

**U.S. Department of Education  
Office of Vocational and Adult Education  
Washington, D.C. 20202-6200**

# **Tech-Prep Demonstration Program Application for Grants**

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Closing Date: XXXXXX**

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## **Paperwork Burden Statement**

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According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1830-0550. The time required to complete this information collection is estimated to average 50 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 or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Laura Messenger, Tech Prep Demonstration Program, U.S. Department of Education, Office of Vocational and Adult Education, 400 Maryland Avenue, SW, PCP room 11028, Washington, D.C. 20202-7241.

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*Note: Copies of the forms listed above are also available at the U.S. Department of Education's Web site at <http://ocfo.ed.gov/grntinfo/appforms.htm>.*

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# 1. Introducing the Tech-Prep Demonstration Program

The Tech Prep Demonstration Program (TPDP) is authorized by section 207 of the Carl D. Perkins Vocational and Technical Education Act of 1998 (Perkins III) (20 U.S.C.A. 2301 *et seq.*). The TPDP provides grants to enable consortia described in section 204(a) of Perkins III to carry out tech-prep education projects that involve the location of a secondary school on the site of a community college, a business as a member of the consortium, and the voluntary participation of secondary school students. By definition, tech-prep education programs combine at least two years of secondary education with a minimum of two years of postsecondary education in a nonduplicative, sequential course of study, and result in the attainment of a postsecondary degree or certificate. Following an initial recruitment period to be conducted during the first year of the grant, funded TPDP projects would enroll a new student cohort in each subsequent year of the project, in addition to continuing support for each previous TPDP student cohort.

Section 207 authorizes TPDP projects demonstrating a particular form of tech-prep, whereby eligible consortia carry out tech-prep education projects involving a secondary school located on the site of a community college. The community college location of TPDP projects makes them part of a growing number of initiatives involving secondary schools located on the campuses of community colleges. The campus location enables these schools to improve the quality of teaching and learning by tapping into the resources of community colleges. By attending high school on campus, students are able to take advantage of the advanced technology, quality skill training facilities, rich curriculum, career guidance and academic counseling services, and employer connections that are available through the community college.

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## a. Who is eligible to receive a grant?

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To be eligible for funding under the TPDP, a consortium must include at least one member in each of the following three categories:

A local educational agency, an intermediate educational agency, an area vocational and technical education school serving secondary school students, or a secondary school funded by the Bureau of Indian Affairs;

(a) a nonprofit institution of higher education that offers a 2-year associate degree, 2-year certificate, or 2-year postsecondary apprenticeship program, or (b) a proprietary institution of higher education that offers a 2-year associate degree program; and

a business.

Under the provisions of section 204(a)(1) of Perkins III, to be eligible for consortium membership both nonprofit and proprietary institutions of higher education must be qualified as institutions of higher education pursuant to section 102 of the Higher Education Act of 1965 (HEA), including institutions receiving assistance under the Tribally Controlled College or University Assistance Act of 1978 (25 U.S.C. 1801 *et seq.*) and tribally controlled postsecondary vocational and technical institutions.

In addition, nonprofit institutions of higher education are eligible only if they are not prohibited from receiving assistance under HEA, title IV, part B (20 U.S.C. 1071 *et seq.*), pursuant to the provisions of



HEA section 435(a)(3) (20 U.S.C. 1083(a)). Proprietary institutions of higher education are eligible only if they are not subject to a default management plan required by the Secretary.

Applicants must submit a signed consortium agreement, to provide evidence that each of the required categories of membership has been satisfied. Under the provisions of section 204(a)(2), consortia also may include one or more: (1) institutions of higher education that award baccalaureate degrees; (2) employer organizations; or (3) labor organizations.

Note: Eligible consortia seeking to apply for funds should read and follow the regulations in 34 CFR 75.127-75.129, which apply to group applications.

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## **b. What requirements apply to this program?**

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Section 207 requires funded TPDP projects to meet all of the requirements of the Perkins III State-administered Tech-Prep Education Program (with the exception of articulation agreements with 4-year institutions of higher education), as set forth in sections 202(3) and 204(c) of Perkins III, and modified by section 207(d)(2). See the Appendix for applicable Tech-Prep Education definitions and requirements.

To achieve the purposes of section 207, the following additional requirements are established. These requirements apply to all applicants seeking funding under this competition, and to all TPDP-funded projects.

1. Each applicant must submit a signed Consortium Agreement (Agreement), providing evidence that each of the categories of membership required under section 207 of Perkins III has been satisfied, and that each of the required members is eligible for membership under the provisions of Perkins III. The Agreement must contain a signature of commitment from each participating secondary school, community college, and business member, affirming that those entities have formed a consortium to develop, implement and sustain a TPDP project as described under section 207 of Perkins III. The Agreement also must describe the roles and responsibilities of each consortium member within the proposed TPDP project. The format for the Agreement is included in this application package under Required Forms and Assurances.
2. Each applicant must submit a complete Proposed Project Course Sequence Plan (Plan), for each program of study within the proposed TPDP project, to demonstrate how the proposed instructional program represents a sequential, four-year program of study that meets the specific criteria set forth in sections 202(a)(3) and 204(c) of Perkins III. The Plan must list the course sequence for each program of study within the proposed TPDP project, describing the specific academic and technical coursework required for all four years of the program. The Plan also must summarize program entrance requirements and specify the associate degree or postsecondary certificate to be earned upon completion of the program. The format for the Plan is included in this application package under Required Forms and Assurances.
3. Each applicant must provide evidence that a secondary school will be physically located on the site of a community college and provide a complete program of academic and technical coursework at the community college that, at a minimum, meets State requirements for high school graduation. Students must be enrolled full-time in the high school on the community college campus. However, enrolled students may participate in extracurricular activities at their original high school. Proposed projects that involve only the “virtual” location of a secondary school on the site of a community college, and projects that involve only satellite community college sites located on the premises of

secondary schools, are not eligible for support under this competition. This is consistent with the TPDP's legislative requirement regarding co-location, as well as existing literature about the "middle college" co-location program format, which suggests that the physical presence of secondary school students on the campus of a community college can have a positive impact on their morale, commitment to learning, likelihood of high school graduation, and transition to postsecondary education.

4. Each applicant must provide an assurance that it will enroll its first student cohort and begin classes by September of the calendar year following the calendar year in which the grant award is made, and enroll its second, third, and fourth student cohorts by September of each subsequent year of the proposed TPDP project. We expect to award grants in July of 2005.
5. Each applicant must submit enrollment goals for the number of students in each student cohort to be enrolled in each year of the proposed TPDP project.
6. Each applicant must submit annual performance goals for each of the performance indicators discussed below. Successful applicants must reach agreement with us on their annual performance goals for each performance indicator. TPDP-funded projects will be required to use the following performance indicators to measure the progress of students in the TPDP-funded project:
  - (a) Retention of high school juniors for their senior year in the TPDP-funded program of study;
  - (b) Completion of one or more mathematics courses in addition to Algebra I, Algebra II, and Geometry by the time of high school graduation;
  - (c) Completion of one or more science courses in addition to high school Biology and Chemistry by the time of high school graduation;
  - (d) High school graduation;
  - (e) Attainment of nine or more postsecondary credits by the time of high school graduation;
  - (f) Enrollment in postsecondary education following high school graduation;
  - (g) Reduction in the need for remediation in postsecondary education following high school; and
  - (h) Attainment of a postsecondary degree or certificate.
7. Each applicant must submit a plan for annual project evaluation. Each evaluation must be conducted by an independent evaluator and must provide information to the members of the consortium and project staff that will be useful in gauging progress and identifying areas for improvement, particularly with regard to the required performance indicators.
8. Each applicant must provide an assurance that it will submit annual reports of anticipated enrollment that include the number of students in each cohort who will be enrolled for the subsequent year and, if that number differs from the enrollment goals for that year stated in the approved application, the reasons for such a difference. Each annual report of anticipated enrollment will be due at the end of April.
9. Each applicant must provide an assurance that it will submit annual project performance reports and a final project performance report, that: summarize the TPDP project's progress and significant accomplishments and provide data on the agreed-upon performance indicators and goals; identify barriers to continued progress and outline solutions; include the annual evaluation report that was prepared by the independent evaluator; and review plans for or progress towards sustained operations after the cessation of Federal support. Each annual performance report will be due within 90 days of the end of each project year and the final performance report will be due 90 days after the end of the project.

Funded projects must comply with all requirements adopted in the Notice of final requirements and selection criteria published in the *Federal Register*. Failure to comply with any applicable program requirement may subject a grantee to special conditions, withholding, or termination.

Please note that, as discussed below, we will make grants for a 60-month period. Applicants under this competition are required to provide detailed budget information for each year of the proposed project and for the total grant. The Department will negotiate funding levels for each 12-month period of the grant at the time of the award.

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### **c. What will be the time period, size and number of grants?**

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Grants will be awarded for a 60-month period. We have concluded that entire, multi-year projects funded by five-year awards will be necessary for TPDP grantees to fully meet the statutory purposes of section 207 of Perkins III and the requirements of this application. By definition, tech-prep programs combine at least two years of secondary education with a minimum of two years of postsecondary education in a nonduplicative, sequential course of study, and result in the attainment of a postsecondary degree or certificate. As outlined in this application, five-year funding will: a) allow funded projects to engage in a lengthy recruitment effort and meet their enrollment goals; b) enable the first cohort of students to complete the full four years of the tech-prep program and attain the necessary postsecondary degree or certificate; and c) enable subsequent cohorts of students to complete a significant portion of the tech-prep program, thus increasing the likelihood that they will persist in their efforts to attain the necessary postsecondary degree or certificate. In addition, by enabling funded projects to conduct the full four-year tech-prep program, five-year funding will allow grantees and the Department to evaluate the effectiveness of the funded programs more thoroughly.

For this competition, the estimated amount of available funds is \$9,867,488. The estimated range of awards is \$700,000 to \$800,000 for the 60-month project period. The estimated average size of awards is \$750,000. We anticipate making approximately 13 new grant awards under this competition. However, please note that the Department is not bound by any estimates in this application package.

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### **d. What activities are allowable?**

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#### Allowable Costs

Allowable activities and expenditures for TPDP projects include, but are not limited to: recruitment and enrollment of students; staff hiring; updating of articulation agreements; curriculum revision; professional development for secondary and postsecondary faculty, counselors, and administrators; and development and maintenance of business and industry partnerships. In addition, Section 207(b)(2) specifies that TPDP projects may provide summer internships at a business for students or teachers.

Section 207 gives applicants latitude for innovation. For example, although tech-prep education by definition includes at least two years of education at the secondary level preceding high school graduation and two years of postsecondary education or apprenticeship training, section 204(c)(3)(B) authorizes tech-prep programs that allow students to concurrently complete both secondary and postsecondary courses, and simultaneously satisfy requirements for a high school diploma and an associate degree or other postsecondary credential.

#### Unallowable Costs

- (1) Supplanting. In accordance with section 311(a) of Perkins III, funds under this program may not be used to supplant non-Federal funds used to carry out vocational and technical education activities and tech-prep activities. Further, the prohibition against supplanting also means that grantees are required to use their negotiated restricted indirect cost rate under this program. (34 CFR 75.563).

Because of the statutory prohibition against supplanting, we caution applicants not to plan to use Federal funds awarded under section 207 to replace non-Federal funding that is already, or that otherwise would be, available for support of the TPDP projects to be assisted. Further, we are concerned that TPDP funds may be used to replace Federal student financial aid. We wish to highlight the fact that the statute does not authorize us to fund projects that serve primarily as entities through which students may apply for and receive tuition and other financial assistance.

- (2) Construction. Under EDGAR (34 CFR 75.533), TPDP grants cannot be used for the acquisition of real property or construction.
- (3) Articulation Agreements with Four-Year Institutions. Under the provisions of section 207(d), tech-prep articulation agreements with four-year institutions cannot be supported with funds awarded under section 207. However, articulation agreements with four-year institutions can be developed using other resources by applicants who wish to establish "open-ended" tech-prep career pathways. Also, the inclusion of institutions of higher education that award baccalaureate degrees in TPDP consortia is allowable under section 204(a)(2)(A).

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## **e. What priorities apply to this program?**

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Under this competition we are particularly interested in applications that address the following priority. For FY 2005 this priority is an invitational priority. Under 34 CFR 75.105(c)(1) we do not give an application that meets this invitational priority a competitive or absolute preference over other applications. This priority is:

Student Choice: This priority encourages applications that propose to implement a Tech Prep Demonstration Program in a geographic area in which a large proportion or number of public high schools have been identified for improvement, corrective action, or restructuring under Title I, Part A of the ESEA, to provide an opportunity for students to attend a school that is not in need of improvement.

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## **f. What special considerations apply to this program?**

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In addition to the points to be awarded to applicants based on the selection criteria and the competitive preference priorities, under section 207(d)(3) of Perkins III we award 5 additional points to applications that:

1. Provide for effective employment placement activities;
2. Effectively address the issues of school dropout prevention and re-entry, as well as the needs of special populations;
3. Provide education and training in career areas or skills in which there are significant workforce shortages, including the information technology industry; and

4. Demonstrate how tech-prep programs will help students meet high academic and employability competencies.

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## **g. What selection criteria apply to this competition?**

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We use the following selection criteria to evaluate applications for new grants under this competition. The maximum possible score for all of these criteria is 100 points. The maximum possible score for each criterion is indicated in parentheses.

### SELECTION CRITERIA

- (a) Quality of the project design. (40 points)

In determining the quality of the design of the proposed project, we consider the following factors:

- (1) The extent to which the applicant demonstrates its readiness to implement a complete, career-oriented, 4-year program of study, as evidenced by a formal articulation agreement concerning the structure, content and sequence of all academic and technical courses to be offered in the proposed tech prep program and, if applicable, the conditions under which dual credit will be awarded. (5 points)
- (2) The extent to which the applicant's proposed secondary academic and technical course offerings and graduation requirements prepare students to enter postsecondary education without the need for remediation and are aligned with the entrance requirements for postsecondary degree and certificate programs. (5 points)
- (3) The extent to which the proposed instructional program incorporates high academic standards that equal or exceed those established by the State and reflects industry-recognized skills and knowledge. (5 points)
- (4) The extent to which the applicant demonstrates that consortium efforts will align the ninth-grade and tenth-grade curricula with proposed TPDP program entrance requirements, to ensure a sizable, qualified applicant pool for the proposed TPDP program. (5 points)
- (5) The extent to which the applicant presents a detailed student recruitment plan that is likely to be effective in fulfilling the project's enrollment goals for each year of the project. (5 points)
- (6) The extent to which the applicant demonstrates that it has designed a comprehensive academic and career counseling program for participating students at both the secondary and postsecondary levels and will provide specific support services to ensure students' persistence in the program to the attainment of a postsecondary degree or certificate. (5 points)

- (7) The extent to which the applicant demonstrates that the business member(s) of the consortium and other area employers have agreed to provide structured work-based learning opportunities to TPDP students that are directly related to the proposed technical program(s) of study. (5 points)
- (8) The extent to which the proposed project will provide intensive professional development, specifically designed to help achieve the goals of the program, for secondary and postsecondary instructors, counselors, and administrators involved in the program. (5 points)

(b) Quality of the management plan. (15 points)

In determining the quality of the management plan for the proposed project, we consider the following factors:

- (1) The extent to which the management plan outlines specific, measurable goals, objectives, and outcomes to be achieved by the proposed project. (5 points)
- (2) The extent to which the management plan assigns responsibility for the accomplishment of project tasks to specific project personnel and provides timelines for the accomplishment of project tasks. (5 points)
- (3) The extent to which the time commitments of the project director and other key personnel are appropriate and adequate to achieve the objectives of the proposed project. (5 points)

(c) Quality of project personnel. (15 points)

In determining the quality of project personnel, we consider the following factors:

- (1) The extent to which the applicant encourages applications for employment from members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. (5 points)
- (2) The qualifications, including relevant training and experience, of the project director. (5 points)
- (3) The qualifications, including relevant training and experience, of key project personnel, including teachers, counselors, administrators, and project consultants. (5 points)

(d) Adequacy of resources. (10 points)

In determining the adequacy of resources for the proposed project, we consider the following factors:

- (1) The adequacy of support, including facilities, equipment, supplies, and other resources, from the participating institutions. (5 points)
- (2) The extent to which the budget is adequate and costs are reasonable in relation to the objectives and design of the proposed project. (5 points)

(e) Quality of the project evaluation. (20 points)

In determining the quality of the evaluation, we consider the following factors:

- (1) The extent to which the methods of evaluation are thorough, feasible, and appropriate, will solicit input from all consortium members regarding program effectiveness, and will yield accurate and reliable data for each of the required performance indicators. (10 points)
- (2) The extent to which the evaluation will produce reports or other documents at appropriate intervals to enable consortium members to use the data for planning and decision making for continuous program improvement. (5 points)
- (3) The extent to which the independent evaluator possesses the necessary background and expertise to carry out the evaluation. (5 points)

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## **h. What regulations apply to this program?**

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(a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99; and (b) the regulations in the Notice of Final Requirements and Selection Criteria for fiscal year 2005 as published in the *Federal Register*.

## **2. Applying for the Grants**

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### **a. How to prepare an application.**

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The following forms and other items should be included in the application in the order listed below:

1. Application for Federal Assistance (ED424)
2. Budget Information--Non-construction Programs (ED Form No. 524)
3. Budget Narrative
4. Project Abstract
5. Application Table of Contents
6. Application Narrative, including: responses to the requirements; responses to the selection criteria; responses to the special considerations and invitational priority, if applicable; and information that addresses section 427 of the General Education Provisions Act. (See Required Forms and Assurances, d. Notice: General Education Provisions Act (GEPA), Section 427.)
7. Proposed Project Course Sequence Plan(s)

8. Consortium Agreement
9. Assurances--Non-Construction Programs (SF 424B)
10. Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements (ED 80-0013)
11. Disclosure of Lobbying Activities (Standard Form LLL)
11. Survey on Equal Opportunity for Applicants

**Budget information and instructions:**

Applicants under this competition are required to provide detailed budget information for each year of the proposed project and for the total grant requested. The Department will negotiate funding levels for each 12-month period of the grant at the time of the initial award.

1. Personnel: Show salaries to be paid to personnel for each budget year.
2. Fringe Benefits: Indicate the rate and amount of fringe benefits for each budget year.
3. Travel: Indicate the amount requested for both local and out of State travel of project staff for each budget year. Include funds for one trip per year for two people to attend the Project Directors' Workshop in Washington, D.C.

Equipment: Indicate the cost of non-expendable personal property that has a cost of \$5,000 or more per unit for each budget year.

Supplies: Include the cost of consumable supplies and materials to be used during the project period for each budget year.

Contractual: Show the amount to be used for: (1) procurement contracts (except those, which belong on other lines such as supplies and equipment); and (2) subcontracts for each budget year.

Construction: Not Applicable.

Other: Indicate all direct costs not clearly covered by lines 1 through 6 above, including consultants and capital expenditures for each budget year.

Total Direct Cost: Show the total for Lines 1 through 8 for each budget year.

Indirect Costs: Indicate the rate and amount of indirect costs for each budget year. Applicants must use a restricted indirect cost rate.

Training/Stipend Cost: Not applicable. This item pertains only to student and institutional allowances.

Total Costs: Show total for lines 9 through 11 for each budget year.



Be sure to include a budget narrative to explain, justify, and, if needed, clarify your budget summary. For each line item (personnel, fringe benefits, travel, etc.) in your budget, explain why it is there and how you computed the costs.

**Further Instructions for the application:**

Before preparing your application, you should read carefully the description of the program, eligibility requirements, program requirements, selection criteria, special considerations, and invitational priority.

1. Include a one page abstract summarizing the proposed TPDP project, including a short description of the student population to be served in the proposed project, project objectives, and planned project activities.
2. Provide a table of contents listing the parts of the application. Be sure to number the pages in your application.
3. The application narrative will comprise the bulk of your application. Describe the proposed project in detail, and address each requirement and selection criterion in the order in which they are listed in this application package. Remember that your narrative must encompass every function or activity for which funds are being requested.
4. If applicable, describe how the proposed project meets the special considerations.
5. If applicable, describe how the proposed project meets the invitational priority.
6. Attach copies of the Consortium Agreement, the Proposed Project Course Sequence Plan(s), and all other required assurances and forms.
7. If necessary, include supporting documentation as an appendix to the narrative. This material should be concise and pertinent to the application.

Note: We suggest you limit the application narrative to no more than 35 double-spaced, typed pages (on one side only), although both shorter and longer applications will receive full consideration.

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**b. Application transmittal instructions.**

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

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

**Applications Submitted Electronically:**

You must submit your grant application through the Internet using the software provided on the e-Grants Web site (<http://e-grants.ed.gov>) by 4:30 p.m. (Washington, DC time) on the application deadline date. The regular hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until midnight Saturday (Washington, DC time). Please note that the system is unavailable on Sundays, and after 7:00 p.m. on Wednesdays for maintenance (Washington, DC time). Any modifications to these hours are posted on the e-Grants Web site.

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

### **Applications Sent by Mail:**

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

**U. S. Department of Education  
Application Control Center  
Attention: (CFDA # 84.353)  
400 Maryland Avenue, SW  
Washington, DC 20202-4260**

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

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

If you mail an application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Service.

You should note that 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.

### **Applications Delivered by Commercial Carrier**

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

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

**U.S Department of Education**

**Application Control Center – Stop 4260**  
**Attention: CFDA # 84.353**  
**7100 Old Landover Road**  
**Landover, MD 20785-1506**

**Applications Delivered by Hand:**

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

**U.S. Department of Education**  
**Application Control Center**  
**Attention: (CFDA # 84.353)**  
**550 12<sup>th</sup> Street, SW**  
**PCP - Room 7041**  
**Washington, DC 20202-4260**

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

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**C. Intergovernmental Review of Federal Programs**

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

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

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

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

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, area-wide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address:

The Secretary  
Re: EO 12372  
U.S. Department of Education  
Room 7W-100

400 Maryland Avenue, SW  
Washington, DC 20202-0124.

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

**PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION.**

**DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS!**

## **Intergovernmental Review (SPOC List)**

Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided below.

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

Contact information for Federal agencies that award grants can be found in [Appendix IV of the Catalog of Federal Domestic Assistance](#).

<p><u><b>ARKANSAS</b></u>            Tracy L. Copeland            Manager, State Clearinghouse            Office of Intergovernmental Services            Department of Finance and Administration            1515 W. 7th St., Room 412            Little Rock, Arkansas 72203            Telephone: (501) 682-1074            Fax: (501) 682-5206  <a href="mailto:tlcopeland@dfa.state.ar.us">tlcopeland@dfa.state.ar.us</a></p>	<p><u><b>CALIFORNIA</b></u>            Grants Coordination            State Clearinghouse            Office of Planning and Research            P.O. Box 3044, Room 222            Sacramento, California 95812-3044            Telephone: (916) 445-0613            Fax: (916) 323-3018  <a href="mailto:state.clearinghouse@opr.ca.gov">state.clearinghouse@opr.ca.gov</a></p>
<p><u><b>DELAWARE</b></u>            Charles H. Hopkins            Executive Department            Office of the Budget            540 S. Dupont Highway, 3rd Floor            Dover, Delaware 19901            Telephone: (302) 739-3323            Fax: (302) 739-5661  <a href="mailto:chopkins@state.de.us">chopkins@state.de.us</a></p>	<p><u><b>DISTRICT OF COLUMBIA</b></u>            Luisa Montero-Diaz            Office of Partnerships and Grants Development            Executive Office of the Mayor            District of Columbia Government            441 4th Street, NW, Suite 530 South            Washington, DC 20001            Telephone: (202) 727-8900            Fax: (202) 727-1652  <a href="mailto:opgd.eom@dc.gov">opgd.eom@dc.gov</a></p>
<p><u><b>FLORIDA</b></u>            Jasmin Raffington            Florida State Clearinghouse            Department of Community Affairs            2555 Shumard Oak Blvd.            Tallahassee, Florida 32399-2100            Telephone: (850) 922-5438            Fax: (850) 414-0479  <a href="mailto:clearinghouse@dca.state.fl.us">clearinghouse@dca.state.fl.us</a></p>	<p><u><b>GEORGIA</b></u>            Georgia State Clearinghouse            270 Washington Street, SW            Atlanta, Georgia 30334            Telephone: (404) 656-3855            Fax: (404) 656-7901  <a href="mailto:gach@mail.opb.state.ga.us">gach@mail.opb.state.ga.us</a></p>
<p><u><b>ILLINOIS</b></u></p>	<p><u><b>IOWA</b></u></p>

<p>Virginia Bova  Department of Commerce  and Community Affairs  James R. Thompson Center  100 West Randolph, Suite 3-400  Chicago, Illinois 60601  Telephone: (312) 814-6028  Fax (312) 814-8485  vbova@commerce.state.il.us</p>	<p>Steven R. McCann  Division of Community and Rural Development  Iowa Department of Economic Development  200 East Grand Avenue  Des Moines, Iowa 50309  Telephone: (515) 242-4719  Fax: (515) 242-4809  steve.mccann@ided.state.ia.us</p>
<p><b>KENTUCKY</b></p> <p>Ron Cook  Department for Local Government  1024 Capital Center Drive, Suite 340  Frankfort, Kentucky 40601  Telephone: (502) 573-2382  Fax: (502) 573-2512  <a href="mailto:ron.cook@mail.state.ky.us">ron.cook@mail.state.ky.us</a></p>	<p><b>MAINE</b></p> <p>Joyce Benson  State Planning Office  184 State Street  38 State House Station  Augusta, Maine 04333  Telephone: (207) 287-3261  (207) 287-1461 (direct)  Fax: (207) 287-6489  joyce.benson@state.me.us</p>
<p><b>MARYLAND</b></p> <p>Linda Janey  Manager, Clearinghouse  and Plan Review Unit  Maryland Office of Planning  301 West Preston Street - Room 1104  Baltimore, Maryland 21201-2305  Telephone: (410) 767-4490  Fax: (410) 767-4480  linda@mail.op.state.md.us</p>	<p><b>MICHIGAN</b></p> <p>Richard Pfaff  Southeast Michigan Council of Governments  535 Griswold, Suite 300  Detroit, Michigan 48226  Telephone: (313) 961-4266  Fax: (313) 961-4869  pfaff@semcog.org</p>
<p><b>MISSISSIPPI</b></p> <p>Cathy Mallette  Clearinghouse Officer  Department of Finance and Administration  1301 Woolfolk Building, Suite E  501 North West Street  Jackson, Mississippi 39201  Telephone: (601) 359-6762  Fax: (601) 359-6758</p>	<p><b>MISSOURI</b></p> <p>Carol Meyer, Teresa Krichhoff  Federal Assistance Clearinghouse  Office of Administration  P.O. Box 809  Truman Building, Room 840  Jefferson City, Missouri 65102  Telephone: (573) 751-4834  Fax: (573) 522-4395  <a href="mailto:meyerc@mail.oa.state.mo.us">meyerc@mail.oa.state.mo.us</a>   kirchhoft@mail.oa.state.mo.us</p>
<p><b>NEVADA</b>  Heather Elliott</p>	<p><b>NEW HAMPSHIRE</b></p>

<p>Department of Administration  State Clearinghouse  209 E. Musser Street, Room 200  Carson City, Nevada 89701  Telephone: (775) 684-0209  Fax: (775) 684-0260  helliott@govmail.state.nv.us</p>	<p>Jeffrey H. Taylor  Director  New Hampshire Office of State Planning  Attn: Intergovernmental Review Process  Mike Blake  2-1/2 Beacon Street  Concord, New Hampshire 03301  Telephone: (603) 271-2155  Fax: (603) 271-1728  jtaylor@osp.state.nh.us</p>
<p><b><u>NEW MEXICO</u></b>  Ken Hughes  Local Government Division  Room 201 Bataan Memorial Building  Santa Fe, New Mexico 87503  Telephone: (505) 827-4370  Fax: (505) 827-4948  khughes@dfa.state.nm.us</p>	<p><b><u>NORTH CAROLINA</u></b>  Jeanette Furney  Department of Administration  1302 Mail Service Center  Raleigh, North Carolina 27699-1302  Telephone: (919) 807-2323  Fax: (919) 733-9571  jeanette.furney@ncmail.net</p>
<p><b><u>NORTH DAKOTA</u></b>  Jim Boyd  Division of Community Services  600 East Boulevard Ave, Dept 105  Bismarck, North Dakota 58505-0170  Telephone: (701) 328-2094  Fax: (701) 328-2308  <a href="mailto:jboyd@state.nd.us">jboyd@state.nd.us</a></p>	<p><b><u>RHODE ISLAND</u></b>  Kevin Nelson  Department of Administration  Statewide Planning Program  One Capitol Hill  Providence, Rhode Island 02908-5870  Telephone: (401) 222-2093  Fax: (401) 222-2083  knelson@doa.state.ri.us</p>
<p><b><u>SOUTH CAROLINA</u></b>  Omeagia Burgess  Budget and Control Board  Office of State Budget  1122 Ladies Street, 12th Floor  Columbia, South Carolina 29201  Telephone: (803) 734-0494  Fax: (803) 734-0645  aburgess@budget.state.sc.us</p>	<p><b><u>TEXAS</u></b>  Denise S. Francis  Director, State Grants Team  Governor's Office of Budget and Planning  P.O. Box 12428  Austin, Texas 78711  Telephone: (512) 305-9415  Fax: (512) 936-2681  dfrancis@governor.state.tx.us</p>
<p><b><u>UTAH</u></b>  Carolyn Wright  Utah State Clearinghouse</p>	<p><b><u>WEST VIRGINIA</u></b>  Fred Cutlip, Director  Community Development Division</p>

<p>Governor's Office of Planning and Budget  State Capitol, Room 114  Salt Lake City, Utah 84114  Telephone: (801) 538-1535  Fax: (801) 538-1547  cwright@gov.state.ut.us</p>	<p>West Virginia Development Office  Building #6, Room 553  Charleston, West Virginia 25305  Telephone: (304) 558-4010  Fax: (304) 558-3248  fcutlip@wvdo.org</p>
<p><b><u>WISCONSIN</u></b></p> <p>Jeff Smith  Section Chief, Federal/State Relations  Wisconsin Department of Administration  101 East Wilson Street - 6th Floor  P.O. Box 7868  Madison, Wisconsin 53707  Telephone: (608) 266-0267  Fax: (608) 267-6931  jeffrey.smith@doa.state.wi.us</p>	<p><b>AMERICAN SAMOA</b></p> <p>Pat M. Galea'i  Federal Grants/Programs Coordinator  Office of Federal Programs  Office of the Governor/Department  of Commerce  American Samoa Government  Pago Pago, American Samoa 96799  Telephone: (684) 633-5155  Fax: (684) 633-4195  pmgaleai@samoatelco.com</p>
<p><b>GUAM</b></p> <p>Director  Bureau of Budget and Management Research  Office of the Governor  P.O. Box 2950  Agana, Guam 96910  Telephone: 011-671-472-2285  Fax: 011-472-2825  <a href="mailto:jer@ns.gov.gu">jer@ns.gov.gu</a></p>	<p><b>PUERTO RICO</b></p> <p>Jose Caballero / Mayra Silva  Puerto Rico Planning Board  Federal Proposals Review Office  Minillas Government Center  P.O. Box 41119  San Juan, Puerto Rico 00940-1119  Telephone: (787) 723-6190  Fax: (787) 722-6783</p>
<p><b>NORTH MARIANA ISLANDS</b></p> <p>Ms. Jacoba T. Seman  Federal Programs Coordinator  Office of Management and Budget  Office of the Governor  Saipan, MP 96950  Telephone: (670) 664-2289  Fax: (670) 664-2272  omb.jseman@saipan.com</p>	<p><b>VIRGIN ISLANDS</b></p> <p>Ira Mills  Director, Office of Management and Budget  #41 Norre Gade Emancipation Garden  Station, Second Floor  Saint Thomas, Virgin Islands 00802  Telephone: (340) 774-0750  Fax: (340) 776-0069  lrmills@usvi.org</p>

Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to [grants@omb.eop.gov](mailto:grants@omb.eop.gov). If you prefer, you may send correspondence to the following postal address:

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



**Please note:** Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the [CFDA](#).

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**d. Notice: Necessity of Meeting Deadlines**

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**IMPORTANT NOTICE**

**To Prospective Participants in U.S. Department of Education  
Contract and Grant Programs**

GRANTS

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds. Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste. For these reasons, ED must set strict deadlines for grant applications. **Prospective applicants can avoid disappointment if they understand that: failure to meet a deadline will mean that an applicant will be rejected without any consideration whatever.**

The rules, including the deadline, for applying for each grant are published, individually, in the *Federal Register*. A one-year subscription to the Register may be obtained by sending \$340.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.) The instructions in the *Federal Register* must be followed exactly. **Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register.** Questions regarding submission of applications may be addressed to:

U.S. Department of Education  
Application Control Center  
Washington, D.C. 20202-4725

CONTRACTS

Competitive procurement actions undertaken by the Department are governed by the Federal Procurement Regulation and implementing ED Procurement Regulation. Generally, prospective competitive procurement actions are synopsisized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP).

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracts Specialist identified on the face page of the RFP. Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

**Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP.**

A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents

U.S. Government Printing Office  
Washington, D.C. 20402-9371

In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

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## **e. DUNS Number Instructions**

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### **DUNS Number Instructions**

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

**<http://www.dnb.com/dbis/aboutdb/intlduns.htm>**

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

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

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## **5. Non-regulatory Guidance**

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Potential applicants frequently direct questions to officials of the Department regarding application notices and programmatic and administrative regulations governing various direct grant programs. To assist potential applicants, we have compiled the most frequently asked questions followed by our response.

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### **a. Can we get an extension of the deadline?**

---

No. A closing date may be changed only under extraordinary circumstances. Any change must be announced in the Federal Register and must apply to all applications. Waivers for individual applications cannot be granted regardless of the circumstances.

---

**b. If I submit a paper application instead of electronic, how many copies of the application should I submit and must they be bound?**

---

Applicants who elect to prepare paper applications are required to submit one original and two copies of the grant application. To aid with the review of applications, we encourage paper applicants to submit three additional copies of the grant application. However, we will not penalize applicants who do not provide additional copies. Sending applications in notebooks, binders, folders, or other coverings is discouraged.

---

**c. We just missed the deadline for a particular competition. May we submit under another competition?**

---

Yes, however, the likelihood of success is not good. A properly prepared application must meet the specifications of the competition to which it is submitted.

---

**d. I'm not sure which competition is most appropriate for my project. What should I do?**

---

We are happy to discuss any such questions with you and provide clarification on the unique elements of the various competitions.

---

**e. Will you help us prepare our application?**

---

We are happy to provide general program information. Clearly, it would not be appropriate for staff to participate in the actual writing of an application, but we can respond to specific questions about application requirements, evaluation criteria, and priorities. Applicants should understand, however, that prior contact with the Department is not required, nor will it in any way influence the success of an application.

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**f. When will I find out if I'm going to be funded?**

---

You can expect to receive notification as soon as possible after the application closing date, depending on the number of applications received and the number of Department competitions with similar closing dates.

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**g. Once the review panel has reviewed my application, can you tell me the outcome?**

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No. Every year we are called by a number of applicants who have a legitimate reason for needing to know the outcome of the panel review prior to official notification. Some applicants need to make job decisions, some need to notify a local school district, etc. Regardless of the reason, because final funding decisions

have not been made at that point, we cannot share information about the results of panel review with anyone.

---

**h. Will my application be returned if I am not funded?**

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No. We no longer return unsuccessful applications. Thus, applicants should retain at least one copy of their application.

**23. i. Can I obtain copies of reviewers' comments?**

Yes. Upon written request, reviewers' comments will be mailed to unsuccessful applicants.

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**j. Is travel allowed under these projects?**

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Travel associated with carrying out the project is allowed. Because we may request the project director of funded projects to attend an annual project directors' meeting, you should include an annual trip to Washington, DC, in the travel budget. Travel to conferences is sometimes allowed when the purpose of the conference will be of benefit and relates to the project.

---

**k. If my application receives high scores from the reviewers, will it be funded?**

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Not necessarily. It is often the case that the number of applications scored highly by the reviewers exceeds the dollars available for funding projects under a particular competition. The order of selection, which is based on the scores of all the applications reviewed and other relevant factors, determines the applications that can be funded.

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**l. What happens during pre-award clarification discussions?**

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During pre-award clarification discussions, technical and budget issues may be raised. These are issues that have been identified during the panel and staff reviews that require clarification. Sometimes issues are stated as "conditions". These are issues that have been identified as so critical that the award cannot be made unless those conditions are met. Questions may also be raised about the proposed budget. Generally, these issues are raised because an application contains inadequate justification or explanation of a particular budget item, or because the budget item seems unimportant to the successful completion of the project. If you are asked to make changes that you feel could seriously affect the project's success, you may provide reasons for not making the changes or provide alternative suggestions. Similarly, if proposed budget reductions will, in your opinion, seriously affect the project activities, you may explain why and provide additional justification for the proposed expenses. We cannot make an award until all issues under discussion have been resolved.

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**m. How do I provide an assurance?**

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Except for SF-424B, “Assurances--Non-Construction Programs,” you may provide an assurance simply by stating in writing that you are meeting a prescribed requirement.

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## **n. Where can copies of the Federal Register, program regulations, and Federal statutes be obtained?**

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Copies of these materials can usually be found at your local library. If not, they can be obtained from the Government Printing Office by writing to Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402. Telephone: (202) 708-8228. When requesting copies of regulations or statutes, it is helpful to use the specific name or public law, number of a statute, or part number of a regulation. A copy of the Code of Federal Regulations that contains the Education Department General Administrative Regulations, 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99, may be obtained from the Government Printing Office by writing to Superintendent of Documents, P.O. Box 371954, Pittsburgh, PA 15250-7954, or by telephoning (202) 512-1800. It may also be obtained on the internet at: [www.access.gpo.gov/su--docs](http://www.access.gpo.gov/su--docs), or [www.access.gpo.gov/nara/cfr](http://www.access.gpo.gov/nara/cfr).

Federal Register notices can also be accessed on the internet at: [www.access.gpo.gov/nara/index.html](http://www.access.gpo.gov/nara/index.html).

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## **o. Where is it explained how the application should be ordered?**

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The ordering for the required parts of the application is specified in the section entitled “How to prepare an application”.

## **6. Supporting Documents**

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### **Tech-Prep Education Definitions and Requirements**

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The following are applicable Tech-Prep education definitions and requirements from Perkins III. Additional requirements that apply to the TPDP or to this competition are discussed in the notice. We provide this information for your convenience, however, it is not meant to substitute for a careful reading of all the statutory provisions that are applicable as discussed in the notice.

#### **Definitions**

##### **Articulation Agreement**

A written commitment to a program designed to provide students with a nonduplicative sequence of progressive achievement leading to degrees or certificates in a tech-prep education program.

##### **Community College**

An institution of higher education, as defined in section 101 of the Higher Education Act of 1965, that—provides not less than a 2-year program that is acceptable for full credit toward a bachelor's degree; and includes tribally controlled colleges or universities.

## **Tech-Prep Program**

A program of study that--

1. combines at a minimum 2 years of secondary education (as determined under State law) with a minimum of 2 years of postsecondary education in a nonduplicative, sequential course of study;
2. integrates academic, and vocational and technical, instruction, and utilizes work-based and worksite learning where appropriate and available;
3. provides technical preparation in a career field such as engineering technology, applied science, a mechanical, industrial, or practical art or trade, agriculture, health occupations, business, or applied economics;
4. builds student competence in mathematics, science, reading, writing, communications, economics, and workplace skills through applied, contextual academics, and integrated instruction, in a coherent sequence of courses;
5. leads to an associate or a baccalaureate degree or a postsecondary certificate in a specific career field; and
6. leads to placement in appropriate employment or to further education.

## **Contents of a Tech-Prep Program**

Each tech-prep program shall--

1. be carried out under an articulation agreement between the participants in the consortium;
2. consist of at least 2 years of secondary school preceding graduation and 2 years or more of higher education, or an apprenticeship program of at least 2 years following secondary instruction, with a common core of required proficiency in mathematics, science, reading, writing, communications, and technologies designed to lead to an associate's degree or a postsecondary certificate in a specific career field;
3. include the development of tech-prep programs for both secondary and postsecondary participants in the consortium that—
  - a. meet academic standards developed by the State;
  - b. link secondary schools and 2-year postsecondary institutions through nonduplicative sequences of courses in career fields, including the investigation of opportunities for tech-prep secondary students to enroll concurrently in secondary and postsecondary coursework;
  - c. use, if appropriate and available, work-based or worksite learning in conjunction with business and all aspects of an industry; and
  - d. use educational technology and distance learning, as appropriate, to involve all the consortium partners more fully in the development and operation of programs;
4. include in-service training for teachers that--

- a. is designed to train vocational and technical teachers to effectively implement tech-prep programs;
  - b. provides for joint training for teachers in the tech-prep consortium;
  - c. is designed to ensure that teachers and administrators stay current with the needs, expectations, and methods of business and all aspects of an industry;
  - d. focuses on training postsecondary education faculty in the use of contextual and applied curricula and instruction; and
  - e. provides training in the use and application of technology;
5. include training programs for counselors designed to enable counselors to more effectively--
  - a. provide information to students regarding tech-prep education programs;
  - b. support student progress in completing tech-prep programs;
  - c. provide information on related employment opportunities;
  - d. ensure that such students are placed in appropriate employment; and
  - e. stay current with the needs, expectations, and methods of business and all aspects of an industry;
6. provide equal access, to the full range of technical preparation programs, to individuals who are members of special populations, including the development of tech-prep program services appropriate to the needs of special populations; and
7. provide for preparatory services that assist participants in tech-prep programs.

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## 7. Required Forms and Assurances

**Note:** Copies of the standard forms shown from this page forward are available at the U.S. Department of Education's Web site at <http://www.ed.gov/offices/OCFO/grants/appforms.html>.

1. Tech Prep Demonstration Program Consortium Agreement
2. Proposed Project Course Sequence Plan
3. Application for Federal Assistance (ED Form 424)
4. Budget Information, Non-Construction Programs (ED Form 524)
5. General Education Provisions Act (GEPA), Section 427
6. Assurances: Non-Construction Programs (SF 424B)
7. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (ED 80-0013)
8. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions (ED 80-0014)
9. Disclosure of Lobbying Activities (Form LLL)
10. Survey on Ensuring Equal Opportunity for Applicants

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**a. Tech Prep Demonstration Program Consortium Agreement**

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Tech Prep Demonstration Program  
**Consortium Agreement**

The entities listed below have formed a consortium to develop, implement, and sustain a Tech Prep Demonstration Program, as described under Section 207 of the Carl D. Perkins Vocational and Technical Education Act of 1998. Their roles and responsibilities are described below.

---

**Secondary School Commitment**

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In support of the program, the undersigned secondary school(s) agree to:

\_\_\_\_\_  
Entity

\_\_\_\_\_  
Name/Title

\_\_\_\_\_  
Signature

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**Community College Commitment**

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In support of the program, the undersigned community college agrees to:

\_\_\_\_\_  
Entity

\_\_\_\_\_  
Name/Title

\_\_\_\_\_  
Signature

---

**Business Member Commitment**

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In support of the program, the undersigned business partner(s) agrees to:

\_\_\_\_\_  
Entity

\_\_\_\_\_  
Name/Title

\_\_\_\_\_  
Signature

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 1830-0550. The time required to complete this information collection is estimated to average 2 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Karen Stratman Clark, Office of Vocational and Adult Education, U.S. Department of Education, 400 Maryland Avenue, S.W., MES, Room 5512, Washington D.C. 20202-4651.

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**b. Proposed Project Course Sequence Plan**

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**Proposed Project Course Sequence Plan**

Title of Program: \_\_\_\_\_

List course name and credit hours in appropriate boxes below.

Subject	Secondary				Postsecondary			
	Junior Year		Senior Year		Freshman Year		Sophomore Year	
Semester	Fall	Spring	Fall	Spring	Fall	Spring	Fall	Spring
Math								
English								
Science								
Humanities Social Science								
Humanities Social Science								
Technical Core								
Technical Core								
Other								
Other								

Summary of Project Entrance Requirements and Course Prerequisites:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Certificate or Degree Received

Key

- \* Student receives secondary credit only
- \*\* Student receives postsecondary credit only
- \*\*\* Student receives dual credit (secondary and postsecondary simultaneously)

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 1830-0550. The time required to complete this information collection is estimated to average 8 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Sylvia E. Lyles, Office of Vocational and Adult Education, U.S. Department of Education, 550 12<sup>th</sup> Street, S.W., Room 11053, Washington D.C. 20202-4651.



## Instructions for Form ED 424

1. **Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
2. **D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
3. **Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
4. **Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
5. **Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
6. **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 Form ED 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.
7. **Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
8. **Type of Applicant.** Enter the appropriate letter in the box provided.
9. **State Application Identifier.** State use only (if applicable).
10. **Type of Submission.** See "Definitions for Form ED 424" attached.
11. **Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (mm/dd/yyyy). Otherwise, check "No."
12. **Proposed Project Dates.** Please enter the month, day, and four (4) digit year (mm/dd/yyyy).
13. **Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 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 12 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 Form ED 424.")

- 13a. **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 Form ED 424." Insert this narrative immediately following the ED 424 face page.
- 13a. **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 Form ED 424." Insert this narrative immediately following the ED 424 face page.
- 13a. **Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) 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 face page, 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.

14. **Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.



15. **Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
16. **Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (mm/dd/yyyy) in the date signed field.

**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 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4700. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street SW, Room 7076, Washington, DC 20202-4260.

## Definitions for Form ED 424

**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.

**Type of Submission.** "Construction" includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). "Construction" also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term "equipment" includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

**Executive Order 12372.** The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to [http://12.46.245.173/pls/portal30/catalog.REQ\\_FOR\\_12372.show](http://12.46.245.173/pls/portal30/catalog.REQ_FOR_12372.show)

## 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 which 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 13 on the ED 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative and insert it immediately following the ED 424 face page.

### **A. Exempt Research Narrative.**

If you marked "Yes" for item 13 a. and designated exemption numbers(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### **B. Nonexempt Research Narrative.**

If you marked "No" for item 13 a. you must provide the "nonexempt research" narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

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

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

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

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

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

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

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

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



## Instructions for ED 524

### General Instructions

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

### Section A - Budget Summary U.S. Department of Education Funds

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

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

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

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

### **Smaller Learning Community Grant Program**

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

### Indirect Cost Information:

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

### Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for

each applicable budget category on lines 1-11 of Section B.

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

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

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

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

### Section C - Budget Narrative [Attach separate sheet(s)] Pay attention to applicable program specific instructions, if attached.

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

project year the breakdown of the specific expenses attributable to each sub-project or activity.

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

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

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

4. Provide other explanations or comments you deem necessary.

#### ***Paperwork Burden Statement***

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







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## 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.

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

including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503



Survey on Ensuring Equal  
Opportunity  
**FOR APPLICANTS**

*Do not enter information below unless instructed to do so.*

OMB No. 1890-0014 Exp. 1/31/2006

**Purpose:** This form is for applicants that are nonprofit private organizations (not including private universities). Please complete it to assist the Federal government in ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. Information provided on this form will not be considered in any way in making funding decisions and will not be included in the Federal grants database.

**Instructions for Submitting Survey**

**If submitting hard copy,** please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it with your application package.

**If submitting electronically,** please include the PR Award Number assigned to your e-application in the box above entitled "**Do not enter information below unless instructed to do so.**" Place and seal the completed survey in an envelope and mail it to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7<sup>th</sup> and D Streets, SW, ROB-3, Room 3671, Washington, DC 20202-4725.

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

Yes       No

2. 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

3. 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

4. Is the applicant a faith-based/religious organization?

Yes      No

5. Is the applicant a non-religious community-based organization?

Yes       No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

Yes       No

7. Has the applicant ever received a government grant or contract (Federal, State, or local )?

Yes       No

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

Yes       No

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## Survey Instructions on Ensuring Equal Opportunity for Applicant

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1. 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.
2. 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.
3. Annual budget means the amount of money your organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An “intermediary” is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory

### 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:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7<sup>th</sup> and D Streets, SW, ROB-3, Room 3671, Washington, DC 20202-4725.