Activities (SF-LLL)

Grants.gov Lobbying Form (Formerly ED Form 80-0013)

ED GEPA427 Form

Faith Based EEO Survey

Narrative Attachment Forms:

- ED Abstract Form—(Upload and attach your one page abstract to Abstract File)
- Project Narrative Attachment Form* (Upload and attach to Mandatory Project Narrative File)
 - Table of Contents (Upload and attach to Mandatory Project Narrative File)
 - List of Priority Requirements (Upload and attach to Mandatory Project Narrative File)

Note -- Submit only one PDF document that includes, in the following order: 1) the table of contents, 2) list of priority requirements, and 3) project narrative. Then attach the one PDF document to the Mandatory Project Narrative File.

- Other Narrative Attachments (Upload and attach to Optional Other Attachment File)

Suggested order...

- Bibliography/References (attach to Optional Other Attachment File)
- Appendix A (See Dear Applicant Letter for description) (attach to Mandatory Project Narrative File)
- Resumes (attach to Optional Other Attachment File)
- Letters (attach to Optional Other Attachment File)
- Supplementary Information/Syllabi (attach to Optional Other Attachment File)
- Other Appendices (attach to Optional Other Attachment File)

***NOTE:** The Project Narrative Attachment Form should include the narrative (text) that addresses each of the selection criteria, listed elsewhere in this document. The selection criteria will be used to evaluate applications submitted for this competition. The narrative has a strict page limit (check the Page Limits section of this document for exact page limits for the competition to which you are applying).

NOTE: The Federal Funding Opportunity Number for this program is **ED-GRANTS-052113-001**

NOTE: Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424) in Part I. Although this form accepts attachments, that option **should not be used**.

PART I: APPLICATION FOR FEDERAL ASSISTANCE (SF-424)

OMB Number: 4040-0004

Expiration Date: 03/31/2012

APPLICATION FOR FEDERAL ASSISTANCE—SF-424

***1. Type of Submission:**

- Preapplication
 Application
 Changed/Corrected Application

***2. Type of Application**

- New
 Continuation
 Revision

*If Revision, select appropriate letter(s):

*Other (Specify): _____

***3. Date Received:** _____

Completed by Grants.gov upon submission

4. Applicant Identifier: _____

5a. Federal Entity Identifier: _____

***5b. Federal Award Identifier:** _____

State Use Only:

6. Date Received by State: _____

7. State Application Identifier: _____

8. APPLICANT INFORMATION:

***a. Legal Name:** _____

***b. Employer/Taxpayer Identification Number (EIN/TIN):** _____

***c. Organizational DUNS:** _____

d. Address:

*Street 1: _____

Street 2: _____

*City: _____

County/Parish: _____

*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: _____

*E-mail: _____

APPLICATION FOR FEDERAL ASSISTANCE—SF-424

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: *Not applicable to this competition

Title: *Not applicable to this competition

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

*15. Descriptive Title of Applicant's Project: _____

Attach supporting documents as specified in agency instructions.

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

If "Yes", provide explanation and attach.

APPLICATION FOR FEDERAL ASSISTANCE—SF-424

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: _____

*E-mail: _____

*Signature of Authorized Representative:
Completed by Grants.gov upon submission

*Date Signed:
Completed by Grants.gov upon submission

INSTRUCTIONS FOR THE SF-424

This is a standard form required for use as a cover sheet for submission of pre-applications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the federal agency (agency). Required fields on the form are identified with an asterisk (*) and are also specified as "Required" in the instructions below. In addition to these instructions, applicants must consult agency instructions to determine other specific requirements.

<p>1. Type of Submission: (Required) Select one type of submission in accordance with agency instructions.</p> <ul style="list-style-type: none"> ▶ Pre-application ▶ Application ▶ Changed/Corrected Application – Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date. 	<p>10. Name Of Federal Agency: (Required) Enter the name of the federal agency from which assistance is being requested with this application.</p>
<p>2. Type of Application: (Required) Select one type of application in accordance with agency instructions.</p> <ul style="list-style-type: none"> • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the federal government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. <ul style="list-style-type: none"> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify) 	<p>11. Catalog Of Federal Domestic Assistance Number/Title: Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.</p>
<p>3. Date Received: Leave this field blank. This date will be assigned by the Federal agency..</p>	<p>12. Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement.</p>
<p>4. Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or the applicant's control number if applicable.</p>	<p>13. Competition Identification Number/Title: Enter the competition identification number and title of the competition under which assistance is requested, if applicable.</p>
<p>5a Federal Entity Identifier: Enter the number assigned to your organization by the federal agency, if any.</p>	<p>14. Areas Affected By Project: This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.</p>
	<p>15. Descriptive Title of Applicant's Project: (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.</p>
	<p>16. Congressional Districts Of: 16a. (Required) Enter the applicant's congressional district. 16b. Enter all district(s)</p>

5b. Federal Award Identifier:

For new applications, enter NA. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.

6. Date Received by State:

Leave this field blank. This date will be assigned by the state, if applicable.

7. State Application Identifier:

Leave this field blank. This identifier will be assigned by the state, if applicable.

8. Applicant Information:

Enter the following in accordance with agency instructions:

- a. Legal Name:** (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting www.Grants.gov.
- b. Employer/Taxpayer Number (EIN/TIN):** (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.
- c. Organizational DUNS:** (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting www.Grants.gov.
- d. Address:** Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).
- e. Organizational Unit:** Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.
- f. Name and contact information of person to be contacted on matters involving this application:** Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.

affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina's 103 district. If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.

17. Proposed Project Start and End Dates:

(Required) Enter the proposed start date and end date of the project.

18. Estimated Funding:

(Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.

19. Is Application Subject to Review by State Under Executive Order 12372 Process?

(Required) 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. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State

20. Is the Applicant Delinquent on any Federal Debt?

(Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.

9. Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.

- | | |
|---|---|
| A. State Government | M. Nonprofit |
| B. County Government | N. Private Institution of Higher Education |
| C. City or Township Government | O. Individual |
| D. Special District Government | P. For-Profit Organization (Other than Small Business) |
| E. Regional Organization | Q. Small Business |
| F. U.S. Territory or Possession | R. Hispanic-serving Institution |
| G. Independent School District | S. Historically Black Colleges and Universities (HBCUs) |
| H. Public/State Controlled Institution of Higher Education | T. Tribally Controlled Colleges and Universities (TCCUs) |
| I. Indian/Native American Tribal Government (Federally Recognized) | U. Alaska Native and Native Hawaiian Serving Institutions |
| J. Indian/Native American Tribal Government (Other than Federally Recognized) | V. Non-US Entity |
| K. Indian/Native American Tribally Designated Organization | W. Other (specify) |
| L. Public/Indian Housing Authority | |

21. **Authorized Representative:** To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)

INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

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

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

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

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

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

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

3a. **If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption

number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information Form 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 Form SF 424

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

NOTE ABOUT INSTITUTIONAL REVIEW BOARD APPROVAL.

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

PAPERWORK BURDEN STATEMENT

According to the *Paperwork Reduction Act of 1995*, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:

U.S. Department of Education
Washington, DC 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
550 12th St. SW, Room PCP 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.

alternative treatments and procedures that might be advantageous to the subjects.

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

- (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:

Grants Policy and Oversight Staff
Office of the Chief Financial Officer
U.S. Department of Education
Washington, DC 20202-4250

Telephone: 202-245-6120

and on the U.S. Department of Education’s Protection of Human Subjects in Research Web Site:

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).

PART II: BUDGET INFORMATION (FORM 524)



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

OMB Control Number: 1894-0008
Expiration Date: 04-30-2014

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)? The Restricted Indirect Cost Rate is ___%

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 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 FORM 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. For non-Federal funds or resources listed in Section B that are used to meet a cost-sharing or matching requirement or provided as a voluntary cost-sharing or matching commitment, you must include:
 - a. The specific costs or contributions by budget category;
 - b. The source of the costs or contributions; and
 - c. In the case of third-party in-kind contributions, a description of how the value was determined for the donated or contributed goods or services.

[Please review ED's general cost sharing and matching regulations, which include specific limitations, in 34 CFR 74.23, applicable to non-governmental entities, and 80.24, applicable to governments, and the applicable Office of Management and Budget (OMB) cost principles for your entity type regarding donations, capital assets, depreciation and use allowances. OMB cost principle circulars are available on OMB's website at: <http://www.whitehouse.gov/omb/circulars/index.html>]

3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. 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 Web site at:

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.

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, DC 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 Ave., SW
Washington, DC 20202

PART III: APPLICATION NARRATIVE

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

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

PART IV: ASSURANCES AND CERTIFICATIONS

ASSURANCES—NON-CONSTRUCTION PROGRAMS

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

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

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

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

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646), which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7373) 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.

Standard Form 424B (Rev. 7-97) Back

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

OMB Approval No. 0348-0040

CERTIFICATION REGARDING LOBBYING

CERTIFICATION FOR CONTRACTS, GRANTS, LOANS AND COOPERATIVE AGREEMENTS.

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

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal Loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.
- (2) If any funds other Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form—LLL, “Disclosure of Lobbying Activities,” in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

STATEMENT FOR LOAN GUARANTEES AND LOAN INSURANCE.

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

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee 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

ED80-0013

08/05

Approved by OMB 0348-0046

DISCLOSURE OF LOBBYING ACTIVITIES

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

1. Type of Federal Action: a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	2. Status of Federal Action: a. bid/offer/application b. initial award c. post-award	3. Report Type: a. initial filing b. material change For material change only: Year: _____ quarter: _____ Date of last report: _____
4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier, if Known: _____ Congressional District, if known: _____	5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: _____ Congressional District, if known: _____	
6. Federal Department/Agency: _____	7. Federal Program Name/Description: _____ _____ CFDA Number, if applicable: _____	
8. Federal Action Number, if known:	9. Award Amount, if known: \$ _____	
10. a. Name and Address of Lobbying Registrant <i>(if individual, last name, first name, MI):</i> _____	10. b. Individuals Performing Services <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
11. Information requested through this form is authorized by title 31 U.S.C. Section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____	
Federal Use Only	Authorized for Local Reproduction Standard Form — LLL (Rev. 7-97)	

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

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

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title and telephone number.

PAPERWORK REDUCTION ACT STATEMENT

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:

Office of Management and Budget
Paperwork Reduction Project (0348-0046)
Washington, DC 20503

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.

DUNS NUMBER INSTRUCTIONS

D-U-N-S No.

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

www.dnb.com

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

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

GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT

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

U.S. Department of Education
Application Control Center

202-245-6288

GRANT AND CONTRACT FUNDING INFORMATION

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

ED Internet Home Page: www.ed.gov