

**U.S. DEPARTMENT OF EDUCATION
OFFICE OF XXXXXX
WASHINGTON, D.C. 20202
www.ed.gov/xxxx**

**FY 20XX
APPLICATION FOR GRANTS
UNDER THE XXXXX PROGRAM**

CFDA Number: 84.XXX

FORM APPROVED

OMB no. 18xx-xxxx, Expiration Date: Month/Day/20XX



DATE MATERIAL – OPEN IMMEDIATELY

CLOSING DATE: MONTH/DAY/20XX

**U.S. Department of Education –
Required Discretionary Grant Application Package Contents**

- A. Applications must include the following:
- Title page form – Application for Federal Assistance (SF-424) and U.S. Department of Education Supplemental Information for the SF-424 Form
 - Application abstract
 - Application narrative
 - Curriculum vitae (as appropriate)
 - Literature cited (as appropriate)
 - Appendix (as appropriate)
 - Budget Information Form (ED-524)
 - General Education Provisions Act (GEPA) section 427 statement
 - Certifications and assurances:
 - Assurances – Non-Construction Programs (SF-424B)
 - Certification Regarding Lobbying
 - Disclosure of Lobbying Activities (SF-LLL), if applicable
 - Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions – ED 80-0014, if applicable
 - Certification of Eligibility for Federal Assistance in Certain Programs, ED 80-0016, if applicable
- Other Forms:
- Survey on Ensuring Equal Opportunity for Applicants
- B. Application packages will provide respondents with:
- Burden statement
 - Application notice
 - Program statute (as appropriate)
 - Selection criteria
 - Page Limit Guidance (if applicable)
 - Instructions for Reimbursement of Indirect Costs (if applicable)
 - Instructions for Executive Order 12372 (if applicable)
 - Instructions for transmitting applications
 - Application checklist
 - All required forms and accompanying instructions noted above under section A

** Note that Generic Application Packages may also include the attached Evaluation Language and Selection Criteria chosen from the menu in the Education Department General Administrative Regulations (34 CFR 75.210).

** The School Leadership Program (84.363A) will also use the attached optional form entitled: “**High-Need District (LEA) Eligibility: Optional Table and Instructions.**” This optional form was originally approved on a Change Sheet (OMB 83-C) under 1890-0009, the previous OMB Control # for the Generic Application Package.

Submission of Paper Applications by Mail:

If you submit your application in paper format by mail (through the U.S. Postal Service or a commercial carrier), you must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number *[fill in number, including suffix letter, if any]*)
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 *[fill in number, including suffix letter, if any]*)
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.

Special Grant Term for the Protection of Human Research Subjects

HS3. Assurances and Initial IRB Certifications.

This grant includes nonexempt research activities involving human subjects—research that is not exempt under Sections 97.101(b) and 97.401(b) of 34 CFR Part 97, the Department of Education’s Regulations for the Protection of Human Subjects. The grant was awarded before the grantee had complied with the pre-award requirements for assurances and/or Institutional Review Board (IRB) certifications. The following grant term applies.

3a. Under governing regulations, 34 CFR Part 97, Federal funds administered by the Department of Education must not be expended for nonexempt research involving human subjects unless the requirements of the regulations have been met. Under no condition may Federal funds be expended for research involving human subjects and under no condition may a grantee or any other institution involved in the research initiate a nonexempt research activity prior to receipt by the Department of a certification that the research has been reviewed and approved by the Institutional Review Board (IRB) designated in the assurance of compliance.

- The following institutions are not operating under an approved assurance:

Name of institution: _____

Name of institution: _____

- If it does not have an assurance, the grantee shall apply for the Federal Wide Assurance from the Office for Human Research Protections, U.S. Department of Health and Human Services.
http://www.hhs.gov/ohrp/assurances/assurances_index.html
- The grantee shall ensure that any legally separate institution (not owned or operated by the grantee) that is involved in nonexempt research under this grant and that does not have an assurance applies for the Federal Wide Assurance from the Office for Human Research Protections before it initiates the research activity.

3b. Under no condition may a grantee or any other institution involved in the research initiate nonexempt research prior to receipt by the Department of Education of a certification that the research has been reviewed and approved by the Institutional Review Board (IRB) designated in the approved assurance.

- The Department has not received IRB certifications for the activities listed below:

Research activity: _____

Research activity: _____

- The grantee shall submit the certifications to the Department at the address or at the FAX number shown below.
- The grantee shall ensure that the Department receives the required certifications from any legally separate institution (not owned or operated by the grantee) that is involved in nonexempt research under this grant before the institution initiates the activity.

Send the IRB certifications to:

Protection of Human Subjects Coordinator
U.S. Department of Education
OCFO
LBJ Building, #4C112
400 Maryland Avenue, SW
Washington, DC 20202-4331

Fax: 202-205-0765
e-mail: Jeffery.rodamar@ed.gov

Attention: Protection of Human Subjects Coordinator



Certification of Eligibility for Federal Assistance in Certain Programs

I understand that 34 CFR 75.60, 75.61, and 75.62 require that I make specific certifications of eligibility to the U.S. Department of Education (ED) as a condition of applying for Federal funds in certain programs and that these requirements are in addition to any other eligibility requirements that ED imposes under program regulations. Under 34 CFR 75.60 – 75.62:

I. I certify that:

A. I do not owe a debt, or I am current in repaying a debt, or I am not in default (as that term is used at 34 CFR Part 668) on a debt:

1. To the Federal Government under a nonprocurement transaction (e.g., a previous loan, scholarship, grant, or cooperative agreement); or
2. For a fellowship, scholarship, stipend, discretionary grant, or loan in any program of ED that is subject to 34 CFR 75.60, 75.61, and 75.62, including:
 - Federal Pell Grant Program (20 U.S.C. 1070a, et seq.);
 - Federal Supplemental Educational Opportunity Grant (SEOG) Program (20 U.S.C. 1070(b), et seq.);
 - State Student Incentive Grant Program (SSIG) 20 U.S.C. 1070c, et seq.);
 - Federal Perkins Loan Program (20 U.S.C. 1087aa, et seq.);
 - Income Contingent Direct Loan Demonstration Project (20 U.S.C. 1087a, note);
 - Federal Stafford Loan Program, Federal Supplemental Loans for Students [SLS], Federal PLUS, or Federal Consolidation Loan Program (20 U.S.C. 1071, et seq.);
 - William D. Ford Federal Direct Loan Program (20 U.S.C. 1087a, et seq.);
 - Cuban Student Loan Program (20 U.S.C. 2601, et seq.);
 - Robert C. Byrd Honors Scholarship Program (20 U.S.C. 1070d-31, et seq.);
 - Jacob K. Javits Fellows Program (20 U.S.C. 1134h-1134l);
 - Patricia Roberts Harris Fellowship Program (20 U.S.C. 1134d-1134g);
 - Christa McAuliffe Fellowship Program (20 U.S.C. 1105-1105i);
 - Bilingual Education Fellowship Program (20 U.S.C. 3221-3262);
 - Rehabilitation Long-Term Training Program (29 U.S.C. 774(b));
 - Paul Douglas Teacher Scholarship Program (20 U.S.C. 1104, et seq.);
 - Law Enforcement Education Program (42 U.S.C. 3775);
 - Indian Fellowship Program (29 U.S.C. 774(b));
 - Teacher Quality Enhancement Grants Program (20 U.S.C. 1021, et seq.);

OR

B. I have made arrangements satisfactory to ED to repay a debt as described in A.1. or A.2. (above) on which I had not been current in repaying or on which I was in default (as that term is used in 34 CFR Part 668).

II. I certify also that I have not been declared by a judge, as a condition of sentencing under section 5301 of the Anti-Drug Abuse Act of 1988 (21 U.S.C. 862), ineligible to receive Federal assistance for the period of this requested funding.

I understand that providing a false certification to any of the statements above makes me liable for repayment to ED for funds received on the basis of this certification, for civil penalties, and for criminal prosecution under 18 U.S.C. 1001.

(Signature)

(Date)

(Typed or Printed Name)

Name or number of ED program under which this certification is being made: _____

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

* APPLICANT'S ORGANIZATION <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	
* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
Prefix: <input style="width: 100px;" type="text"/>	* First Name: <input style="width: 150px;" type="text"/>
	Middle Name: <input style="width: 150px;" type="text"/>
* Last Name: <input style="width: 200px;" type="text"/>	Suffix: <input style="width: 100px;" type="text"/>
* Title: <input style="width: 300px;" type="text"/>	
* SIGNATURE: <input style="width: 250px;" type="text"/>	
* DATE: <input style="width: 150px;" type="text"/>	

Special Grant Term for the Protection of Human Research Subjects

HS 1. Continuing IRB Reviews.

This grant includes nonexempt research activities involving human subjects--research that is not exempt under Sections 97.101(b) and 97.401(b) of 34 CFR Part 97, the Department's Regulations for the Protection of Human Subjects. The following grant term applies.

34 CFR Part 97 requires Institutional Review Board (IRB) review, at least once a year, of nonexempt research activities. Whether the IRB review is required more frequently than once a year depends on the degree of risk.

- If an IRB review is required more frequently than once a year, the grantee shall submit the IRB certification to the Program Office immediately following the IRB review except those certifications that coincide with the submission of the Performance Report, which may be submitted with that report.
- If an IRB review is required once a year only, the grantee of a one-year project shall submit the annual certification to the Program Office immediately following the annual IRB review; the grantee of a multi-year project shall submit the annual certification with the Performance Report.
- The grantee shall ensure that the Department receives the required certifications from any legally separate institution (not owned or operated by the grantee) that is involved in nonexempt research under this grant before the institution initiates the research activity.
- The certifications must be submitted to the Program Office at the address shown on Attachment B to the Grant Award Notification.

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

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

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

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

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

IMPORTANT – PLEASE READ FIRST

U.S. Department of Education

e-Application Submission Procedures and Tips for Applicants

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

To facilitate your use of e-Application, this document includes important application preparation and 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. Please read and follow these step-by-step directions to create and submit your application.

ATTENTION

Applicants using the Department of Education's e-Application system will need to register first to access an application package. Forms in an application package are completed on line and narratives are uploaded while logged into the system. Therefore, allow sufficient time to complete your application before the closing date. If you have not used e-Application in the past, you may want to walk through the Demo available on the e-Application homepage. If you encounter difficulties, you may also contact the e-Grants help desk on 1-888-336-8930. The following are steps you should follow to successfully complete an application with e-Application.

Step 1 – Determine if your program is accepting electronic applications. The Federal Register Notice of each program will indicate whether the program is accepting e-Applications as part of the Department's e-Application program. Here is a link to the Department's Federal Register notices: <http://www.ed.gov/news/fedregister/announce/index.html>. Additional information on the Department of Education's grant programs can be found at <http://www.ed.gov/about/offices/list/ocfo/grants/grants.html>.

Step 2 – Register in e-Application to access the application package. If you are a new user, you will need to register to use e-Application. From the e-Grants Portal Page <http://e-grants.ed.gov/>, click on the continue button and click the register button on the right side of the next page. Select the e-Application module and click the next button. Please provide the requested information. Your e-Grants password will be sent to the e-mail address you provide. Once you receive the e-mail, enter your username and password and click the login button.

If you already have a username and password for e-Grants, use them to login. If you have access to more than one e-Grants module, you will be directed to select which module you wish to enter. Keep in mind that this username and password will be used for all e-Grants modules. In order to update your registration for additional e-Grants modules, click the appropriate tab on the top of the screen and provide the requested information.

Note the following browser compatibility problems. The site is viewed best in Internet Explorer 5. We currently support IE 5, Netscape 6.2, Firefox 2.2 (along with later versions of IE, Netscape and Firefox). Please make sure that you have **Cookies** and **JavaScript** enabled in your browser.

Step 3 - Add Application Package to your Start Page. From your Start Page, click on the "Add" button to see the list of application packages. Click on a specific package link on the List of Application Packages to apply. The package will now appear on your Start Page. From this point forward, you will access your unique application from your Start Page (not the Packages Page).

Step 4 - **Begin the Application.** Click on the underlined Application Package Title on your Start Page. This brings you to a page where you will see all of the application's forms and narratives listed as underlined links.

Step 5 - **Fill out Forms.** Enter a form by clicking on the underlined form title in order to enter data. Remember to click the "Save" button at the bottom of the form and check the "Form Completed" box for each form as you complete it.

Step 6 - **Upload File(s) for Narrative Responses.** Click on an underlined narrative form title for the e-Application. Enter the title of the document, and click on the "Browse" button to locate your file. Remember to click the "Save" button after you upload the document and check the "Form Completed" box when you finish uploading your file(s). Please note for file uploads, we accept .doc, .rtf, and .pdf files only. If you are using Word 2007, please save your document in a lower version of Word before uploading into e-Application.

Step 7 - **Verify Information/Print Application.** Verify your information is complete and correct on all required forms and narratives. You have the option to print each form at any time by clicking on the print/view icon  next to the appropriate form. After submission of the forms and narratives, you have the option to print a complete e-Application package in PDF by clicking on the "Request Complete Package in PDF" on the e-Application PR/Award page. A second window will open informing you that your request has been received and that you will be notified via e-mail once it is available. This process can take anywhere from a few minutes to a few hours. Once you receive the e-mail, click on the link in the text of the message and enter your username and password in the new window. This will open the PDF file from which you can view/print the entire package. In addition, a blank complete package in PDF will be accessible from the package page in e-Application.

Step 8 - **Submit your Application.** Only authorized individuals for your organization can submit an application. Please check with your Authorizing Representative or sponsored research office before submission. Click on the "Ready to submit" button at the bottom of your application. Enter and verify the Authorizing Representative information. Click the "Submit" button. You will receive an e-mail to confirm that your application was received, and it will include a unique application number. Please print and keep this e-mail for your records. [Reminder: applications must be submitted before 4:30:00 p.m., Washington, DC time, on the deadline date for applications. e-Application will not accept your application if you try to submit it after 4:30:00 on the deadline date.]

Step 9 - **Fax the signed SF 424 Cover Page (or Program Specific Cover Page).** Write your unique application number (received in step 8) on the upper right corner of your printed SF 424 Cover Page (or Program Specific Cover Page), and fax it to the Application Control Center (202) 245-6272 within 3 business days of submitting your e-Application.

NOTE: For more detailed information on submitting an e-Application, please see the **User Guide**. In addition, please try practicing with our e-Application Demo site by clicking on the Demo button found on the upper left corner of the e-Application Home Page. Both the User Guide and Demo can be found at <http://e-grants.ed.gov>.

Other Submission Tips

- 1) **SUBMIT EARLY - We strongly recommend that you do not wait until the last day to submit your application.** The time it takes to upload the narratives for your application will vary depending on a number of factors including the size of the files and the speed of your Internet connection. If you try to submit your application after 4:30:00 p.m., Washington, DC time on the deadline date, the e-Application system will not accept it.
- 2) 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.)

- 3) **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.)

Attaching Files – Additional Tips

Please note the following tips related to attaching files to your application:

1. Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to an earlier version of Word before uploading. Also, do not upload any password-protected files to your application.
2. 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 you keep your file names to less than 50 characters. In addition, applicants should avoid including special characters in their file names (for example, %, *, /, etc.) Both of these conditions (lengthy file names and/or special characters including in the file names) could result in difficulties opening and processing a submitted application.
3. 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. Please note that each file attachment in e-Application has a file size limitation, which is anywhere from 2 to 8 MB, and the limitation will be indicated on the individual screen when you upload a file. For reference, however, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the size of your attachments before uploading them into e-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 For SF 424.”

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

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

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

Paperwork Burden Statement. *According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1894-0007. 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, 400 Maryland Avenue, S.W., Washington, D.C. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street, S.W. Room 7076, Washington, D.C. 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 number(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

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

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

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

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

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

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

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

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

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the U.S. Department of Education, Protection of Human Subjects Coordinator, Office of the

*Chief Financial Officer, LBJ Building, 400 Maryland Avenue, SW, Washington, D.C. 20202-4250, telephone: (202) 260-3353, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site:
<http://www.ed.gov/about/offices/list/ocfo/humansub.html>*

NOTE: The **State Applicant Identifier** on the SF 424 is for State Use only. Please complete it on the OMB Standard 424 in the upper right corner of the form (if applicable).

**SUPPLEMENTAL INFORMATION
REQUIRED FOR
DEPARTMENT OF EDUCATION**

1. Project Director:

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

Address:

* Street 1:

Street 2:

* City:

County:

* State: * Zip Code: * Country:

* Phone Number (give area code)

Fax Number (give area code)

Email Address:

2. Applicant Experience:

Novice Applicant Yes No Not applicable to this program

3. Human Subjects Research:

Are any research activities involving human subjects planned at any time during the proposed project Period?

Yes No

Are ALL the research activities proposed designated to be exempt from the regulations?

Yes Provide Exemption(s) #:

No Provide Assurance #, if available:

Please attach an explanation Narrative:

Add Attachment

Delete Attachment

View Attachment



**U.S. Department of Education
Grant Performance Report Cover Sheet (ED 524B)**

OMB No. 1894-0003
Exp. 02/28/2011

Check only one box per Program Office instructions.

[] Annual Performance Report [] Final Performance Report

General Information

1. PR/Award #: _____ 2. Grantee NCES ID#: _____
(Block 5 of the Grant Award Notification - 11 characters.) (See instructions. Up to 12 characters.)

3 Project Title: _____
(Enter the same title as on the approved application.)

4. Grantee Name *(Block 1 of the Grant Award Notification.):* _____

5. Grantee Address *(See instructions.)* _____

6. Project Director *(See instructions.)* Name: _____ Title: _____

Ph #: () _____ - _____ Ext: () _____ Fax #: () _____ - _____

Email Address: _____

Reporting Period Information *(See instructions.)*

7. Reporting Period: From: ____/____/____ To: ____/____/____ (mm/dd/yyyy)

Budget Expenditures *(To be completed by your Business Office. See instructions. Also see Section B.)*

8. Budget Expenditures

	Federal Grant Funds	Non-Federal Funds <i>(Match/Cost Share)</i>
a. Previous Budget Period		
b. Current Budget Period		
c. Entire Project Period <i>(For Final Performance Reports only)</i>		

Indirect Cost Information *(To be completed by your Business Office. See instructions.)*

9. Indirect Costs

a. Are you claiming indirect costs under this grant? Yes No

b. If yes, do you have an Indirect Cost Rate Agreement approved by the Federal Government? Yes No

c. If yes, provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: ____/____/____ To: ____/____/____ (mm/dd/yyyy)

Approving Federal agency: ED Other *(Please specify):* _____

Type of Rate *(For Final Performance Reports Only)*: Provisional Final Other *(Please specify):* _____

d. For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:

Is included in your approved Indirect Cost Rate Agreement?

Complies with 34 CFR 76.564(c)(2)?

Human Subjects (Annual Institutional Review Board (IRB) Certification) *(See instructions.)*

10. Is the annual certification of Institutional Review Board (IRB) approval attached? Yes No N/A

Performance Measures Status and Certification *(See instructions.)*

11. Performance Measures Status

a. Are complete data on performance measures for the current budget period included in the Project Status Chart? Yes No

b. If no, when will the data be available and submitted to the Department? ____/____/____ (mm/dd/yyyy)

12. To the best of my knowledge and belief, all data in this performance report are true and correct and the report fully discloses all known weaknesses concerning the accuracy, reliability, and completeness of the data.

 Name of Authorized Representative: Title: _____

 Signature: Date: ____/____/____



**U.S. Department of Education
Grant Performance Report (ED 524B)
Executive Summary**

OMB No. 1894-0003
Exp. 02/28/2011

PR/Award # (11 characters): _____

(See Instructions)

INSTRUCTIONS FOR GRANT PERFORMANCE REPORT (ED 524B)

PURPOSE

Recipients of multi-year discretionary grants must submit an annual performance report for each year funding has been approved in order to receive a continuation award. The annual performance report should demonstrate whether substantial progress has been made toward meeting the project objectives and the program performance measures. The information described in these instructions will provide the U.S. Department of Education (ED) with the information needed to determine whether recipients have demonstrated substantial progress. ED program offices may also require recipients of “forward funded” grants that are awarded funds for their entire multi-year project up-front in a single grant award to submit the Grant Performance Report (ED 524B) on an annual basis. In addition, ED program offices may also require recipients to use the ED 524B to submit their final performance reports. Performance reporting requirements are found in 34 CFR 74.51, 75.118, 75.253, 75.590 and 80.40 of the Education Department General Administrative Regulations (EDGAR).

GENERAL INSTRUCTIONS

- Please read the attached “Dear Colleague Letter” from your program office carefully. It contains specific instructions for completing the ED 524B for your program.
- You must submit the ED 524B Cover Sheet, Executive Summary, and Project Status Chart. You may reference sections and page numbers of your approved application rather than repeating information.
- Please follow the appropriate instructions depending on whether you are submitting an annual performance report or a final performance report.
- If you are submitting a paper copy of the ED 524B, please submit one original and one copy. ED program offices will notify grant recipients of the due date for submission of annual performance reports; however, general guidelines are provided below in the instructions for ED 524B Cover Sheet, item 7. Reporting Period. Final performance reports are due 90 days after the expiration of the grant’s project period (performance period).

Note: For the purposes of this report, the term “project period” is used interchangeably with the term “performance period,” which is found on the Grant Award Notification (GAN).

- Many programs provide grantees with the option of completing and submitting the ED 524B online through e-Reports. Please follow instructions from your program office regarding the use of e-Reports for submitting your ED 524B.
- For those programs that operate under statutes or regulations that require additional or different reporting for performance or monitoring purposes, ED program offices will inform you when this additional or different reporting should be made.

INSTRUCTIONS FOR THE ED 524B COVER SHEET

Complete the ED 524B Cover Sheet with the appropriate information. Instructions for items 1, 3 and 4 are included on the ED 524B Cover Sheet. Instructions for items 2 and 5 and items 6 through 12 are included in this instruction sheet.

2. Grantee NCES ID Number

-- Annual and Final Performance Reports:

Please enter the current National Center for Education Statistics (NCES) ID number of the grantee. Grantees that are State Educational Agencies (SEA) should enter their state's FIPS (Federal Information Processing Standards) code in item 2. Item 2 only applies to grantees that are Institutions of Higher Education (IHE), SEAs, Local Educational Agencies (LEA), public libraries, and public, charter, and private elementary or secondary schools. Leave blank, if this item is not applicable.

Please go to the applicable website listed below to obtain the grantee's NCES ID number or FIPS code. Depending on your organization type, this number will range from 2 to 12 numeric digits.

- IHEs (IPEDS ID); Public Libraries (Library ID); and Public, Charter and Private Schools (NCES School ID): <http://nces.ed.gov/globallocator>
- LEAs (NCES District ID): <http://nces.ed.gov/ccd/districtsearch/>
- SEAs (FIPS code): To obtain your state's FIPS code, please search on any public school district in your state at: <http://nces.ed.gov/ccd/districtsearch/>. **The FIPS code is the first two digits of the NCES District ID number for any public school district in a state.**

Note: Newly established organizations that do not have an NCES ID number yet should leave item 2 blank. However, once the organization's NCES ID number has been established, it must be entered on all future submissions of the ED 524B.

5. Grantee Address

Instructions for Submitting Address Changes

-- Annual and Final Performance Reports:

If the address that is listed in Block 1 of your GAN has changed and you are submitting a paper copy of the ED 524B, either submit the new address in Section C (Additional Information) of the Project Status Chart or submit the change through e-Administration (annual performance reports only), the administrative action function of e-Grants.

If you are submitting the ED 524B electronically through e-Reports, you may update your address in e-Reports.

6. Project Director

-- Annual and Final Performance Reports:

Please enter the name, title, phone number, fax number and email address of your approved Project Director listed in Block 3 of your GAN. These fields are pre-populated and updatable in the e-Reports system. Please note, however, that changing the approved Project Director requires prior approval from ED and may only be requested for a grant whose performance period has not ended. See instructions under Section C (Additional Information) of the Project Status Chart for requesting a change to the Project Director with the ED 524B. You may also submit a request for a change in your Project Director through e-Administration.

7. Reporting Period Information

-- Annual Performance Reports:

Due Date: Annual performance reports are typically due seven to ten months after the start of the grant's current budget period. Please follow instructions from your program office regarding the specific due date of the annual performance report for your grant.

The reporting period for the annual performance report is from the start of the current budget period through 30 days before the due date of the report. The start date for your current budget period may be found in Block 6 of the GAN. Please note, however, that complete data on performance measures for the current budget period must be submitted to ED, either with this report or as soon as they are available, but no later than the final due date specified by your ED program office. Please see instructions for items 11a. and 11b. of the ED 524B

Cover Sheet and Section A (Project Objectives Information and Related Performance Measures Data) of the Project Status Chart for specific reporting requirements for performance measures data.

-- Final Performance Reports:

Due Date: Final performance reports are due 90 days after the expiration of the grant’s project period. If you receive a no-cost time extension from ED for this grant, the final performance report is due 90 days after the revised project period end date. Program offices may also request an annual performance report that covers the original final budget period from grantees that receive no-cost time extensions.

Please enter the start and end date for the final budget period of your grant from Block 6 of the GAN. The reporting period for your final performance report covers the entire final budget period of the project, except for the information in the Executive Summary and Section C (Additional Information) of the Project Status Chart, which covers the entire project period (performance period) of the project.

8. Budget Expenditures [Also see Section B (Budget Information) of the Project Status Chart]

The budget expenditure information requested in items 8a. – 8c. must be completed by your Business Office.

Note:

Budget Expenditures: For the purposes of this report, the term budget expenditures means allowable grant obligations incurred during the periods specified below. (See EDGAR, 34 CFR 74.2; 75.703; 75.707; and 80.3, as applicable.)

For budget expenditures made with Federal grant funds, you must provide an explanation in Section B (Budget Information) of the Project Status Chart, if you have not drawn down funds from ED’s G5 System to pay for these budget expenditures.

Non-Federal Funds (Match/Cost Share): If you are required to provide non-Federal funds or resources for this grant because the funding program has a statutory (legislative) matching or cost sharing requirement or you voluntarily committed to providing non-Federal funds or resources in your approved grant application, you must complete the “Non-Federal Funds (Match/Cost Share)” column in items 8a. – 8c., as applicable. (You are encouraged to review the following information regarding allowable cost sharing/matching contributions: the funding program’s statute and regulations (if any); 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>.)

--Annual Performance Reports:

- Report your actual budget expenditures for the *entire previous budget period* in item 8a. Please separate expenditures into Federal grant funds and non-Federal funds (match/cost-share) expended for the project during the entire previous budget period.

Note: If you are reporting on the first budget period of the project, leave item 8a. blank.

- Report your actual budget expenditures for the *current budget period to date* (i.e., through 30 days before the due date of this report) in item 8b. Please separate expenditures into Federal grant funds and non-Federal funds (match/cost-share) expended for the project during the current budget period to date.

--Final Performance Reports:

- Report your actual budget expenditures for the *entire previous budget period* in item 8a. Please separate expenditures into Federal grant funds and non-Federal funds (match/cost-share) expended for the project during the entire previous budget period.
- Report your actual budget expenditures for the *entire final budget period* in item 8b. Please separate expenditures into Federal grant funds and non-Federal funds (match/cost-share) expended for the project during the entire final budget period.
- Report your actual budget expenditures for the *entire project period (performance period)* in item 8c. Please separate expenditures into Federal grant funds and non-Federal funds (match/cost-share) expended for the project during the entire project period. Your project period (performance period) start and end dates are found in Block 6 of the GAN.

9. Indirect Cost Information

The indirect cost information requested in Items 9a. – 9d. must be completed by your Business Office.

--Annual and Final Performance Reports:

- Item 9a -- Please check “yes” or “no” in item 9a. to indicate whether or not you are claiming indirect costs under this grant.
- Item 9b. -- If you checked “yes” in item 9a., please indicate in item 9b. whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government.
- Item 9c. -- If you checked “yes” in item 9b., please indicate in item 9c. the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, please indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check “Other,” please specify the name of the Federal agency that issued the approved agreement. *For final performance reports only*, check the appropriate box to indicate the type of indirect cost rate that you have – Provisional, Final, or Other. If you check “Other,” please specify the type of indirect cost rate.
- Item 9d. – For grants under Restricted Rate Programs (EDGAR, 34 CFR 75.563), please 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 EDGAR, 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

10. Human Subjects (Annual Institutional Review Board (IRB) Certification)

--Annual Performance Reports Only:

Annual IRB certification is required if Attachment HS1, Continuing IRB Reviews, was attached to the GAN. Check "yes" if annual IRB certification is required and attached to the ED 524B as instructed in Attachment HS1. Check "no" if annual IRB Certification is required by Attachment HS1, but is not attached to the ED 524B. Please indicate the reason why the IRB certification is not attached (e.g., the research has been completed) under Section C (Additional Information) of the Project Status Chart. Check "N/A" if annual IRB certification does not apply to your grant (i.e., no human subjects research is being conducted under this grant or Attachment HSI was not attached to the GAN.)

11. Performance Measures Status

--Annual Performance Reports:

Please check “yes” or “no” in item 11a. to indicate whether *complete* data (i.e., all of the data that you anticipate will be collected) on performance measures for the current budget period are included in this report in Section A of the Project Status Chart. If no, please indicate in item 11b. the date when the information will be available

and submitted to ED. Complete data must be submitted for any performance measures established by ED for the grant program (included in the attached “Dear Colleague Letter”) and for any project specific performance measures that were included in your approved application.

If *complete* data on performance measures for the entire current budget period have not been obtained when you submit the ED 524B, please submit *available* data for the budget period to date with this report, unless instructed otherwise by your program office. *Complete performance measures data for the current budget period should be submitted by the date you indicated in item 11b.*

Note: Your program office will inform you of the *final date* by which performance measures data must be submitted to the Department for this program.

--Final Performance Reports:

You must check “yes” in item 11a. Complete data on performance measures for the final budget period *must* be submitted with the final performance report in Section A of the Project Status Chart. Leave item 11b. blank.

Complete data *must* be submitted for any performance measures established by ED for the grant program (included in the attached “Dear Colleague Letter”) and for any project-specific performance measures that were included in your approved grant application.

12. Certification

--Annual and Final Performance Reports:

The grantee’s authorized representative must sign the certification for the ED 524B. If the grantee has any known internal control weaknesses concerning data quality (as disclosed through audits or other reviews), this information must be disclosed under Section C (Additional Information) of the Project Status Chart as well as the remedies taken to ensure the accuracy, reliability, and completeness of the data.

INSTRUCTIONS FOR THE EXECUTIVE SUMMARY

--Annual and Final Performance Reports:

Provide a one to two page Executive Summary for *annual performance reports* and a two to three page Executive Summary for *final performance reports*. Provide highlights of the project's goals, the extent to which the expected outcomes and performance measures were achieved, and what contributions the project has made to research, knowledge, practice, and/or policy. Include the population served, if appropriate.

Note: The Executive Summary for *final performance reports* covers the *entire project period*.

INSTRUCTIONS FOR THE PROJECT STATUS CHART

General Instructions for Section A -- Project Objectives Information and Related Performance Measures Data

-- Annual and Final Performance Reports:

In your approved grant application, you established project objectives stating what you hope to achieve with your funded grant project. Generally, one or more performance measures were also established for each project objective that serve to demonstrate whether you have met or are making progress towards meeting each project objective. In addition to project-specific performance measures that you may have established in your approved grant application,

performance measures may have been established by ED for the grant program [included in the attached “Dear Colleague Letter”] that you are required to report on.

In Section A of the Project Status Chart, you will report on the results to date of your project evaluation as required under EDGAR, 34 CFR 75.590. According to the instructions below, for each project objective included in your approved grant application, provide quantitative and/or qualitative data for each associated performance measure and a description of preliminary findings or outcomes that demonstrate that you have met or are making progress towards meeting the performance measure. You will also explain how your data on your performance measures demonstrate that you have met or are making progress towards meeting each project objective.

Note: Complete data *must* be submitted for any performance measures established by ED for the grant program (included in the attached “Dear Colleague Letter”) and for any project-specific performance measures that were included in your approved grant application

For Annual Performance Reports: If *complete* data on performance measures for the entire current budget period have not been obtained when you submit the ED 524B, please submit *available* data for the budget period to date with this report, unless instructed otherwise by your program office. *Complete performance measures data for the current budget period should be submitted by the date you indicated in item 11b on the ED 524B Cover Sheet.* Your program office will inform you of the *final date* by which performance measures data must be submitted to the Department for this program.

For Final Performance Reports: Complete data on performance measures for the final budget period *must* be submitted with the final performance report.

For final performance reports, the information in Section A of the Project Status Chart covers the final budget period of the grant. Additional questions for final performance reports covering the entire project period are found in the instructions for Section C of the Project Status Chart.

Instructions for Section A

- **Project Objective:**

Enter each project objective that is included in your approved grant application. Only one project objective should be entered per row. Project objectives should be numbered sequentially, i.e., 1., 2., 3., etc.

Update Box

If instructed by your program office in the attached “Dear Colleague Letter,” please provide an update on the status of your project objectives for any period of time that you did not report on in your previous annual performance report.

Check the “Update Box” next to each project objective for which you are providing an update. Do not check the “Update Box” if you are reporting on a project objective for the current reporting period. If you are providing a status update on your project objectives for the previous budget period and reporting on those same objectives for the current reporting period, please use separate pages (Section A) to separate previous and current information. Do not combine information for the previous budget period and for the current reporting period on the same page.

Example: Last year’s annual performance report covered 8 months of the previous budget period. The program office requests that you report on the status of your project objectives for the last 4 months of the previous budget period in this annual performance report.

- **Performance Measure:**

For each project objective, enter each associated performance measure. There may be multiple performance measures associated with each project objective. Enter only one performance measure per row. Each performance measure that is associated with a particular project objective should be labeled using an alpha indicator. Example: The first performance measure associated with project objective “1” should be labeled “1.a.,” the second performance measure for project objective “1” should be labeled “1.b.,” etc.

- **Measure Type:**

For each performance measure you are reporting on, enter the type of performance measure. Enter one (1) of the following measure types: **GPR**A; **PROGRAM**; or **PROJECT**.

The specific measures established by ED for the grant program that you are required to report on are included in the attached “Dear Colleague Letter.” The measure type is also specified.

There are two types of measures that ED may have established for the grant program:

1. **GPR**A: Measures established for reporting to Congress under the Government Performance and Results Act; and
2. **PROGRAM**: Measures established by the program office for the particular grant competition.

In addition, report on any project-specific performance measures (**PROJECT**) that you, the grantee, established in your approved grant application to meet your project objectives.

- **Quantitative Data:**

Target and Actual Performance Data

Provide the target you established for meeting each performance measure and provide actual performance data demonstrating progress towards meeting or exceeding this target. Only quantitative (numeric) data should be entered in the Target and Actual Performance Data boxes. If ED has approved revised targets for a performance measure, the revised target should be used when entering data.

The Target and Actual Performance Data boxes are each divided into three columns: **Raw Number**; **Ratio**; and **Percentage (%)**.

For performance measures that are stated in terms of a single number (e.g., the number of workshops that will be conducted or the number of students that will be served), the target and actual performance data should be reported as a single number under the **Raw Number column** (e.g., **10** workshops or **80** students). Please leave the **Ratio and Percentage (%) columns** blank.

For performance measures that are stated in terms of a percentage (e.g., percentage of students that attain proficiency), complete both the **Ratio column** and the **Percentage (%) column**. Please leave the **Raw Number column** blank.

In the **Ratio column** (e.g., **80/100**), the numerator represents the numerical target (e.g., the number of students that are expected to attain proficiency) or actual performance data (e.g., the number of students that attained proficiency), and the denominator represents the universe (e.g., all students served). Please enter the corresponding percentage (e.g., **80%**) in the **Percentage (%) column**.

If the collection of quantitative data is not appropriate for a particular performance measure, please leave the Target and Actual Performance Data boxes blank and provide an explanation and any relevant qualitative data for the performance measure in the block entitled, **Explanation of Progress**.

Note: If you are using weighted data, please indicate how the data are weighted in the block entitled, **Explanation of Progress**.

Special instructions for grants in their first budget period: If baseline data for a performance measure were not included in your approved application and targets were not set for the first budget period, then enter either the number **999** under the **Raw Number column** or the ratio **999/999** under the **Ratio column** of the **Target box**, depending on how your data will be reported in the future. The **999** or **999/999** indicates that baseline data are being collected on the measure during the first budget period and targets have not yet been set. Unless otherwise instructed by your program office in the attached “Dear Colleague Letter,” report baseline data collected during the first budget period under either the **Raw Number column** or the **Ratio and Percentage (%) columns** of the **Actual Performance Data box**, as appropriate. After baseline data have been collected during the first budget period,

grantees are expected to set targets for the second and any subsequent budget periods and report actual performance data in their annual performance reports.

- **Explanation of Progress (Includes Qualitative Data and Data Collection Information):**
 1. For each project objective and associated performance measures, indicate what data (quantitative and/or qualitative) were collected and when they were collected, the evaluation methods that were used, and how the data were analyzed. Clearly identify and explain any deviations from your approved evaluation plan, including changes in design or methodology, or the individual or organization conducting the evaluation.
 2. Based on your data, provide a description of preliminary findings or outcomes, including information to show whether you are making progress towards meeting each performance measure. Further, indicate how your performance measures data show that you have met or are making progress towards meeting the stated project objective. In your discussion, provide a brief description of your activities and accomplishments for the reporting period that are related to each project objective.
 3. If expected data were not attained, expected progress was not made toward meeting a performance measure or project objective, or a planned activity was not conducted as scheduled, provide an explanation. Include a description of the steps and schedules for addressing the problem(s) or issue(s).
 4. Indicate how you used your data and information from your evaluation to monitor the progress of your grant, and if needed, to make improvements to your original project plan (e.g., project activities and milestones) which are consistent with your approved objectives and scope of work.

Instructions for Section B – Budget Information

-- Annual and Final Performance Reports:

- Report budget expenditure data in items 8a. – 8c. of the ED 524B Cover Sheet, as applicable. Please follow the instructions for completing items 8a. – 8c. included in this instruction sheet.
- For budget expenditures made with Federal grant funds, you must provide an explanation if funds have not been drawn down from the G5 System to pay for the budget expenditure amounts reported in items 8a. – 8c of the ED 524B Cover Sheet.
- Provide an explanation if you *did not* expend funds at the expected rate during the reporting period.
- Describe any significant changes to your budget resulting from modification of project activities.
- Describe any changes to your budget that affected your ability to achieve your approved project activities and/or project objectives.

-- Annual Performance Reports Only:

- Do you expect to have any unexpended funds at the end of the current budget period? If you do, explain why, provide an estimate, and indicate how you plan to use the unexpended funds (carryover) in the next budget period.
- Describe any anticipated changes in your budget for the **next** budget period that require prior approval from the Department (see EDGAR, 34 CFR 74.25 and 80.30, as applicable).

Instructions for Section C – Additional Information

-- Annual Performance Reports Only:

- If applicable, please provide a list of current partners on your grant and indicate if any partners changed during the reporting period. Please indicate if you anticipate any change in partners during the next budget period. If any of your partners changed during the reporting period, please describe whether this impacted your ability to achieve your approved project objectives and/or project activities.
- *If instructed by your program office*, please report on any statutory reporting requirements for this grant program.
- Describe any changes that you wish to make in the grant's activities for the next budget period that are consistent with the scope and objectives of your approved application.
- If you are requesting changes to the approved Project Director listed in Block 3 of your GAN and/or to other approved key personnel listed in Block 4 with a proposed effective date during the remainder of the current budget period or the next budget period, please indicate the name, title and percentage of time of the requested key personnel. Please indicate whether the proposed Project Director or other key personnel change would be effective during the current or next budget period. Additionally, please attach a resume or curriculum vitae for the proposed key personnel when you submit your performance report.

Note: Do not report on any key personnel changes that were already made during the current or previous budget period(s). Departmental approval must be requested and received prior to making key personnel changes.

- Provide any other appropriate information about the status of your project including any unanticipated outcomes or benefits from your project.

-- Final Performance Reports Only:

(This information covers the entire project period.)

Note: All grantees submitting a final performance report must answer question 1. The attached "Dear Colleague Letter" specifies any additional questions that you must answer from the list below, if any.

1. Utilizing your evaluation results, draw conclusions about the success of the project and its impact. Describe any unanticipated outcomes or benefits from your project and any barriers that you may have encountered.
2. What would you recommend as advice to other educators that are interested in your project? How did your original ideas change as a result of conducting the project?
3. If applicable, describe your plans for continuing the project (sustainability; capacity building) and/or disseminating the project results.
4. Report on any statutory reporting requirements for this grant program.

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 **average 22 hours per response for annual performance reports and 23 hours per response for final performance reports**, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of

the time estimate (s) or suggestions for improving this form, please write to: U. S. Department of Education, Washington, D.C. 2020-4537. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.



**U.S. Department of Education
Grant Performance Report (ED 524B)
Project Status Chart**

OMB No. 1894-0003
Exp. 02/28/2011

PR/Award # (11 characters): _____

SECTION A - Performance Objectives Information and Related Performance Measures Data (See Instructions. Use as many pages as necessary.)

1. Project Objective Check if this is a status update for the previous budget period.

1.a. Performance Measure	Measure Type	Quantitative Data					
		Target			Actual Performance Data		
		Raw Number	Ratio	%	Raw Number	Ratio	%
			/			/	

1.b. Performance Measure	Measure Type	Quantitative Data					
		Target			Actual Performance Data		
		Raw Number	Ratio	%	Raw Number	Ratio	%
			/			/	

Explanation of Progress (Include Qualitative Data and Data Collection Information)



**U.S. Department of Education
Grant Performance Report (ED 524B)
Project Status Chart**

OMB No. 1894-0003
Exp. 02/28/2011

PR/Award # (11 characters): _____

SECTION A - Performance Objectives Information and Related Performance Measures Data (See Instructions. Use as many pages as necessary.)

2. Project Objective Check if this is a status update for the previous budget period.

2.a. Performance Measure	Measure Type	Quantitative Data					
		Target			Actual Performance Data		
		Raw Number	Ratio	%	Raw Number	Ratio	%
			/			/	

2.b. Performance Measure	Measure Type	Quantitative Data					
		Target			Actual Performance Data		
		Raw Number	Ratio	%	Raw Number	Ratio	%
			/			/	

Explanation of Progress (Include Qualitative Data and Data Collection Information)



**U.S. Department of Education
Grant Performance Report (ED 524B)
Project Status Chart**

OMB No. 1894-0003
Exp. 02/28/2011

PR/Award # (11 characters): _____

SECTION B - Budget Information (See Instructions. Use as many pages as necessary.)

SECTION C - Additional Information (See Instructions. Use as many pages as necessary.)

Executive Order 12372 (Intergovernmental Review of Federal Programs)

This program falls under the rubric of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79. One of the objectives of the Executive order is to strengthen federalism--or the distribution of responsibility between localities, States, and the Federal government--by fostering intergovernmental partnerships. This idea includes supporting processes that State or local governments have devised for coordinating and reviewing proposed Federal financial grant applications.

The process for doing this requires grant applicants to contact State Single Points of Contact for information on how this works. Multi-state applicants should follow procedures specific to each state.

Further information about the State Single Point of Contact process and a list of names by State can be found at:

<http://www.whitehouse.gov/omb/grants/spoc.pdf>

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], U.S. Department of Education, room 7E200. 400 Maryland Avenue, SW., Washington, DC 20202.

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

Important note: The above address is not the same address as the one to which the applicant submits its completed applications. **Do not send applications to the above address.**

NOTICE TO ALL APPLICANTS

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

To Whom Does This Provision Apply?

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

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

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct

description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

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

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

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

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

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

Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **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, S.W., Washington, D.C. 20202-4537.

Certification of Eligibility for Federal Assistance in Certain Programs

Purpose

To inform discretionary grant team members of the requirements for individual certification found in Part 75 of the Education Department General Administrative Regulations (EDGAR) and to disseminate copies of the certification form, ED 80-0016 signed by applicants to indicate eligibility.

Background

Sections 75.60 – 75.62 of EDGAR require individuals who apply, either directly to the U.S. Department of Education (ED) or indirectly through another entity, for assistance in certain affected discretionary grant programs to certify that 1) they are not in default on debts incurred under various nonprocurement programs or that they have made satisfactory arrangements to repay defaulted debts, and 2) they are not ineligible to receive Federal funds during the period of the anticipated funding as a result of conditions of sentencing imposed by a judge under Section 5301 of the Anti-Drug Abuse Act of 1988. For the purposes of this bulletin, the phrase, “affected discretionary grant programs,” is used to mean certain discretionary grant programs subject to sections 75.60 - 75.62 of EDGAR.

Applicants who apply for assistance directly to ED under affected discretionary grant programs are required to make the certification part of their applications. Those who apply indirectly through another entity (e.g., an institution of higher education) are required to file the certification form with the entity. In connection with this certification requirement, the Department has developed ED 80-0016, ‘*Certification of Eligibility for Federal Assistance in Certain Programs*’ (copy attached). The certification form includes a list of the affected discretionary grant programs in sections 75.60-75.62.

(NOTE: The list of programs on ED 80-0016 shows several student financial assistance programs, which are also covered by the certification requirement.

Policy

Discretionary grant teams must:

- Assure prior to award, that all grant applications contain a copy of ED 80-0016, where the recommended applicant is an individual applying directly to the Department for assistance; and
- Determine prior to award that any entity recommended for funding has on file certifications from any individuals to whom grant funding from the Department will be re-distributed as indirect assistance (i.e., scholarships, fellowships, stipends, tuition, etc.).

Discretionary grant team members are to include in a grantee's file documentation that the team member has:

- Requested the certification from individuals who did not send it with the application;
- Discussed the certification requirement with entities that will redistribute grant funds as assistance to individuals; and
- Verified that entities have obtained certifications from individuals.

This revised Grants Policy Bulletin #11 replaces the previous version dated December 30, 1996.

Copies of Grants Policy Bulletins

Copies of Grants Policy Bulletins and their attachments can be viewed, downloaded, and printed from the following website:

<http://www.ed.gov/policy/fund/guid/gposbul/gposbul.html>

Blanca Rosa Rodriguez, Director
Grants Policy and Oversight Staff
Office of the Chief Financial Officer

Date

Attachment



Certification of Eligibility for Federal Assistance in Certain Programs

I understand that 34 CFR 75.60, 75.61, and 75.62 require that I make specific certifications of eligibility to the U.S. Department of Education (ED) as a condition of applying for Federal funds in certain programs and that these requirements are in addition to any other eligibility requirements that ED imposes under program regulations. Under 34 CFR 75.60 – 75.62:

I. I certify that:

A. I do not owe a debt, or I am current in repaying a debt, or I am not in default (as that term is used at 34 CFR Part 668) on a debt:

1. To the Federal Government under a nonprocurement transaction (e.g., a previous loan, scholarship, grant, or cooperative agreement); or
2. For a fellowship, scholarship, stipend, discretionary grant, or loan in any program of ED that is subject to 34 CFR 75.60, 75.61, and 75.62, including:

- Federal Pell Grant Program (20 U.S.C. 1070a, et seq.);
- Federal Supplemental Educational Opportunity Grant (SEOG) Program (20 U.S.C. 1070(b), et seq.);
- State Student Incentive Grant Program (SSIG) 20 U.S.C. 1070c, et seq.);
- Federal Perkins Loan Program (20 U.S.C. 1087aa, et seq.);
- Income Contingent Direct Loan Demonstration Project (20 U.S.C. 1087a, note);
- Federal Stafford Loan Program, Federal Supplemental Loans for Students [SLS], Federal PLUS, or Federal Consolidation Loan Program (20 U.S.C. 1071, et seq.);
- William D. Ford Federal Direct Loan Program (20 U.S.C. 1087a, et seq.);
- Cuban Student Loan Program (22 U.S.C. 2601, et seq.);
- Robert C. Byrd Honors Scholarship Program (20 U.S.C. 1070d-31, et seq.);
- Jacob K. Javits Fellows Program (20 U.S.C. 1134h-1134l);
- Patricia Roberts Harris Fellowship Program (20 U.S.C. 1134d-1134g);
- Christa McAuliffe Fellowship Program (20 U.S.C. 1105-1105I);
- Bilingual Education Fellowship Program (20 U.S.C. 3221-3262);
- Rehabilitation Long-Term Training Program (29 U.S.C. 774(b));
- Paul Douglas Teacher Scholarship (20 U.S.C. 1104, et seq.);
- Law Enforcement Education Program (42 U.S.C. 3775);
- Indian Fellowship Program (29 U.S.C. 774(b));
- Teacher Quality Enhancement Grants Program (20 U.S.C. 1021, et seq.);

OR

B. I have made arrangements satisfactory to ED to repay a debt as described in A.1. or A.2. (above) on which I had not been current in repaying or on which I was in default (as that term is used in 34 CFR Part 668).

II. I certify also that I have not been declared by a judge, as a condition of sentencing under section 5301 of the Anti-Drug Abuse Act of 1988 (21 U.S.C. 862), ineligible to receive Federal assistance for the period of this requested funding.

I understand that providing a false certification to any of the statements above makes me liable for repayment to ED for funds received on the basis of this certification, for civil penalties, and for criminal prosecution under 18 U.S.C. 1001.

(Signature)

(Date)

(Typed or Printed Name)

Name or Number of ED program under which this certification is being made: _____

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

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Information on computer and operating system compatibility with Adobe and links to download the latest version is 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. Applicants will no longer need to use the PureEdge software to create or submit an application. 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 Central Contractor Registry (CCR) registration annually.]
- 2) **SUBMIT EARLY** – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30:00 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 your organization registered with the CCR (Central Contractor Registry).

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov and the Department of Education receive your Grants.gov submission timely and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m. Washington, DC time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

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 why an application may be rejected, you can review Application Error Tips <http://www.grants.gov/section910/ApplicationErrorTips.pdf>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

Submission Problems – What should you do?

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

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

If electronic submission is required, you must submit an electronic application before 4:30:00 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 on your application the DUNS number that was used when your organization registered with the CCR.**

Please go to http://www.grants.gov/applicants/applicant_help.jsp for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov http://www.grants.gov/help/submit_application_faqs.jsp.

Dial-Up Internet Connections

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

MAC Users

If you do not have a Windows operating System, you may need to use the Citrix solution discussed on Grants.gov to submit an application using Grants.gov. For additional information, review the FAQs for non-windows users 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:

1. Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). Also, do not upload any password protected files to your application.
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 limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend you keep your file names to less than 50 characters. In addition, applicants should avoid including special characters in their file names (for example, %, *, /, etc.) Both of these conditions (lengthy file names and/or special characters including in the file names) could result in difficulties opening and processing a submitted application.
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.

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....._ The time required to complete this information collection is estimated to average _ hours (or minutes) per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4537.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: [insert program sponsor/office], U.S. Department of Education, 400 Maryland Avenue, S.W., [insert building/room number], Washington D.C. 20202-[mail stop].

Special Grant Term for the Protection of Human Research Subjects

HS 2. Pending Institutional Review Board (IRB) Reviews and Indefinite Activities.

This grant includes nonexempt research activities involving human subjects--research that is not exempt under Sections 97.101(b) and 97.401(b) of 34 CFR Part 97, the Department's Regulations for the Protection of Human Subjects. The grantee met the pre-award requirements for assurances and initial Institutional Review Board (IRB) certifications; however, some IRB reviews are pending and/or some research activities are indefinite at the time of award. The following grant term applies.

Under governing regulations, 34 CFR Part 97, Federal funds administered by the Department of Education must not be expended for nonexempt research involving human subjects unless the requirements of the regulations have been met. Under no condition may a grantee or any other institution involved in the research initiate a nonexempt research activity prior to receipt by the Department of a certification that the research has been reviewed and approved by the Institutional Review Board (IRB) designated in the assurance of compliance.

- The grantee shall submit the IRB certifications for the research activities identified under one or both of the charts supplied in 2a. and/or 2b. below before the activities are initiated.
- The grantee shall submit the required IRB certifications to the Program Office immediately following review by the IRB.
- The grantee shall ensure that the Department receives the required certifications from any legally separate institution (not owned or operated by the grantee) that is involved in nonexempt research under this grant before the institution initiates the research activity.
- The grantee shall ensure that any legally separate institution (not owned or operated by the grantee) that is involved in nonexempt research under this grant is operating under an approved assurance before it initiates the nonexempt research activity.
- The certifications must be submitted to the Program Office at the address shown on Attachment B to the Grant Award Notification.

2a. IRB reviews are pending for the following nonexempt research activities:

Research Activity	Site of Covered Research Activity	Institution Involved in the Research

2b. The specific research activities are not known at the time of award, e.g., the activities remain to be selected [34 CFR 97.118, Applications and Proposals Lacking Definite Plans for Involvement of Human Subjects].

Indefinite Activity (refer to grant application narrative or other narrative)	Institution Involved in Indefinite Activity

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:

*Email:

Application for Federal Assistance SF-424

9. Type of Applicant 1: Select Applicant Type:

[Redacted]

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

*Other (Specify)

***10 Name of Federal Agency:**

[Redacted]

11. Catalog of Federal Domestic Assistance Number:

CFDA Title:

***12 Funding Opportunity Number:**

[Redacted]

*Title:

[Redacted]

13. Competition Identification Number:

Title:

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

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

[Redacted]

Attach supporting documents as specified in agency instructions.

Application for Federal Assistance SF-424

16. Congressional Districts Of:

*a. Applicant:

*b. Program/Project:

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

*a. Start Date:

*b. End Date:

18. Estimated Funding (\$):

*a. Federal	<input type="text"/>
*b. Applicant	<input type="text"/>
*c. State	<input type="text"/>
*d. Local	<input type="text"/>
*e. Other	<input type="text"/>
*f. Program Income	<input type="text"/>
*g. TOTAL	<input type="text"/>

***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 in attachment.)**

Yes No

If "Yes", provide explanation and attach.

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

**** I AGREE**

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

Authorized Representative:

Prefix: _____ *First Name:

Middle Name: _____

*Last Name:

Suffix: _____

*Title:

*Telephone Number:

Fax Number: _____

* Email:

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

*Date Signed: Completed by Grants.gov upon submission

SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

OMB No. 1894-0010 Exp. 05/31/2012

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

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

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

Applicant's (Organization) Name: _____

Applicant's DUNS Number: _____

Federal Program: _____ **CFDA Number:** _____

1. Has the applicant ever received a grant or contract from the Federal government?

Yes No

2. Is the applicant a faith-based organization?

Yes No

3. Is the applicant a secular organization?

Yes No

4. Does the applicant have 501(c)(3) status?

Yes No

5. Is the applicant a local affiliate of a national organization?

Yes No

6. How many full-time equivalent employees does the applicant have? *(Check only one box).*

3 or Fewer 15-50
 4-5 51-100
 6-14 over 100

7. What is the size of the applicant's annual budget?

(Check only one box.)

Less Than \$150,000
 \$150,000 - \$299,999
 \$300,000 - \$499,999
 \$500,000 - \$999,999
 \$1,000,000 - \$4,999,999
 \$5,000,000 or more

Survey Instructions on Ensuring Equal Opportunity for Applicants

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

1. Self-explanatory.
2. Self-identify.
3. Self-identify.
4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
5. Self-explanatory.
6. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
7. Annual budget means the amount of money your organization spends each year on all of its activities.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** The Agency Contact listed in this grant application package.

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.

Item	Entry:	Item:	Entry:
1.	Type of Submission: (Required) Select one type of submission in accordance with agency instructions. <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. 	10.	Name Of Federal Agency: (Required) Enter the name of the federal agency from which assistance is being requested with this application.
		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.
2.	Type of Application: (Required) Select one type of application in accordance with agency instructions. <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. <p>A. Increase Award D. Decrease Duration B. Decrease Award E. Other (specify) C. Increase Duration</p>	12.	Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	Competition Identification Number/Title: Enter the competition identification number and title of the competition under which assistance is requested, if applicable.
		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.
3.	Date Received: Leave this field blank. This date will be assigned by the Federal agency.	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.
4.	Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or the applicant's control number if applicable.		
5a.	Federal Entity Identifier: Enter the number assigned to your organization by the federal agency, if any.	16.	Congressional Districts Of: 15a. (Required) Enter the applicant's congressional district. 15b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5 th 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.
5b.	Federal Award Identifier: For new applications leave blank. 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 .	17.	Proposed Project Start and End Dates: (Required) Enter the proposed start date and end date of the project.
	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.	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.
	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 .	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.
	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).	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.

	<p>e. Organizational Unit: Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.</p>	21.	<p>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.)</p>
	<p>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.</p>		
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p>		
	<p>A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority</p>	<p>M. Nonprofit N. Private Institution of Higher Education O. Individual P. For-Profit Organization (Other than Small Business) Q. Small Business R. Hispanic-serving Institution S. Historically Black Colleges and Universities (HBCUs) T. Tribally Controlled Colleges and Universities (TCCUs) U. Alaska Native and Native Hawaiian Serving Institutions V. Non-US Entity W. Other (specify)</p>	