

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

**FISCAL YEAR 2019**  
**APPLICATION FOR NEW GRANTS UNDER THE**  
***INDIVIDUALS WITH DISABILITIES EDUCATION ACT (IDEA)***

**EDUCATIONAL TECHNOLOGY, MEDIA, AND MATERIALS FOR**  
**INDIVIDUALS WITH DISABILITIES PROGRAM**  
**(CFDA 84.327)**

**APPLICATIONS FOR NEW AWARDS;**  
**STEPPING-UP TECHNOLOGY IMPLEMENTATION**

**(CFDA 84.327S)**



**DATED MATERIAL: OPEN IMMEDIATELY**

**CLOSING DATE: XXXX**

**FORM APPROVED —OMB No. 1820-0028, EXP. DATE: XXXX**

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**PAPERWORK BURDEN STATEMENT**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a currently valid OMB control number. The valid OMB control number for this collection is 1820-0028. Public reporting burden for this collection of information is estimated to average 45 hours and 40 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain a benefit (P.L. 108-446, Sec. 650 and 682). If you have comments or concerns regarding the status of your individual submission of this form, please contact the Office of Special Education Programs (OSEP) Discretionary Grant Programs, Office of Special Education and Rehabilitative Services, U.S. Department of Education, 400 Maryland Avenue, SW, Potomac Center Plaza, room 5008C, Washington D.C. 20202-5076 or by phone at 202-245-7542.

# APPLICANT LETTER

Dear Applicant:

This application packet contains information and the required forms for you to use in submitting a new application for funding under one program authorized by the Individuals with Disabilities Education Act (IDEA). This packet covers one competition under the Educational Technology, Media, and Materials for Individuals with Disabilities (CFDA 84.327) program—Applications for New Awards; Educational Technology, Media, and Materials for Individuals with Disabilities—Stepping-up Technology Implementation, (CFDA No. 84.327S).

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

Please note the following:

- **GRANTS.GOV APPLICATION SUBMISSION AND SAM REGISTRATION.**

Applications for grants under this competition **must** be submitted electronically using the Grants.gov Apply site ([www.Grants.gov](http://www.Grants.gov)). Please read carefully the **Grants.gov Submission Procedures and Tips for Applicants** document included on page B-33, which includes helpful tips about submitting electronically using the Grants.gov Apply site. Grants.gov registration involves many steps including registration on SAM ([www.sam.gov](http://www.sam.gov)) which may take approximately one week to complete, but could take as many as several weeks to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. Please note that once your SAM registration is active, it will take 24-48 hours for the information to be available in Grants.gov. **You cannot submit an application through Grants.gov until Grants.gov has received your SAM registration information. We strongly encourage you to familiarize yourself with SAM and Grants.gov and strongly recommend that you register *and* submit early.**

**Applicants are required to upload .PDF files only in a read only, flattened format.**

Please be aware that applications submitted to Grants.gov for the Department of Education will now be posted using Adobe forms. Information on computer and operating system compatibility with Adobe and links to download the latest version of Adobe are available on Grants.gov. Please note that you must follow the Application Procedures as described in the Federal Register notice announcing this grant competition. Information (including dates and times) about how to submit your application electronically can also be found in section D-1 of this application package, Application Transmittal Instructions and Requirements for Intergovernmental Review. Additional instructions for sending applications electronically are provided on page G-4, Application Forms and Instructions for Grants.gov Applications.

- **MAXIMUM AWARD AMOUNT.**

The competitions included in this package have maximum award amounts. Please refer to the specific information for the priority/competition to which you are submitting an application (i.e., Section B of this package) for detailed budget information for the total grant period requested. Please be advised that for the priority in this package, the maximum award amount covers all project costs including indirect costs.

- **RECOMMENDED PAGE LIMITS AND LINE SPACING OF APPLICATION NARRATIVE.**

The competitions included in this package limit the Part III Application Narrative to a recommended number of double-spaced pages. **This recommended page limitation and double-line spacing applies to all material presented in the application narrative. This recommended double-line spacing applies to all titles, headings, footnotes, quotations, reference citations, and captions, as well as all text in charts, tables, figures, graphs, screen shots, and logic models included in the application narrative.** (Please refer to the specific recommendations on page limits for the priority/competition to which you are submitting an application, Section B of this package).

- **FORMAT FOR OTHER SECTIONS OF THE APPLICATION.**

Additional information regarding formatting applications has been included on Pages D-3 and D-4 of the “General Information on Completing an Application” section of this package.

Appendix A: Reviewers will be instructed to review the content of Appendix A as they do the application narrative. Reviewers will not be required to review any other appendices.

**Charts, tables, figures, graphs, screen shots and logic models that provide information directly relating to the application requirements for the narrative should be the only items included in Appendix A. Appendix A should not be used for supplementary information. Please note that charts, tables, figures, graphs, screen shots, and logic models can be single-spaced when placed in an Appendix A.**

**Abstract:** For the application Abstract, applicants should use the template located at: <https://www2.ed.gov/programs/oseptms/applicant.html>

- **ABSOLUTE PRIORITIES AND COMPETITIVE PREFERENCE PRIORITY.**

This competition includes one absolute priority and one competitive preference priority. The Department will use peer reviewers to review and score applications on the selection criteria.

- Prior to the peer review, Department staff will determine if an application has met the absolute priority and is eligible for peer review. An application that has not met the absolute priority will not be considered for funding and may not be reviewed. Department staff will assign competitive preference priority points to applications meeting the competitive preference priority, up to a total of two points.

- **EVIDENCE OF EFFECTIVENESS FORM.**

Applicants must complete the Evidence of Effectiveness Form for the proposed project. You must include this form in your application when submitting in [Grants.gov](https://www.grants.gov). It is available on the [Grants.gov](https://www.grants.gov) website.

To complete the form, select the level of evidence (Promising Evidence, Moderate Evidence, or Strong Evidence) for which you are applying. Note that your project must meet the evidence requirements outlined in the NIA. Refer to the NIA for definitions of Moderate Evidence and Promising Evidence. You may submit up to two studies to meet the evidence requirements.

Next, complete the Citation and Relevance chart for each of the studies you are submitting to meet the evidence standards. For each study, you must provide the citation, the relevant findings, and the overlap of population and settings.

For additional guidance and examples, see Page 2 of the form.

- **PROTECTION OF HUMAN SUBJECTS IN RESEARCH.**

The discretionary grant Application Form SF-424 requires applicants to indicate whether they plan to conduct research involving human subjects at any time during the proposed project period. The Protection of Human Subjects in Research Attachment is an integral part of the SF-424 form. It includes information that applicants need to complete the protection of human subjects item and, as appropriate, to provide additional information to the Department regarding human subjects research projects. Additional information on completing the protection of human subjects item is also available and can be accessed on the internet at:

[www.ed.gov/about/offices/list/ocfo/gcsindex.html](http://www.ed.gov/about/offices/list/ocfo/gcsindex.html)

[www.ed.gov/about/offices/list/ocfo/humansub.html](http://www.ed.gov/about/offices/list/ocfo/humansub.html)

- **RESPONSE TO GPRA.**

As required by the Government Performance and Results Modernization Act (GPRA) of 2010 the Office of Special Education Programs (OSEP) has developed a strategic plan for measuring GPRA performance. The program included in this announcement is authorized under Part D - National Activities to Improve Education of Children with Disabilities of the Individuals with Disabilities Education Act. Projects funded under this competition are required to submit data on GPRA performance measures as directed by OSEP. See [Performance](#)

Measures included in the Priority Description section of this application package. Applicants are encouraged to consider this information when preparing their applications.

- **COPIES OF THE APPLICATION.**

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

**ADDITIONAL INFORMATION**

OSEP also provides information on developing performance measures and logic models at <https://www.osepideastthatwork.org/logicModel> to assist you in preparing a quality application. For information about other U.S. Department of Education grant and contract opportunities, we encourage you to use the Department's grant information web page which can be accessed on the internet at:

<http://www.ed.gov/about/offices/list/ocfo/grants/grants.html>

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

Sincerely,

*/s/*

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Lawrence J. Wexler, Ed.D.

Directory

Research to Practice Division

Office of Special Education Programs



# NOTICE INVITING APPLICATIONS

## FEDERAL REGISTER NOTICE

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4000-01-U

DEPARTMENT OF EDUCATION

**Applications for New Awards; Educational Technology, Media, and Materials for Individuals with Disabilities Program—Stepping-up Technology Implementation,**

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

**ACTION: Notice.**

**Overview Information:**

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Educational Technology, Media, and Materials for Individuals with Disabilities Program—Stepping-up Technology Implementation,

Notice inviting applications for new awards for fiscal year (FY) 2019.

Catalog of Federal Domestic Assistance (CFDA) Number: **84.327S**.

**Dates:**

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Applications Available: **XXXX**.

Deadline for Transmittal of Applications: **XXXX**.

**Addresses:**

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For the addresses for obtaining and submitting an application, please refer to our Common Instructions for Applicants to Department of Education Discretionary Grant Programs, published in the *Federal Register* on February 13, 2019 (84 FR 3768) and available at [www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf](http://www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf).

**For Further Information Contact:**

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Terry Jackson  
U.S. Department of Education  
400 Maryland Avenue, SW  
Room 5158, Potomac Center Plaza  
Washington, DC 20202-5076.

Telephone: (202) 245-6039.

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

## **SUPPLEMENTARY INFORMATION**

### **FULL TEXT OF ANNOUNCEMENT**

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#### **I. Funding Opportunity Description**

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##### **Purpose of Program:**

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The purposes of the Educational Technology, Media, and Materials for Individuals with Disabilities are to:

- (1) improve results for students with disabilities by promoting the development, demonstration, and use of technology;
- (2) support educational activities designed to be of educational value in the classroom for students with disabilities;
- (3) provide support for captioning and video description that is appropriate for use in the classroom; and
- (4) provide accessible educational materials to students with disabilities in a timely manner.<sup>1</sup>

##### **Priority:**

In accordance with 34 CFR 75.105(b)(2)(v), this priority is from allowable activities specified in the statute (see sections 674(b)(2) and 681(d) of the Individuals with Disabilities Education Act (IDEA); 20 U.S.C. 1474(b) and 1481(d)).

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<sup>1</sup> Applicants should note that other laws, including the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.; 28 CFR part 35) and section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794; 34 CFR part 104), may require that State educational agencies and local educational agencies provide captioning, video description, and other accessible educational materials to students with disabilities when such materials are necessary to provide students with disabilities with equally integrated and equally effective access to the benefits of the educational program or activity, or as part of a “free appropriate public education” as defined in the Department of Education’s Section 504 regulation.

**Absolute Priority:**

For FY 2019 and any subsequent year in which we make awards from the list of unfunded applications from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c) (3), we consider only applications that meet this priority.

This priority is:

**Stepping-up Technology Implementation.****Background:**

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The mission of the Office of Special Education and Rehabilitative Services (OSERS) is to improve early childhood, educational, and employment outcomes and raise expectations for all people with disabilities, their families, their communities, and the Nation.

The purpose of this priority is to fund three cooperative agreements to: identify strategies needed to effectively implement evidence-based (as defined in this notice) technology tools<sup>2</sup> that benefit students with disabilities and children or students with high needs,<sup>3</sup> and develop and disseminate products<sup>4</sup> that will help a broad range of sites to effectively implement these technology tools. This priority is consistent with Priority 5 of the Secretary's Final Supplemental Priorities and Definitions for Discretionary Grant Programs (Supplemental Priorities)<sup>5</sup>--Meeting

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<sup>2</sup> For the purposes of this priority, "technology tools" may include, but are not limited to, digital math text readers for students with visual impairments, reading software to improve literacy and communication development, and text-to-speech software to improve reading performance. These tools must assist or otherwise benefit students with disabilities.

<sup>3</sup> For the purposes of this priority, "children or students with high needs" means children or students at risk of educational failure or otherwise in need of special assistance or support, such as children and students who are living in poverty, who are English Learners, who are academically far below grade level, who have left school before receiving a regular high school diploma, who are at risk of not graduating with a regular high school diploma on time, who are homeless, who are in foster care, who have been incarcerated, or are children or students with disabilities.

<sup>4</sup> For the purposes of this priority, "products" may include, but are not limited to, instruction manuals, lesson plans, demonstration videos, ancillary instructional materials, and professional development modules such as collaborative groups, coaching, mentoring, or online supports.

<sup>5</sup> The Secretary's Final Supplemental Priorities and Definitions for Discretionary Grant Programs was published in the *Federal Register* on March 2, 2018 (83 FR 9096) and can be found at

[www.gpo.gov/fdsys/pkg/FR-2018-03-02/pdf/2018-04291.pdf](http://www.gpo.gov/fdsys/pkg/FR-2018-03-02/pdf/2018-04291.pdf).

the Unique Needs of Students and Children With Disabilities and/or Those With Unique Gifts and Talents; and Priority 2 of the Supplemental Priorities--Promoting Innovation and Efficiency, Streamlining Education With an Increased Focus on Improving Student Outcomes, and Providing Increased Value to Students and Taxpayers. Priority 5 emphasizes meeting the unique needs of students with disabilities, including their academic needs, by offering students the opportunity to meet challenging objectives and receive an educational program that is both meaningful and appropriately ambitious in light of each student's circumstances. Priority 2 emphasizes supporting innovative strategies or research that has the potential to lead to significant and wide-reaching improvements in the delivery of educational services or other significant and tangible educational benefits to students, educators, or other Department stakeholders.

Congress recognized in IDEA that “almost 30 years of research and experience has demonstrated that the education of children with disabilities can be made more effective by ... supporting the development and use of technology, including assistive technology devices and assistive technology services, to maximize accessibility for children with disabilities” (section 601(c)(5) of IDEA).

The use of technology, including assistive technology devices and assistive technology services, enhances instruction and access to the general education curriculum. “Innovative technology tools, programs, and software can be used to promote engagement and enhance the learning experience” (Brunvand & Byrd, 2011). Innovative technology tools and programs are especially helpful as educators work to engage and motivate students who struggle with the general education curriculum. However, having access alone does not translate to outcomes. Judge et al. (2004) argued that there is a rapid expansion in technology in early childhood settings, and teachers need support in understanding its usage and value to ensure quality learning experiences for young students. When teachers receive the necessary professional development supports to use technology effectively, technology integration in early childhood settings has been demonstrated to increase social awareness and collaborative behaviors, improve abstract reasoning and problem solving abilities, and enhance visual-motor coordination (McManis & Gunnewig, 2012).

Technologies (e.g., online career-readiness tools, computer-based writing tools to support literacy, web-based curriculum to support 21st-century learning) can support State educational agencies (SEAs) and local educational agencies (LEAs) by: (a) improving student learning and

engagement; (b) accommodating the special needs of students; (c) facilitating student and teacher access to digital content and resources; and (d) improving the quality of instruction through personalized learning and data (Duffey & Fox, 2012; Fletcher, Schaffhauser, & Levi, 2012; U.S. Department of Education, 2010). As stipulated in section 4109 of the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act (ESSA), technologies can be used to support LEAs and SEAs to increase student access to personalized, rigorous learning experiences.

Notwithstanding the potential benefits of using technology to improve learning outcomes, research suggests that implementation can be a significant challenge. For example, data from a survey of more than 1,000 kindergarten through grade 12 (K-12) teachers, principals, and assistant principals indicated that more than half of teachers who did not use technology identified issues of implementation (e.g., necessity, applicability to lessons) rather than availability as reasons for their non-use (Grunwald & Associates, 2010). Additionally, “research indicates that technology must be used in ways that align with curricular and teacher goals, and offer students opportunities to use these tools in their learning” (Center on Innovation and Improvement, 2011). Even as schools have started to deliver coursework online, and the number of students involved in online learning has grown, many of these online learning technologies are not readily accessible to students with disabilities (Center on Online Learning and Students with Disabilities, 2012). These findings demonstrate a need for products and resources that can assist educators to readily implement technology tools for students with disabilities.

In response to this need, Stepping-up Technology Implementation projects have built on technology development efforts by identifying, developing, and disseminating products and resources that promote the effective implementation<sup>6</sup> of instructional and assistive technology tools in early childhood programs or K-12 settings.<sup>7</sup>

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<sup>6</sup> In this context, “effective implementation” means “making better use of research findings in typical service settings through the use of processes and activities (such as accountable implementation teams) that are purposeful and described in sufficient detail such that independent observers can detect the presence and strength of these processes and activities” (Fixsen, Naoom, Blase, Friedman, & Wallace, 2005).

<sup>7</sup> For the purposes of this priority, “settings” include: general education classrooms; special education classrooms; high-quality early childhood programs; private schools; home education; after school programs; juvenile justice facilities; and settings other than those listed above in which students may receive services under IDEA.

**Priority:**

The purpose of this priority is to fund three cooperative agreements to: (a) identify strategies needed to readily implement existing evidence-based technology tools that benefit students with disabilities and children or students with high needs; and (b) develop and disseminate products (See footnote 3; e.g., instruction manuals, lesson plans, demonstration videos, ancillary instructional materials) that will assist personnel in early childhood programs or K-12 settings to readily use, understand, and implement these technology tools.

To be considered for funding under this priority, applicants must meet the application requirements. Any project funded under this absolute priority must also meet the programmatic and administrative requirements specified in the priority.

**Application Requirements**

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An applicant must include in its application--

- (a) A project design that is evidence-based;
- (b) A logic model (as defined in this notice) or conceptual framework that depicts at a minimum, the goals, activities, project evaluation, methods, performance measures, outputs, and outcomes of the proposed project.

Note: The following websites provide more information on logic models and conceptual frameworks: [www.osepideasthatwork.org/logicModel](http://www.osepideasthatwork.org/logicModel);  
[www.osepideasthatwork.org/resources-grantees/program-areas/ta-ta/tad-project-logic-model-and-conceptual-framework](http://www.osepideasthatwork.org/resources-grantees/program-areas/ta-ta/tad-project-logic-model-and-conceptual-framework);

[www2.ed.gov/policy/elsec/leg/essa/guidanceuseseseinvestment.pdf](http://www2.ed.gov/policy/elsec/leg/essa/guidanceuseseseinvestment.pdf); and

<http://ies.ed.gov/pubsearch/pubsinfo.asp?pubid=REL2015057>.

- (c) A plan to implement the activities described in the Project Activities section of this priority;
- (d) A plan, linked to the proposed project's logic model, for a formative evaluation of the proposed project's activities. The plan must describe how the formative evaluation will use clear performance objectives to ensure continuous improvement in the operation of the

proposed project, including objective measures of progress in implementing the project and ensuring the quality of products and services;

- (e) Documentation ensuring that the final products disseminated to help sites effectively implement technology tools will be both open educational resources (OER)<sup>8</sup> and licensed through an open access licensing authority;
- (f) Documentation that the technology tool used by the project is fully developed,<sup>9</sup> evidence-based, and addresses, at a minimum, the following principles of universal design for learning:
  - (1) Multiple means of presentation so that students can approach information in more than one way (e.g., specialized software and websites, screen readers that include features such as text-to-speech, changeable color contrast, alterable text size, or selection of different reading levels);
  - (2) Multiple means of expression so that all students can demonstrate knowledge through options such as writing, online concept mapping, or speech-to-text programs, where appropriate; and
  - (3) Multiple means of engagement to stimulate interest in and motivation for learning (e.g., options among several different learning activities or content for a particular competency or skill and providing opportunities for increased collaboration or scaffolding);<sup>10</sup>
- (g) A plan for how the project will sustain project activities after funding ends;
- (h) A plan, which includes appropriate consideration of sites other than traditional public elementary and secondary school settings, including private schools, after school programs,

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<sup>8</sup> Open educational resources (OER) are teaching and learning materials that the public may freely use and reuse at no cost. Unlike fixed, copyrighted resources, OER have been authored or created by an individual or organization that chooses to retain few, if any, ownership rights. Retrieved from [www.oercommons.org/about](http://www.oercommons.org/about).

<sup>9</sup> A technology that is “fully developed” is a completed, existing technology that is ready to be implemented. Any enhancements or additions to the existing technology should be minor and time-limited, and must be completed before the end of year two.

<sup>10</sup> For more information on the principles of universal design, see [www.udlcenter.org/aboutudl/whatisudl/3principles](http://www.udlcenter.org/aboutudl/whatisudl/3principles).



juvenile justice facilities, early childhood programs, and settings where students are supported under IDEA, for recruiting and selecting<sup>11</sup> the following:

- (1) Three development sites. Development sites are the sites in which iterative development<sup>12</sup> of the products and resources intended to support the implementation of technology tools will occur. The project must start implementing the technology tool with one development site in year one of the project period and two additional development sites in year two;
- (2) Four pilot sites. Pilot sites are the sites in which try-out, formative evaluation, and refinement of the products and resources will occur. The project must work with the four pilot sites during years three and four of the project period; and
- (3) Ten dissemination sites. Dissemination sites will be selected if the project is extended for a fifth year. Dissemination sites will be used to (a) refine the products for use by teachers and (b) evaluate the performance of the tool. Dissemination sites will receive less technical assistance (TA) from the project than development or pilot sites. Also, at this stage (i.e., the fifth year), dissemination sites will extend the benefits of the technology tool to additional students. To be selected as a dissemination site, eligible sites must commit to working with the project to implement the evidence-based technology tool.

**Note:** A site may not serve in more than one category (i.e., development, pilot, dissemination).

**Note:** A minimum of two of the seven development and pilot sites must be in settings other than traditional public elementary and secondary schools. A minimum of three of the 10 dissemination sites must be in settings other than traditional public elementary and secondary schools. These non-traditional sites must otherwise meet the requirements of each category listed earlier.

- (i) School site information (e.g., elementary, middle, high school, or early childhood programs, high-quality early childhood programs, private schools, after school programs, juvenile justice facilities, and settings where students are supported under IDEA; schools identified

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<sup>11</sup> For more information on recruiting and selecting sites, refer to Assessing Sites for Model Demonstration: Lessons Learned from OSEP Grantees at [http://mdcc.sri.com/documents/MDCC\\_Site\\_Assessment\\_Brief\\_09-30-11.pdf](http://mdcc.sri.com/documents/MDCC_Site_Assessment_Brief_09-30-11.pdf).

<sup>12</sup> For the purposes of this priority, “iterative development” refers to a process of testing, systematically securing feedback, and then revising the educational intervention to increase the likelihood that it will be implemented with fidelity (Diamond & Powell, 2011).

for comprehensive or targeted support and improvement (in accordance with section 1111(c)(4)(C)(iii), (c)(4)(D), or (d)(2)(C)-(D) of the ESEA) about the development, pilot, and dissemination sites, including student demographics (e.g., race or ethnicity, percentage of students eligible for free or reduced-price lunch) and other pertinent data; and

(j) A budget for attendance at the following:

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

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

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

(3) Two annual two-day trips to attend Department briefings, Department-sponsored conferences, and other meetings, as requested by OSEP.

Project Activities:

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

(a) Recruit a minimum of three development sites and four pilot sites in accordance with the plan proposed under paragraphs (h) and (i) of the Application Requirements section of this notice.

**Note:** Final site selection will be determined in consultation with the OSEP project officer following the kick-off meeting.

(b) Identify and develop resources and products that, when used to support the implementation of the technology tool, create accessible learning opportunities for all children, including children with disabilities, and children or students with high needs and support the sustained implementation of the selected technology tool. Development of the products must be an

iterative process beginning in a single development school and continuing through repeated cycles of development and refinement in the other development sites, followed by a formative evaluation and refinement in the pilot sites. To support implementation of the technology tool the products and resources must, at a minimum, include:

- (1) An instrument or method for assessing--
  - (i) The school staff's current technology uses and needs, current technology investments, firewall issues, and the knowledge and availability of dedicated on-site technology personnel;
  - (ii) The readiness of development and pilot sites to implement the technology tool. Any instruments and methods for assessing readiness may include resource inventory checklists, school self-study guides, and surveys of teachers' interests; and
  - (iii) Whether the technology tool has achieved its intended outcomes.
- (c) Provide ongoing professional development activities necessary for teachers to implement the technology tool with fidelity and to integrate it into the curriculum.
- (d) Collect and analyze data on whether the technology tool has achieved its intended outcomes for early childhood development, K-12, or college- and career-readiness.
- (e) Collect formative and summative data from the development and pilot sites to refine and evaluate the products.
- (f) If the project is extended to a fifth year--
  - (1) Provide the products and the technology tool to no fewer than 10 dissemination sites that are not the same used as development or pilot sites; and
  - (2) Collect summative data about the success of the project's products and services in supporting implementation of the technology tool in the dissemination sites.
- (g) By the end of the project period, provide--

- (1) Information on the products and resources, as supported by the project evaluation, including any accessibility features, that will enable other sites to implement and sustain implementation of the technology tool;
- (2) Information on the technology implementation report, including data on how teachers used the technology, data on how technology impacted student outcomes, how technology was implemented with fidelity, and features of universal design for learning;
- (3) Information on how the technology tool contributed to changed practices and improved early childhood outcomes, academic achievement, or college- and career-readiness for children with disabilities, as well as children or students with high needs (e.g., data to assess how well the project addressed the goals of the project as described in the logic model); and
- (4) A plan for disseminating the technology tool and accompanying products beyond the sites directly involved in the project.

### **Cohort Collaboration and Support**

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OSEP project officer(s) will provide coordination support among the projects. Each project funded under this priority must:

- (a) Participate in monthly conference-call discussions to share and collaborate on implementation and specific project issues; and
- (b) Provide information annually using a template that captures descriptive data on project site selection, processes for installation of technology, and the use of technology and sustainability (i.e., the process of technology implementation).

Note: The following website provides more information about implementation research:  
<http://nirn.fpg.unc.edu/learn-implementation>.

### **Fifth Year of Project**

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The Secretary may extend a project one year beyond 48 months to work with dissemination sites if the grantee is achieving the intended outcomes of the project (as demonstrated by data gathered as part of the project evaluation) and making a positive contribution to the implementation of an evidence-based technology tool with fidelity in the development and pilot sites. Each applicant must include in its application a plan for the full 60-month period. In

deciding whether to continue funding the project for the fifth year, the Secretary will consider the requirements of 34 CFR 75.253(a), and will consider:

- (a) The recommendation of a review team consisting of the OSEP project officer and other experts selected by the Secretary. This review will be held during the last half of the third year of the project period;
- (b) The success and timeliness with which the requirements of the negotiated cooperative agreement have been or are being met by the project; and
- (c) The degree to which the project's activities have contributed to changed practices and improved early childhood outcomes, academic achievement, or college- and career-readiness for students with disabilities.

#### **Competitive Preference Priority:**

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Within this absolute priority, we give competitive preference to applications that address the following priority. The competitive preference priority is from allowable activities in sections 674(c)(1)(D) and 681(d) of IDEA. Under 34 CFR 75.105(c)(2)(i), we award an additional two points to an application that meets the competitive preference priority. Applicants should indicate in the abstract if the competitive preference priority is addressed and must address the priority in the narrative section.

This competitive preference priority is:

#### **Projects that Support English Learners in Reading (Two Points).**

To meet this competitive preference priority, projects must implement an evidence-based technology tool designed to help teachers use culturally responsive teaching practices<sup>13</sup> to meet the cultural and linguistic needs of English Learners (ELs) and improve their language acquisition, language development, and reading. To meet the competitive preference priority, a project must:

- (a) Implement a culturally responsive reading curriculum that provides learning opportunities through a variety of media; and

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<sup>13</sup> Culturally responsive teaching practices can be defined as “using the cultural knowledge, prior experiences, frames of reference, and performance styles of ethnically diverse students to make learning encounters more relevant to and effective for them” (Gay, 2010).

- (b) Develop and disseminate products and resources (e.g., instruction manuals, lesson plans, demonstration videos, ancillary instructional materials) that will assist teachers in K-12 settings to implement the technology.

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## **Definitions:**

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The following definitions are from 34 CFR 77.1:

Demonstrates a rationale means a key project component included in the project's logic model is informed by research or evaluation findings that suggest the project component is likely to improve relevant outcomes.

Evidence-based means the proposed project component is supported by one or more of strong evidence, moderate evidence, promising evidence, or evidence that demonstrates a rationale.

Experimental study means a study that is designed to compare outcomes between two groups of individuals (such as students) that are otherwise equivalent except for their assignment to either a treatment group receiving a project component or a control group that does not. Randomized controlled trials, regression discontinuity design studies, and single-case design studies are the specific types of experimental studies that, depending on their design and implementation (e.g., sample attrition in randomized controlled trials and regression discontinuity design studies), can meet What Works Clearinghouse (WWC) standards without reservations as described in the WWC Handbook:

- (i) A randomized controlled trial employs random assignment of, for example, students, teachers, classrooms, or schools to receive the project component being evaluated (the treatment group) or not to receive the project component (the control group).
- (ii) A regression discontinuity design study assigns the project component being evaluated using a measured variable (e.g., assigning students reading below a cutoff score to tutoring or developmental education classes) and controls for that variable in the analysis of outcomes.
- (iii) A single-case design study uses observations of a single case (e.g., a student eligible for a behavioral intervention) over time in the absence and presence of a controlled treatment manipulation to determine whether the outcome is systematically related to the treatment.

Logic model (also referred to as a theory of action) means a framework that identifies key project components of the proposed project (i.e., the active “ingredients” that are hypothesized to be critical to achieving the relevant outcomes) and describes the theoretical and operational relationships among the key project components and relevant outcomes.

Moderate evidence means that there is evidence of effectiveness of a key project component in improving a relevant outcome for a sample that overlaps with the populations or settings proposed to receive that component, based on a relevant finding from one of the following:

- (i) A practice guide prepared by the WWC using version 2.1 or 3.0 of the WWC Handbook reporting a “strong evidence base” or “moderate evidence base” for the corresponding practice guide recommendation;
  - (ii) An intervention report prepared by the WWC using version 2.1 or 3.0 of the WWC Handbook reporting a “positive effect” or “potentially positive effect” on a relevant outcome based on a “medium to large” extent of evidence, with no reporting of a “negative effect” or “potentially negative effect” on a relevant outcome; or
  - (iii) A single experimental study or quasi-experimental design study reviewed and reported by the WWC using version 2.1 or 3.0 of the WWC Handbook, or otherwise assessed by the Department using version 3.0 of the WWC Handbook, as appropriate, and that--
- (A) Meets WWC standards with or without reservations;



- (B) Includes at least one statistically significant and positive (i.e., favorable) effect on a relevant outcome;
- (C) Includes no overriding statistically significant and negative effects on relevant outcomes reported in the study or in a corresponding WWC intervention report prepared under version 2.1 or 3.0 of the WWC Handbook; and
- (D) Is based on a sample from more than one site (e.g., State, county, city, school district, or postsecondary campus) and includes at least 350 students or other individuals across sites. Multiple studies of the same project component that each meet requirements in paragraphs (iii)(A), (B), and (C) of this definition may together satisfy this requirement.

Project component means an activity, strategy, intervention, process, product, practice, or policy included in a project. Evidence may pertain to an individual project component or to a combination of project components (e.g., training teachers on instructional practices for English learners and follow-on coaching for these teachers).

Promising evidence means that there is evidence of the effectiveness of a key project component in improving a relevant outcome, based on a relevant finding from one of the following:

- (i) A practice guide prepared by WWC reporting a “strong evidence base” or “moderate evidence base” for the corresponding practice guide recommendation;
- (ii) An intervention report prepared by the WWC reporting a “positive effect” or “potentially positive effect” on a relevant outcome with no reporting of a “negative effect” or “potentially negative effect” on a relevant outcome; or
- (iii) A single study assessed by the Department, as appropriate, that--
  - (A) Is an experimental study, a quasi-experimental design study, or a well-designed and well-implemented correlational study with statistical controls for selection bias (e.g., a study using regression methods to account for differences between a treatment group and a comparison group); and
  - (B) Includes at least one statistically significant and positive (i.e., favorable) effect on a relevant outcome.

Quasi-experimental design study means a study using a design that attempts to approximate an experimental study by identifying a comparison group that is similar to the treatment group in important respects. This type of study, depending on design and implementation (e.g., establishment of baseline equivalence of the groups being compared), can meet WWC standards with reservations, but cannot meet WWC standards without reservations, as described in the WWC Handbook.

Relevant outcome means the student outcome(s) or other outcome(s) the key project component is designed to improve, consistent with the specific goals of the program.

Strong evidence means that there is evidence of the effectiveness of a key project component in improving a relevant outcome for a sample that overlaps with the populations and settings proposed to receive that component, based on a relevant finding from one of the following:

- (i) A practice guide prepared by the WWC using version 2.1 or 3.0 of the WWC Handbook reporting a “strong evidence base” for the corresponding practice guide recommendation;
- (ii) An intervention report prepared by the WWC using version 2.1 or 3.0 of the WWC Handbook reporting a “positive effect” on a relevant outcome based on a “medium to large” extent of evidence, with no reporting of a “negative effect” or “potentially negative effect” on a relevant outcome; or
- (iii) A single experimental study reviewed and reported by the WWC using version 2.1 or 3.0 of the WWC Handbook, or otherwise assessed by the Department using version 3.0 of the WWC Handbook, as appropriate, and that--
  - (A) Meets WWC standards without reservations;
  - (B) Includes at least one statistically significant and positive (i.e., favorable) effect on a relevant outcome;
  - (C) Includes no overriding statistically significant and negative effects on relevant outcomes reported in the study or in a corresponding WWC intervention report prepared under version 2.1 or 3.0 of the WWC Handbook; and
  - (D) Is based on a sample from more than one site (e.g., State, county, city, school district, or postsecondary campus) and includes at least 350 students or other individuals across sites.

Multiple studies of the same project component that each meet requirements in paragraphs (iii)(A), (B), and (C) of this definition may together satisfy this requirement.

What Works Clearinghouse Handbook (WWC Handbook) means the standards and procedures set forth in the WWC Procedures and Standards Handbook, Version 3.0 or Version 2.1 (incorporated by reference, see 34 CFR 77.2). Study findings eligible for review under WWC standards can meet WWC standards without reservations, meet WWC standards with reservations, or not meet WWC standards. WWC practice guides and intervention reports include findings from systematic reviews of evidence as described in the Handbook documentation.

#### **Waiver of Proposed Rulemaking:**

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Under the Administrative Procedure Act (APA) (5 U.S.C. 553) the Department generally offers interested parties the opportunity to comment on proposed priorities and requirements. Section 681(d) of IDEA, however, makes the public comment requirements of the APA inapplicable to the priority in this notice.

#### **Program Authority:**

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20 U.S.C. 1474 and 1481.

#### **Applicable Regulations:**

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- (a) The Education Department General Administrative Regulations in 34 CFR parts 75, 77, 79, 81, 82, 84, 86, 97, 98, and 99.
- (b) The Office of Management and Budget Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) in 2 CFR part 180, as adopted and amended as regulations of the Department in 2 CFR part 3485.
- (c) The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR part 200, as adopted and amended in 2 CFR part 3474.

**Note:** The regulations in 34 CFR part 79 apply to all applicants except federally recognized Indian tribes.

**Note:** The regulations in 34 CFR part 86 apply to institutions of higher education (IHEs) only.

## II. AWARD INFORMATION

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**Type of Award:**

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Cooperative agreements.

**Estimated Available Funds:**

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\$1,500,000.

Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2019 from the list of unfunded applications from this competition.

**Estimated Range of Awards:**

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\$450,000 to \$500,000 per year

**Estimated Average Size of Award:**

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\$475,500 per year

**Maximum Award:**

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We will not make an award exceeding \$500,000 for a single budget period of 12 months.

**Estimated Number of Awards:**

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3.

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

**Project Period:**

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Up to 48 months.

### III. ELIGIBILITY INFORMATION

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#### 1. Eligible Applicants:

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SEAs; LEAs, including public charter schools that operate as LEAs under State law; IHEs; other public agencies; private nonprofit organizations; freely associated States and outlying areas; Indian Tribes or Tribal organizations; and for-profit organizations.

#### 2. Cost Sharing or Matching:

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This program does not require cost sharing or matching.

#### 3. Eligible Subgrantees:

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- (a) Under 34 CFR 75.708(b) and (c) a grantee may award subgrants--to directly carry out project activities described in its application--to the following types of entities: IHEs and private nonprofit organizations suitable to carry out the activities proposed in the application.
- (b) The grantee may award subgrants to entities it has identified in an approved application.

#### 4. Other: General Requirements:

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- (a) The projects funded under this competition must make positive efforts to employ, and advance in employment, qualified individuals with disabilities (see section 606 of IDEA).
- (b) The applicant and grant recipient funded under this competition must involve individuals with disabilities or parents of individuals with disabilities ages birth through 26 in planning, implementing, and evaluating the project (see section 682(a)(1)(A) of IDEA).

## IV. APPLICATION AND SUBMISSION INFORMATION

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### 1. Application Submission Instructions:

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For information on how to submit an application please refer to our Common Instructions for Applicants to Department of Education Discretionary Grant Programs, published in the *Federal Register* on February 13, 2019 (84 FR 3468) and available at

[www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf](http://www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf).

### 2. Intergovernmental Review:

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This competition is subject to Executive Order 12372 and the regulations in 34 CFR part 79. However, under 34 CFR 79.8(a), we waive intergovernmental review in order to make awards by the end of FY 2019.

### 3. Funding Restrictions:

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

### 4. Recommended Page Limit:

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The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. We recommend that you (1) limit the application narrative to no more than 50 pages and (2) use the following standards:

- A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the **application narrative** section, including titles, headings, footnotes, quotations, reference citations, and captions, as well as all text in charts, tables, figures, graphs, screen shots, and logic models.
- Use a font that is 12 point or larger.
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.

The recommended page limit and double-spacing do not apply to Part I, the cover sheet; Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; or the abstract (follow the guidance provided in the application package for completing the abstract), the table of contents, the list of priority requirements, the resumes, the reference list, the letters of support, or the appendices. However, the recommended page limit

and double-spacing do apply to all of Part III, the application narrative, including all text in titles, headings, footnotes, quotations, reference citations, and captions, as well as charts, tables, figures, graphs, screen shots, and logic models.

## V. APPLICATION REVIEW INFORMATION

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### 1. Selection Criteria:

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The selection criteria for this program are from 34 CFR 75.210 and are as follows:

#### **(a) Significance** **(10 points).**

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- (1) The Secretary considers the significance of the proposed project.
- (2) In determining the significance of the proposed project, the Secretary considers the following factors:
  - (i) The significance of the problem or issue to be addressed by the proposed project;
  - (ii) The magnitude or severity of the problem to be addressed by the proposed project;
  - (iii) The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses;
  - (iv) The potential contribution of the proposed project to increased knowledge or understanding of educational problems, issues, or effective strategies; and
  - (v) The potential replicability of the proposed project or strategies, including, as appropriate, the potential for implementation in a variety of settings.

#### **(b) Quality of Project Services** **(25 points).**

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- (1) The Secretary considers the quality of the services to be provided by the proposed project.
- (2) In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age or disability.
- (3) In addition, the Secretary considers the following factors:
  - (i) The extent to which the services to be provided by the proposed project reflect up-to-date knowledge from research and effective practice;
  - (ii) The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services;
  - (iii) The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project services;



- (iv) The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services; and
- (v) The likely impact of the services to be provided by the proposed project on the intended recipients of those services.

**(c) Quality of Project Design** **(20 points).**

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- (1) The Secretary considers the quality of the design of the proposed project.
- (2) In determining the quality of the design of the proposed project, the Secretary considers the following factors:
  - (i) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable;
  - (ii) The extent to which the design of the proposed project includes a thorough, high-quality review of the relevant literature, a high-quality plan for project implementation, and the use of appropriate methodological tools to ensure successful achievement of project objectives;
  - (iii) The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs;
  - (iv) The extent to which the design for implementing and evaluating the proposed project will result in information to guide possible replication of project activities or strategies, including information about the effectiveness of the approach or strategies employed by the project; and
  - (v) The extent to which there is a conceptual framework underlying the proposed research or demonstration activities and the quality of that framework.

**(d) Quality of Management Plan** **(20 points).**

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- (1) The Secretary considers the quality of the management plan for the proposed project.
- (2) In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:
  - (i) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks;
  - (ii) The extent to which the time commitments of the project director and principal investigator, and other key project personnel are appropriate and adequate to meet the objectives of the proposed project;

- (iii) The adequacy of mechanisms for ensuring high-quality products and services from the proposed project;
- (iv) How the applicant will ensure that a diversity of perspectives are brought to bear in the operation of the proposed project, including those of parents, teachers, the business community, a variety of disciplinary and professional fields, recipients or beneficiaries of services, or others, as appropriate; and
- (v) The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project.

**(e) Adequacy of the Resources****10 points.**

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- (1) The Secretary considers the adequacy of resources for the proposed project.
- (2) In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:
  - (i) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization;
  - (ii) The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project;
  - (iii) The extent to which the budget is adequate to support the proposed project;
  - (iv) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project; and
  - (v) The extent to which the costs are reasonable in relation to the number of persons to be served and to the anticipated results and benefits.

**(f) Quality of the Project Evaluation****15 points.**

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- (1) The Secretary considers the quality of the evaluation to be conducted of the proposed project.
- (2) In determining the quality of the evaluation, the Secretary considers the following factors:
  - (i) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project;
  - (ii) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible;

- (iii) The extent to which the methods of evaluation provide for examining the effectiveness of project implementation strategies;
- (iv) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes; and
- (v) The extent to which the evaluation plan clearly articulates the key project components, mediators, and outcomes, as well as a measurable threshold for acceptable implementation.

## **2. Review and Selection Process:**

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

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

## **3. Additional Review and Selection Process Factors:**

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

## **4. Risk Assessment and Specific Conditions:**

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Consistent with 2 CFR 200.205, before awarding grants under this competition the Department conducts a review of the risks posed by applicants. Under 2 CFR 3474.10, the Secretary may impose specific conditions and, in appropriate circumstances, high-risk conditions on a grant if

the applicant or grantee is not financially stable; has a history of unsatisfactory performance; has a financial or other management system that does not meet the standards in 2 CFR part 200, subpart D; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

#### **5. Integrity and Performance System:**

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If you are selected under this competition to receive an award that over the course of the project period may exceed the simplified acquisition threshold (currently \$150,000), under 2 CFR 200.205(a)(2) we must make a judgment about your integrity, business ethics, and record of performance under Federal awards--that is, the risk posed by you as an applicant--before we make an award. In doing so, we must consider any information about you that is in the integrity and performance system (currently referred to as the Federal Awardee Performance and Integrity Information System (FAPIIS)), accessible through the System for Award Management. You may review and comment on any information about yourself that a Federal agency previously entered and that is currently in FAPIIS.

Please note that, if the total value of your currently active grants, cooperative agreements, and procurement contracts from the Federal government exceeds \$10,000,000, the reporting requirements in 2 CFR part 200, Appendix XII, require you to report certain integrity information to FAPIIS semiannually. Please review the requirements in 2 CFR part 200, Appendix XII, if this grant plus all the other Federal funds you receive exceed \$10,000,000.

## VI. AWARD ADMINISTRATION INFORMATION

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### 1. Award Notices:

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If your application is successful, we will notify your U.S. Representative and U.S. Senators. We will also send you a Grant Award Notification (GAN) or an email containing a link to access an electronic version of your GAN. We also may notify you informally.

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

### 2. Administrative and National Policy Requirements:

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We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

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

### 3. Open-Licensing Requirements:

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Unless an exception applies, if you are awarded a grant under this competition, you will be required to openly license to the public grant deliverables created in whole, or in part, with Department grant funds. When the deliverable consists of modifications to pre-existing works, the license extends only to those modifications that can be separately identified and only to the extent that open licensing is permitted under the terms of any licenses or other legal restrictions on the use of pre-existing works. Additionally, a grantee or subgrantee that is awarded competitive grant funds must have a plan to disseminate these public grant deliverables. This dissemination plan can be developed and submitted after your application has been reviewed and selected for funding. For additional information on the open licensing requirements please refer to 2 CFR 3474.20.

### 4. Reporting:

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- (a) If you apply for a grant under this competition, you must ensure that you have in place the necessary processes and systems to comply with the reporting requirements in 2 CFR part 170 should you receive funding under the competition. This does not apply if you have an exception under 2 CFR 170.110(b).
- (b) At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you

must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to [www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html).

### **5. Performance Measures:**

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Under the Government Performance and Results Act of 1993, the Department has established a set of performance measures, including long-term measures, that are designed to yield information on various aspects of the effectiveness and quality of the Educational Technology, Media, and Materials for Individuals with Disabilities program. These measures are included in the application package and focus on the extent to which projects are of high quality, are relevant to improving outcomes of children with disabilities, as well as children with high-needs, and generate evidence of validity and availability to appropriate populations. Projects funded under this competition are required to submit data on these measures as directed by OSEP.

Grantees will be required to report information on their project's performance in annual performance reports and additional performance data to the Department (34 CFR 75.590 and 75.591).

### **6. Continuation Awards:**

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In making a continuation award under 34 CFR 75.253, the Secretary considers, among other things: whether a grantee has made substantial progress in achieving the goals and objectives of the project; whether the grantee has expended funds in a manner that is consistent with its approved application and budget; and, if the Secretary has established performance measurement requirements, the performance targets in the grantees approved application.

In making a continuation grant, the Secretary also considers whether the grantee is operating in compliance with the assurances in its approved application, including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

## VII. OTHER INFORMATION

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### Accessible Format:

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Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) by contacting the:

Management Support Services Team  
U.S. Department of Education  
400 Maryland Avenue SW., room 5113, PCP  
Washington, DC 20202-2550

Telephone: (202) 245-7363.

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

### Electronic Access to This Document:

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

Dated:

/s/

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Johnny W. Collett,  
Assistant Secretary for Special  
Education and Rehabilitative Services.

\*\*\*Updated 02/2019\*\*\*

## IMPORTANT—PLEASE READ FIRST

U.S. DEPARTMENT OF EDUCATION

# GRANTS.GOV SUBMISSION PROCEDURES AND TIPS FOR APPLICANTS

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To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education.

### Browser Support

The latest versions of Microsoft Internet Explorer (IE), Mozilla Firefox, Google Chrome, and Apple Safari are supported for use with Grants.gov. However, these web browsers undergo frequent changes and updates, so we recommend you have the latest version when using Grants.gov. Legacy versions of these web browsers may be functional, but you may experience issues.

For additional information or updates, please see the Grants.gov Browser information in the Applicant FAQs: <http://www.grants.gov/web/grants/applicants/applicant-faqs.html#browser>

### ATTENTION – Workspace, Adobe Forms and PDF Files

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different web forms within an application. For each funding opportunity announcement (FOA), you can create individual instances of a workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities, refer to: <https://www.grants.gov/web/grants/applicants/workspace-overview.html>

- 1) Create a Workspace: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
- 2) Complete a Workspace: Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.
  - a. Adobe Reader: If you decide not to apply by filling out web forms you can download individual PDF forms in Workspace. The individual PDF forms can be downloaded and



saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at:

<https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>

b. Mandatory Fields in Forms: In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.

c. Complete SF-424 Fields First: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS Number. Once it is completed, the information will transfer to the other forms.

- 3) **Submit a Workspace:** An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.
- 4) **Track a Workspace Submission:** After successfully submitting a workspace application, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

For additional training resources, including video tutorials, refer to <https://www.grants.gov/web/grants/applicants/applicant-training.html>

## Helpful Reminders

- 1) **REGISTER EARLY** – Grants.gov registration involves many steps including registration on SAM ([www.sam.gov](http://www.sam.gov)) which may take approximately one week to complete, but could take upwards of several weeks to complete, depending upon the completeness and accuracy of the data entered into the SAM database by an applicant. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. Please note that once your SAM registration is active, it will take 24-48 hours for the information to be available in Grants.gov, and before you can submit an application through Grants.gov. For detailed information on the Registration Steps, please go to: <http://www.grants.gov/web/grants/register.html> [Note: Your organization will need to update its SAM registration annually.]

Primary information about SAM is available at [www.sam.gov](http://www.sam.gov). However, to further assist you with obtaining and registering your DUNS number and TIN in SAM or updating your existing SAM account the Department of Education has prepared a SAM.gov Tip Sheet which you can find at: <http://www2.ed.gov/fund/grant/apply/sam-faqs.html>

- 2) **SUBMIT EARLY** – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload

an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully to Grants.gov before 11:59:59 p.m. Eastern Time on the deadline date.

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

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov received your application submission on time and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 11:59:59 p.m. Eastern Time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned. Once the Department of Education receives your application from Grants.gov, an Agency Tracking Number (PR/award number) will be assigned to your application and will be available for viewing on Grants.gov’s Track My Application link.

If the date/time received is later than 11:59:59 p.m. Eastern Time, on the deadline date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: <http://www.grants.gov/web/grants/applicants/encountering-error-messages.html>. For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Software Tip Sheet at: <http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

### **Submission Problems – What should you do?**

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or email at: <mailto:support@grants.gov> or access the Grants.gov Self-Service Knowledge Base web portal at: <https://grants-portal.psc.gov/Welcome.aspx?pt=Grants>

If electronic submission is required, you must submit an electronic application before 11:59:59 p.m. Eastern Time, unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications,

please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date. (See the Federal Register notice for detailed instructions.)

### Helpful Hints When Working with Grants.gov

Please go to <http://www.grants.gov/web/grants/support.html> for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Applicant FAQs found at this Grants.gov link: <http://www.grants.gov/web/grants/applicants/applicant-faqs.html> as well as additional information on Workspace at <https://www.grants.gov/web/grants/applicants/applicant-faqs.html#workspace>.

### Dial-Up Internet Connections

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

### Attaching Files – Additional Tips

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

- When you submit your application electronically, you must upload any narrative sections and all other attachments to your application as files in either Portable Document Format (PDF) or Microsoft Word. Although applicants have the option of uploading any narrative sections and all other attachments to their application in either PDF or Microsoft Word, we **recommend** applicants submit all documents as read-only flattened PDFs, meaning any fillable PDF files must be saved and submitted as non-fillable PDF files and not as interactive or fillable PDF files, to better ensure applications are processed in a more timely, accurate, and efficient manner.
- Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
- When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded file names must be fewer than 50 characters, and, in general, applicants should not use any special characters. However, Grants.gov does allow for the following UTF-8 characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.

- Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package with all attachments is less than 5 MB. Therefore, you may want to check the total size of your package before submission.

# **PRIORITY DESCRIPTION AND SELECTION CRITERIA**

## STEPPING-UP TECHNOLOGY IMPLEMENTATION (CFDA 84.327S)

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**DEADLINE:**

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**Background:**

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The mission of the Office of Special Education and Rehabilitative Services (OSERS) is to improve early childhood, educational, and employment outcomes and raise expectations for all people with disabilities, their families, their communities, and the Nation.

The purpose of this priority is to fund three cooperative agreements to: identify strategies needed to effectively implement evidence-based (as defined in this notice) technology tools<sup>1</sup> that benefit students with disabilities and children or students with high needs,<sup>2</sup> and develop and disseminate products<sup>3</sup> that will help a broad range of sites to effectively implement these technology tools. This priority is consistent with Priority 5 of the Secretary's Final Supplemental Priorities and Definitions for Discretionary Grant Programs (Supplemental Priorities)<sup>4</sup>--Meeting the Unique Needs of Students and Children With Disabilities and/or Those With Unique Gifts and Talents; and Priority 2 of the Supplemental Priorities--Promoting Innovation and Efficiency,

<sup>1</sup> For the purposes of this priority, "technology tools" may include, but are not limited to, digital math text readers for students with visual impairments, reading software to improve literacy and communication development, and text-to-speech software to improve reading performance. These tools must assist or otherwise benefit students with disabilities.

<sup>2</sup> For the purposes of this priority, "children or students with high needs" means children or students at risk of educational failure or otherwise in need of special assistance or support, such as children and students who are living in poverty, who are English Learners, who are academically far below grade level, who have left school before receiving a regular high school diploma, who are at risk of not graduating with a regular high school diploma on time, who are homeless, who are in foster care, who have been incarcerated, or are children or students with disabilities.

<sup>3</sup> For the purposes of this priority, "products" may include, but are not limited to, instruction manuals, lesson plans, demonstration videos, ancillary instructional materials, and professional development modules such as collaborative groups, coaching, mentoring, or online supports.

<sup>4</sup> The Secretary's Final Supplemental Priorities and Definitions for Discretionary Grant Programs was published in the *Federal Register* on March 2, 2018 (83 FR 9096) and can be found at

[www.gpo.gov/fdsys/pkg/FR-2018-03-02/pdf/2018-04291.pdf](http://www.gpo.gov/fdsys/pkg/FR-2018-03-02/pdf/2018-04291.pdf).

Streamlining Education With an Increased Focus on Improving Student Outcomes, and Providing Increased Value to Students and Taxpayers. Priority 5 emphasizes meeting the unique needs of students with disabilities, including their academic needs, by offering students the opportunity to meet challenging objectives and receive an educational program that is both meaningful and appropriately ambitious in light of each student's circumstances. Priority 2 emphasizes supporting innovative strategies or research that has the potential to lead to significant and wide-reaching improvements in the delivery of educational services or other significant and tangible educational benefits to students, educators, or other Department stakeholders.

Congress recognized in IDEA that “almost 30 years of research and experience has demonstrated that the education of children with disabilities can be made more effective by ... supporting the development and use of technology, including assistive technology devices and assistive technology services, to maximize accessibility for children with disabilities” (section 601(c)(5) of IDEA).

The use of technology, including assistive technology devices and assistive technology services, enhances instruction and access to the general education curriculum. “Innovative technology tools, programs, and software can be used to promote engagement and enhance the learning experience” (Brunvand & Byrd, 2011). Innovative technology tools and programs are especially helpful as educators work to engage and motivate students who struggle with the general education curriculum. However, having access alone does not translate to outcomes. Judge et al. (2004) argued that there is a rapid expansion in technology in early childhood settings, and teachers need support in understanding its usage and value to ensure quality learning experiences for young students. When teachers receive the necessary professional development supports to use technology effectively, technology integration in early childhood settings has been demonstrated to increase social awareness and collaborative behaviors, improve abstract reasoning and problem solving abilities, and enhance visual-motor coordination (McManis & Gunnewig, 2012).

Technologies (e.g., online career-readiness tools, computer-based writing tools to support literacy, web-based curriculum to support 21st-century learning) can support State educational agencies (SEAs) and local educational agencies (LEAs) by: (a) improving student learning and engagement; (b) accommodating the special needs of students; (c) facilitating student and teacher access to digital content and resources; and (d) improving the quality of instruction

through personalized learning and data (Duffey & Fox, 2012; Fletcher, Schaffhauser, & Levi, 2012; U.S. Department of Education, 2010). As stipulated in section 4109 of the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act (ESSA), technologies can be used to support LEAs and SEAs to increase student access to personalized, rigorous learning experiences.

Notwithstanding the potential benefits of using technology to improve learning outcomes, research suggests that implementation can be a significant challenge. For example, data from a survey of more than 1,000 kindergarten through grade 12 (K-12) teachers, principals, and assistant principals indicated that more than half of teachers who did not use technology identified issues of implementation (e.g., necessity, applicability to lessons) rather than availability as reasons for their non-use (Grunwald & Associates, 2010). Additionally, “research indicates that technology must be used in ways that align with curricular and teacher goals, and offer students opportunities to use these tools in their learning” (Center on Innovation and Improvement, 2011). Even as schools have started to deliver coursework online, and the number of students involved in online learning has grown, many of these online learning technologies are not readily accessible to students with disabilities (Center on Online Learning and Students with Disabilities, 2012). These findings demonstrate a need for products and resources that can assist educators to readily implement technology tools for students with disabilities.

In response to this need, Stepping-up Technology Implementation projects have built on technology development efforts by identifying, developing, and disseminating products and resources that promote the effective implementation<sup>5</sup> of instructional and assistive technology tools in early childhood programs or K-12 settings.<sup>6</sup>

**Priority:**

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<sup>5</sup> In this context, “effective implementation” means “making better use of research findings in typical service settings through the use of processes and activities (such as accountable implementation teams) that are purposeful and described in sufficient detail such that independent observers can detect the presence and strength of these processes and activities” (Fixsen, Naoom, Blase, Friedman, & Wallace, 2005).

<sup>6</sup> For the purposes of this priority, “settings” include: general education classrooms; special education classrooms; high-quality early childhood programs; private schools; home education; after school programs; juvenile justice facilities; and settings other than those listed above in which students may receive services under IDEA.



The purpose of this priority is to fund three cooperative agreements to: (a) identify strategies needed to readily implement existing evidence-based technology tools that benefit students with disabilities and children or students with high needs; and (b) develop and disseminate products (See footnote 3; e.g., instruction manuals, lesson plans, demonstration videos, ancillary instructional materials) that will assist personnel in early childhood programs or K-12 settings to readily use, understand, and implement these technology tools.

To be considered for funding under this priority, applicants must meet the application requirements. Any project funded under this absolute priority must also meet the programmatic and administrative requirements specified in the priority.

### **Application Requirements**

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An applicant must include in its application--

- (a) A project design that is evidence-based;
- (b) A logic model (as defined in this notice) or conceptual framework that depicts at a minimum, the goals, activities, project evaluation, methods, performance measures, outputs, and outcomes of the proposed project.

Note: The following websites provide more information on logic models and conceptual frameworks: [www.osepideasthatwork.org/logicModel](http://www.osepideasthatwork.org/logicModel);  
[www.osepideasthatwork.org/resources-grantees/program-areas/ta-ta/tad-project-logic-model-and-conceptual-framework](http://www.osepideasthatwork.org/resources-grantees/program-areas/ta-ta/tad-project-logic-model-and-conceptual-framework);

[www2.ed.gov/policy/elsec/leg/essa/guidanceusesinvestment.pdf](http://www2.ed.gov/policy/elsec/leg/essa/guidanceusesinvestment.pdf); and

<http://ies.ed.gov/pubsearch/pubsinfo.asp?pubid=REL2015057>.

- (c) A plan to implement the activities described in the Project Activities section of this priority;
- (d) A plan, linked to the proposed project's logic model, for a formative evaluation of the proposed project's activities. The plan must describe how the formative evaluation will use clear performance objectives to ensure continuous improvement in the operation of the proposed project, including objective measures of progress in implementing the project and ensuring the quality of products and services;

- (e) Documentation ensuring that the final products disseminated to help sites effectively implement technology tools will be both open educational resources (OER)<sup>7</sup> and licensed through an open access licensing authority;
- (f) Documentation that the technology tool used by the project is fully developed,<sup>8</sup> evidence-based, and addresses, at a minimum, the following principles of universal design for learning:
- (1) Multiple means of presentation so that students can approach information in more than one way (e.g., specialized software and websites, screen readers that include features such as text-to-speech, changeable color contrast, alterable text size, or selection of different reading levels);
  - (2) Multiple means of expression so that all students can demonstrate knowledge through options such as writing, online concept mapping, or speech-to-text programs, where appropriate; and
  - (3) Multiple means of engagement to stimulate interest in and motivation for learning (e.g., options among several different learning activities or content for a particular competency or skill and providing opportunities for increased collaboration or scaffolding);<sup>9</sup>
- (g) A plan for how the project will sustain project activities after funding ends;
- (h) A plan, which includes appropriate consideration of sites other than traditional public elementary and secondary school settings, including private schools, after school programs, juvenile justice facilities, early childhood programs, and settings where students are supported under IDEA, for recruiting and selecting<sup>10</sup> the following:

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<sup>7</sup> Open educational resources (OER) are teaching and learning materials that the public may freely use and reuse at no cost. Unlike fixed, copyrighted resources, OER have been authored or created by an individual or organization that chooses to retain few, if any, ownership rights. Retrieved from [www.oercommons.org/about](http://www.oercommons.org/about).

<sup>8</sup> A technology that is “fully developed” is a completed, existing technology that is ready to be implemented. Any enhancements or additions to the existing technology should be minor and time-limited, and must be completed before the end of year two.

<sup>9</sup> For more information on the principles of universal design, see [www.udlcenter.org/aboutudl/whatisudl/3principles](http://www.udlcenter.org/aboutudl/whatisudl/3principles).

- (1) Three development sites. Development sites are the sites in which iterative development<sup>11</sup> of the products and resources intended to support the implementation of technology tools will occur. The project must start implementing the technology tool with one development site in year one of the project period and two additional development sites in year two;
- (2) Four pilot sites. Pilot sites are the sites in which try-out, formative evaluation, and refinement of the products and resources will occur. The project must work with the four pilot sites during years three and four of the project period; and
- (3) Ten dissemination sites. Dissemination sites will be selected if the project is extended for a fifth year. Dissemination sites will be used to (a) refine the products for use by teachers and (b) evaluate the performance of the tool. Dissemination sites will receive less technical assistance (TA) from the project than development or pilot sites. Also, at this stage (i.e., the fifth year), dissemination sites will extend the benefits of the technology tool to additional students. To be selected as a dissemination site, eligible sites must commit to working with the project to implement the evidence-based technology tool.

**Note:** A site may not serve in more than one category (i.e., development, pilot, dissemination).

**Note:** A minimum of two of the seven development and pilot sites must be in settings other than traditional public elementary and secondary schools. A minimum of three of the 10 dissemination sites must be in settings other than traditional public elementary and secondary schools. These non-traditional sites must otherwise meet the requirements of each category listed earlier.

- (i) School site information (e.g., elementary, middle, high school, or early childhood programs, high-quality early childhood programs, private schools, after school programs, juvenile justice facilities, and settings where students are supported under IDEA; schools identified for comprehensive or targeted support and improvement (in accordance with section 1111(c)(4)(C)(iii), (c)(4)(D), or (d)(2)(C)-(D) of the ESEA) about the development, pilot, and

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<sup>10</sup> For more information on recruiting and selecting sites, refer to Assessing Sites for Model Demonstration: Lessons Learned from OSEP Grantees at [http://mdcc.sri.com/documents/MDCC\\_Site\\_Assessment\\_Brief\\_09-30-11.pdf](http://mdcc.sri.com/documents/MDCC_Site_Assessment_Brief_09-30-11.pdf).

<sup>11</sup> For the purposes of this priority, “iterative development” refers to a process of testing, systematically securing feedback, and then revising the educational intervention to increase the likelihood that it will be implemented with fidelity (Diamond & Powell, 2011).

dissemination sites, including student demographics (e.g., race or ethnicity, percentage of students eligible for free or reduced-price lunch) and other pertinent data; and

(j) A budget for attendance at the following:

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

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

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

(3) Two annual two-day trips to attend Department briefings, Department-sponsored conferences, and other meetings, as requested by OSEP.

Project Activities:

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

(a) Recruit a minimum of three development sites and four pilot sites in accordance with the plan proposed under paragraphs (h) and (i) of the Application Requirements section of this notice.

Note: Final site selection will be determined in consultation with the OSEP project officer following the kick-off meeting.

(b) Identify and develop resources and products that, when used to support the implementation of the technology tool, create accessible learning opportunities for all children, including children with disabilities, and children or students with high needs and support the sustained implementation of the selected technology tool. Development of the products must be an iterative process beginning in a single development school and continuing through repeated cycles of development and refinement in the other development sites, followed by a

formative evaluation and refinement in the pilot sites. To support implementation of the technology tool the products and resources must, at a minimum, include:

- (1) An instrument or method for assessing--
  - (i) The school staff's current technology uses and needs, current technology investments, firewall issues, and the knowledge and availability of dedicated on-site technology personnel;
  - (ii) The readiness of development and pilot sites to implement the technology tool. Any instruments and methods for assessing readiness may include resource inventory checklists, school self-study guides, and surveys of teachers' interests; and
  - (iii) Whether the technology tool has achieved its intended outcomes.
- (c) Provide ongoing professional development activities necessary for teachers to implement the technology tool with fidelity and to integrate it into the curriculum.
- (d) Collect and analyze data on whether the technology tool has achieved its intended outcomes for early childhood development, K-12, or college- and career-readiness.
- (e) Collect formative and summative data from the development and pilot sites to refine and evaluate the products.
- (f) If the project is extended to a fifth year--
  - (1) Provide the products and the technology tool to no fewer than 10 dissemination sites that are not the same used as development or pilot sites; and
  - (2) Collect summative data about the success of the project's products and services in supporting implementation of the technology tool in the dissemination sites.
- (g) By the end of the project period, provide--
  - (1) Information on the products and resources, as supported by the project evaluation, including any accessibility features, that will enable other sites to implement and sustain implementation of the technology tool;

- (2) Information on the technology implementation report, including data on how teachers used the technology, data on how technology impacted student outcomes, how technology was implemented with fidelity, and features of universal design for learning;
- (3) Information on how the technology tool contributed to changed practices and improved early childhood outcomes, academic achievement, or college- and career-readiness for children with disabilities, as well as children or students with high needs (e.g., data to assess how well the project addressed the goals of the project as described in the logic model); and
- (4) A plan for disseminating the technology tool and accompanying products beyond the sites directly involved in the project.

### **Cohort Collaboration and Support**

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OSEP project officer(s) will provide coordination support among the projects. Each project funded under this priority must:

- (a) Participate in monthly conference-call discussions to share and collaborate on implementation and specific project issues; and
- (b) Provide information annually using a template that captures descriptive data on project site selection, processes for installation of technology, and the use of technology and sustainability (i.e., the process of technology implementation).

Note: The following website provides more information about implementation research:  
<http://nirn.fpg.unc.edu/learn-implementation>.

### **Fifth Year of Project**

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The Secretary may extend a project one year beyond 48 months to work with dissemination sites if the grantee is achieving the intended outcomes of the project (as demonstrated by data gathered as part of the project evaluation) and making a positive contribution to the implementation of an evidence-based technology tool with fidelity in the development and pilot sites. Each applicant must include in its application a plan for the full 60-month period. In deciding whether to continue funding the project for the fifth year, the Secretary will consider the requirements of 34 CFR 75.253(a), and will consider:

- (a) The recommendation of a review team consisting of the OSEP project officer and other experts selected by the Secretary. This review will be held during the last half of the third year of the project period;
- (b) The success and timeliness with which the requirements of the negotiated cooperative agreement have been or are being met by the project; and
- (c) The degree to which the project's activities have contributed to changed practices and improved early childhood outcomes, academic achievement, or college- and career-readiness for students with disabilities.

### **Competitive Preference Priority:**

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Within this absolute priority, we give competitive preference to applications that address the following priority. The competitive preference priority is from allowable activities in sections 674(c)(1)(D) and 681(d) of IDEA. Under 34 CFR 75.105(c)(2)(i), we award an additional two points to an application that meets the competitive preference priority. Applicants should indicate in the abstract if the competitive preference priority is addressed and must address the priority in the narrative section.

This competitive preference priority is:

### **Projects that Support English Learners in Reading (Two Points).**

To meet this competitive preference priority, projects must implement an evidence-based technology tool designed to help teachers use culturally responsive teaching practices<sup>12</sup> to meet the cultural and linguistic needs of English Learners (ELs) and improve their language acquisition, language development, and reading. To meet the competitive preference priority, a project must:

- (a) Implement a culturally responsive reading curriculum that provides learning opportunities through a variety of media; and

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<sup>12</sup> Culturally responsive teaching practices can be defined as “using the cultural knowledge, prior experiences, frames of reference, and performance styles of ethnically diverse students to make learning encounters more relevant to and effective for them” (Gay, 2010).

- (b) Develop and disseminate products and resources (e.g., instruction manuals, lesson plans, demonstration videos, ancillary instructional materials) that will assist teachers in K-12 settings to implement the technology.

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## **Definitions:**

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The following definitions are from 34 CFR 77.1:

Demonstrates a rationale means a key project component included in the project's logic model is informed by research or evaluation findings that suggest the project component is likely to improve relevant outcomes.

Evidence-based means the proposed project component is supported by one or more of strong evidence, moderate evidence, promising evidence, or evidence that demonstrates a rationale.

Experimental study means a study that is designed to compare outcomes between two groups of individuals (such as students) that are otherwise equivalent except for their assignment to either a treatment group receiving a project component or a control group that does not. Randomized controlled trials, regression discontinuity design studies, and single-case design studies are the specific types of experimental studies that, depending on their design and implementation (e.g., sample attrition in randomized controlled trials and regression discontinuity design studies), can meet What Works Clearinghouse (WWC) standards without reservations as described in the WWC Handbook:

- (i) A randomized controlled trial employs random assignment of, for example, students, teachers, classrooms, or schools to receive the project component being evaluated (the treatment group) or not to receive the project component (the control group).
- (ii) A regression discontinuity design study assigns the project component being evaluated using a measured variable (e.g., assigning students reading below a cutoff score to tutoring or developmental education classes) and controls for that variable in the analysis of outcomes.
- (iii) A single-case design study uses observations of a single case (e.g., a student eligible for a behavioral intervention) over time in the absence and presence of a controlled treatment manipulation to determine whether the outcome is systematically related to the treatment.

Logic model (also referred to as a theory of action) means a framework that identifies key project components of the proposed project (i.e., the active “ingredients” that are hypothesized to be critical to achieving the relevant outcomes) and describes the theoretical and operational relationships among the key project components and relevant outcomes.

Moderate evidence means that there is evidence of effectiveness of a key project component in improving a relevant outcome for a sample that overlaps with the populations or settings proposed to receive that component, based on a relevant finding from one of the following:

- (i) A practice guide prepared by the WWC using version 2.1 or 3.0 of the WWC Handbook reporting a “strong evidence base” or “moderate evidence base” for the corresponding practice guide recommendation;
  - (ii) An intervention report prepared by the WWC using version 2.1 or 3.0 of the WWC Handbook reporting a “positive effect” or “potentially positive effect” on a relevant outcome based on a “medium to large” extent of evidence, with no reporting of a “negative effect” or “potentially negative effect” on a relevant outcome; or
  - (iii) A single experimental study or quasi-experimental design study reviewed and reported by the WWC using version 2.1 or 3.0 of the WWC Handbook, or otherwise assessed by the Department using version 3.0 of the WWC Handbook, as appropriate, and that--
- (A) Meets WWC standards with or without reservations;

- (B) Includes at least one statistically significant and positive (i.e., favorable) effect on a relevant outcome;
- (C) Includes no overriding statistically significant and negative effects on relevant outcomes reported in the study or in a corresponding WWC intervention report prepared under version 2.1 or 3.0 of the WWC Handbook; and
- (D) Is based on a sample from more than one site (e.g., State, county, city, school district, or postsecondary campus) and includes at least 350 students or other individuals across sites. Multiple studies of the same project component that each meet requirements in paragraphs (iii)(A), (B), and (C) of this definition may together satisfy this requirement.

Project component means an activity, strategy, intervention, process, product, practice, or policy included in a project. Evidence may pertain to an individual project component or to a combination of project components (e.g., training teachers on instructional practices for English learners and follow-on coaching for these teachers).

Promising evidence means that there is evidence of the effectiveness of a key project component in improving a relevant outcome, based on a relevant finding from one of the following:

- (i) A practice guide prepared by WWC reporting a “strong evidence base” or “moderate evidence base” for the corresponding practice guide recommendation;
- (ii) An intervention report prepared by the WWC reporting a “positive effect” or “potentially positive effect” on a relevant outcome with no reporting of a “negative effect” or “potentially negative effect” on a relevant outcome; or
- (iii) A single study assessed by the Department, as appropriate, that--
  - (A) Is an experimental study, a quasi-experimental design study, or a well-designed and well-implemented correlational study with statistical controls for selection bias (e.g., a study using regression methods to account for differences between a treatment group and a comparison group); and
  - (B) Includes at least one statistically significant and positive (i.e., favorable) effect on a relevant outcome.

Quasi-experimental design study means a study using a design that attempts to approximate an experimental study by identifying a comparison group that is similar to the treatment group in important respects. This type of study, depending on design and implementation (e.g., establishment of baseline equivalence of the groups being compared), can meet WWC standards with reservations, but cannot meet WWC standards without reservations, as described in the WWC Handbook.

Relevant outcome means the student outcome(s) or other outcome(s) the key project component is designed to improve, consistent with the specific goals of the program.

Strong evidence means that there is evidence of the effectiveness of a key project component in improving a relevant outcome for a sample that overlaps with the populations and settings proposed to receive that component, based on a relevant finding from one of the following:

- (i) A practice guide prepared by the WWC using version 2.1 or 3.0 of the WWC Handbook reporting a “strong evidence base” for the corresponding practice guide recommendation;
- (ii) An intervention report prepared by the WWC using version 2.1 or 3.0 of the WWC Handbook reporting a “positive effect” on a relevant outcome based on a “medium to large” extent of evidence, with no reporting of a “negative effect” or “potentially negative effect” on a relevant outcome; or
- (iii) A single experimental study reviewed and reported by the WWC using version 2.1 or 3.0 of the WWC Handbook, or otherwise assessed by the Department using version 3.0 of the WWC Handbook, as appropriate, and that--
  - (A) Meets WWC standards without reservations;
  - (B) Includes at least one statistically significant and positive (i.e., favorable) effect on a relevant outcome;
  - (C) Includes no overriding statistically significant and negative effects on relevant outcomes reported in the study or in a corresponding WWC intervention report prepared under version 2.1 or 3.0 of the WWC Handbook; and
  - (D) Is based on a sample from more than one site (e.g., State, county, city, school district, or postsecondary campus) and includes at least 350 students or other individuals across sites.

Multiple studies of the same project component that each meet requirements in paragraphs (iii)(A), (B), and (C) of this definition may together satisfy this requirement.

What Works Clearinghouse Handbook (WWC Handbook) means the standards and procedures set forth in the WWC Procedures and Standards Handbook, Version 3.0 or Version 2.1 (incorporated by reference, see 34 CFR 77.2). Study findings eligible for review under WWC standards can meet WWC standards without reservations, meet WWC standards with reservations, or not meet WWC standards. WWC practice guides and intervention reports include findings from systematic reviews of evidence as described in the Handbook documentation.

#### **Waiver of Proposed Rulemaking:**

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Under the Administrative Procedure Act (APA) (5 U.S.C. 553) the Department generally offers interested parties the opportunity to comment on proposed priorities and requirements. Section 681(d) of IDEA, however, makes the public comment requirements of the APA inapplicable to the priority in this notice.

#### **Program Authority:**

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20 U.S.C. 1474 and 1481.

#### **PERFORMANCE MEASURES:**

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Under the Government Performance and Results Act of 1993 (GPRA), the Department has established a set of performance measures, including long-term measures, that are designed to yield information on various aspects of the effectiveness and quality of the Educational Technology, Media, and Materials for Individuals with Disabilities program. These measures are:

- Program Performance Measure #1: The percentage of Educational Technology, Media, and Materials Program products and services judged to be of high quality by an independent review panel of experts qualified to review the substantial content of the products and services;
- Program Performance Measure #2: The percentage of Educational Technology, Media, and Materials Program products and services judged to be of high relevance to improving outcomes for infants, toddlers, children and youth with disabilities;

- Program Performance Measure #3: The percentage of Educational Technology, Media, and Materials Program products and services judged to be of useful in improving results for infants, toddler, children and youth with disabilities;
- Program Performance Measure #4.1: The federal cost per unit of accessible educational materials funded by the Educational Technology, Media, and Materials Program;
- Program Performance Measure #4.2: The federal cost per unit of accessible educational materials from the National Instructional Materials Accessibility Center funded by the Educational Technology, Media, and Materials Program; and
- Program Performance Measure #4.3: The federal cost per unit of video description funded by the Educational Technology, Media, and Materials Program.

Projects funded under this competition are required to submit data on these measures as directed by OSEP.

Grantees will be required to report information on their project's performance in annual performance reports and additional performance data to the Department (34 CFR 75.590 and 75.591).

**APPLICATIONS AVAILABLE:**

XXXX.

**DEADLINE FOR TRANSMITTAL OF APPLICATIONS:**

XXXX.

**ESTIMATED AVAILABLE FUNDS:**

\$1,500,000.

Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2019 from the list of unfunded applications from this competition.

**ESTIMATED RANGE OF AWARDS:**

450,000 to \$500,000 per year

**ESTIMATED AVERAGE SIZE OF AWARDS:**

\$475,000 per year

**ESTIMATED NUMBER OF AWARDS:**

3.

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

**MAXIMUM AWARD:**

We will not make an award exceeding \$500,000 for a single budget period of 12 months.

**PROJECT PERIOD:**

Up to 48 months.

**RECOMMENDED PAGE LIMITS:**

The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. We recommend that you (1) limit the application narrative to no more than 50 pages and (2) use the following standards:

- A "page" is 8.5" x 11" (on one side only) with 1" margins at the top, bottom, and both sides.
- Double-space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, reference citations, captions, as well as all text in charts, tables, figures, graphs, screen shots, and logic models.
- Use a font that is 12 point or larger.
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.

The recommended page limit and double-line spacing does not apply to Part I, the cover sheet; Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; or the two-page abstract (follow the guidance provided elsewhere in the application package for completing the abstract template), the table of contents, the list priority requirements, the resumes, the reference list, or the letters of support, or the appendices. However, the recommended page limit and the double-spacing do apply to all of Part III, the application narrative, including titles, headings, footnotes, quotations, reference citations, captions, as well as all text in charts, tables, figures, graphs, screen shots, and logic models.

**GENERAL REQUIREMENTS:**

- (a) Projects funded under this notice must make positive efforts to employ and advance in employment qualified individuals with disabilities in project activities (see section 606 of IDEA); and
- (b) Applicants and grant recipients funded under this notice must involve individuals with disabilities or parents of individuals with disabilities ages birth through 26 in planning, implementing, and evaluating the projects (see section 682(a)(1)(A) of IDEA).

**APPLICABLE REGULATIONS:**

- (a) The Education Department General Administrative Regulations in 34 CFR parts 75, 77, 79, 81, 82, 84, 86, 97, 98, and 99.
- (b) The Office of Management and Budget Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) in 2 CFR part 180, as adopted and amended as regulations of the Department in 2 CFR part 3485.
- (c) The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR part 200, as adopted and amended in 2 CFR part 3474.

**Note:** The regulations in 34 CFR part 79 apply to all applicants except federally recognized Indian Tribes.

**Note:** The regulations in 34 CFR part 86 apply to institutions of higher education (IHEs) only.

**ELIGIBLE APPLICANTS:**

SEAs; LEAs, including public charter schools that operate as LEAs under State law; IHEs; other public agencies; private nonprofit organizations; freely associated States and outlying areas; Indian Tribes or Tribal organizations; and for-profit organizations.

**ELIGIBLE SUBGRANTEES:**

- (a) Under 34 CFR 75.708(b) and (c) a grantee may award subgrants--to directly carry out project activities described in its application--to the following types of entities: IHEs and private nonprofit organizations suitable to carry out the activities proposed in the application.
- (b) The grantee may award subgrants to entities it has identified in an approved application.



**INTERGOVERNMENTAL REVIEW:**

The competition in this notice is subject to the requirements of Executive Order 12372 and the regulations in 34 CFR part 79. One of the objectives of the Executive Order is to foster an intergovernmental partnership and a strengthened federalism. The Executive order relies on processes developed by State and local governments for coordination and review of proposed Federal financial assistance. However, under 34 CFR 79.8(a), we waive intergovernmental review in order to make awards by the end of FY 2019.

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

**FOR FURTHER INFORMATION ABOUT THIS PRIORITY CONTACT:**

Terry Jackson, Project Officer  
Research to Practice Division  
Office of Special Education Programs

Telephone: (202) 245-6039

FAX: (202) 245-7590

Internet: [Terry.Jackson@ed.gov](mailto:Terry.Jackson@ed.gov) .

TTD: 1-800-877-8339

## **SELECTION CRITERIA AND FORMAT FOR THE APPLICATIONS FOR NEW AWARDS— STEPPING-UP TECHNOLOGY IMPLEMENTATION, (CFDA 84.327S) COMPETITION**

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Part III of the application form requires a narrative that addresses the selection criteria that will be used by reviewers in evaluating individual proposals. Applications are more likely to receive favorable reviews by panels when they are organized according to the format suggested below. This format was published in the FEDERAL REGISTER as an appendix to the program regulations, and it addresses all the selection criteria used to evaluate applications required by regulations. If you prefer to use a different format, you may wish to cross-reference the sections of your application to the selection criteria to be sure that reviewers are able to find all relevant information.

The selection criteria that will be used to evaluate applications submitted to the **Applications for New Awards; Educational Technology, Media, and Materials for Individuals with Disabilities—Stepping-up Technology Implementation,(CFDA 84.327S)** competition is the selection criteria for new grants required by the EDGAR general selection criteria menu. The maximum score for all of the criteria is 100 points.

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

**(a) Significance of the Project** **(10 points).**

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- (1) The Secretary considers the significance of the proposed project.
- (2) In determining the significance of the proposed project, the Secretary considers the following factors:
  - (i) The significance of the problem or issue to be addressed by the proposed project;
  - (ii) The magnitude or severity of the problem to be addressed by the proposed project;
  - (iii) The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses;
  - (iv) The potential contribution of the proposed project to increased knowledge or understanding of educational problems, issues, or effective strategies; and
  - (v) The potential replicability of the proposed project or strategies, including, as appropriate, the potential for implementation in a variety of settings.

**(b) Quality of Project Services** **(25 points).**

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- (1) The Secretary considers the quality of the services to be provided by the proposed project.
- (2) In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age or disability.
- (3) In addition, the Secretary considers the following factors:
  - (i) The extent to which the services to be provided by the proposed project reflect up-to-date knowledge from research and effective practice;
  - (ii) The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services;
  - (iii) The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project services;
  - (iv) The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services; and
  - (v) The likely impact of the services to be provided by the proposed project on the intended recipients of those services.

**(c) Quality of Project Design** **(20 points).**

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- (1) The Secretary considers the quality of the design of the proposed project.
- (2) In determining the quality of the design of the proposed project, the Secretary considers the following factors:
  - (i) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable;
  - (ii) The extent to which the design of the proposed project includes a thorough, high-quality review of the relevant literature, a high-quality plan for project implementation, and the use of appropriate methodological tools to ensure successful achievement of project objectives;
  - (iii) The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs;
  - (iv) The extent to which the design for implementing and evaluating the proposed project will result in information to guide possible replication of project activities or strategies, including

information about the effectiveness of the approach or strategies employed by the project;  
and

- (v) The extent to which there is a conceptual framework underlying the proposed research or demonstration activities and the quality of that framework.

**(d) Quality of Management Plan**

**(20 points).**

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- (1) The Secretary considers the quality of the management plan for the proposed project.
- (2) In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:
  - (i) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks;
  - (ii) The extent to which the time commitments of the project director and principal investigator, and other key project personnel are appropriate and adequate to meet the objectives of the proposed project;
  - (iii) The adequacy of mechanisms for ensuring high-quality products and services from the proposed project;
  - (iv) How the applicant will ensure that a diversity of perspectives are brought to bear in the operation of the proposed project, including those of parents, teachers, the business community, a variety of disciplinary and professional fields, recipients or beneficiaries of services, or others, as appropriate; and
  - (v) The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project.

**(e) Adequacy of the Resources**

**10 points.**

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- (1) The Secretary considers the adequacy of resources for the proposed project.
- (2) In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:
  - (i) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization;
  - (ii) The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project;
  - (iii) The extent to which the budget is adequate to support the proposed project;

- (iv) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project; and
- (v) The extent to which the costs are reasonable in relation to the number of persons to be served and to the anticipated results and benefits.

**(f) Quality of the Project Evaluation****15 points.**

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- (1) The Secretary considers the quality of the evaluation to be conducted of the proposed project.
- (2) In determining the quality of the evaluation, the Secretary considers the following factors:
  - (i) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project;
  - (ii) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible;
  - (iii) The extent to which the methods of evaluation provide for examining the effectiveness of project implementation strategies;
  - (iv) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes; and
  - (v) The extent to which the evaluation plan clearly articulates the key project components, mediators, and outcomes, as well as a measurable threshold for acceptable implementation.

# **GENERAL INFORMATION ON COMPLETING AN APPLICATION**

## **GENERAL INFORMATION ON COMPLETING AN APPLICATION**

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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, the Office of Special Education Programs (OSEP) staff have assembled the following most commonly raised issues. In general, this information applies to the grant competitions covered by this application package.

### **EXTENSION OF DEADLINES**

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

### **COPIES OF THE APPLICATION**

Unless you qualify for an exception in accordance with the instructions found in the Notice inviting applications, you must submit your application electronically. Therefore, you do not need to submit paper copies of the application. If you are granted an exception, current Government-wide policy requires that an original and two paper copies need to be submitted.

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

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

### **MISSED DEADLINES AND SUBMISSION UNDER OTHER COMPETITIONS**

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

### **SUBMISSION TO MORE THAN ONE PROGRAM**

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

### **HELP PREPARING APPLICATIONS**

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

### **NOTIFICATION OF FUNDING**

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

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

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

### **FORMAT FOR APPLICATIONS**

The **application narrative** (Part III of the application form) should be organized to follow the exact sequence of the components in the selection criteria used to evaluate applications. (The selection criteria for the competitions covered by this packet are listed following the specific



competition information in section “B” of this packet. The **abstract**, should precede the table of contents, and application narrative. In submitting your application through Grants.gov, the **abstract template** should be uploaded and attached to the Abstract File. The **abstract** template, located at

<https://www2.ed.gov/programs/oseptms/applicant.html> should be completed to provide a comprehensive description of the proposed project. For the table of contents, list of priority requirements, and application narrative, you will have to upload these documents as one .PDF file, and attach to the Mandatory Project Narrative File. If you prefer to use a different format, you may wish to cross-reference the sections of your application to the selection criteria to be sure that reviewers are able to find all relevant information.

To aid in screening and reviewing the application, applicants should list after the table of contents, all general, special, and other requirements for the priority and corresponding page number (s) where requirements are addressed within the application. (All requirements are found in each priority description included in this application package.) **Page limits do not apply to this list of priority requirements** (see Application Forms and Instructions for Grants.gov Submission document for upload instructions). The format included below is an example of how you might provide this information in your application.

PAGE #	REQUIREMENTS
_____	(a) Projects funded under this notice must make positive efforts to employ and advance in employment qualified individuals with disabilities in project activities. (See Section 606 of IDEA)
_____	(b) Applicants and grant recipients funded under this notice must involve individuals with disabilities or parents of individuals with disabilities ages birth through 26 in planning, implementing, and evaluating the projects. (See Section 682(a)(1)(A) of IDEA)
_____	(c) Applicant must describe steps to ensure equitable access to, and participation in, its program for students, teachers, and other program beneficiaries with special needs. (See Section 427, GEPA)
_____	(d) Projects funded under these priorities must budget for a three-day Project's Directors' meeting in Washington, D.C. during each year of the project.

## PAGE LIMITS

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

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

The items listed above are not included under page limits.

## MAKING SURE APPLICATION IS ASSIGNED TO THE CORRECT COMPETITION

Applicants should clearly indicate in Item 11 on the application (SF Form 424) the CFDA number of the program priority (e.g., 84.327S, etc.) representing the competition in which the application should be considered. **If this information is not provided, your application may inadvertently be assigned and reviewed under a different competition from the one you intended.**

## RETURN OF NON-FUNDED APPLICATIONS

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

### PROPOSED STAFF AVAILABILITY TO PROJECT

For each staff person named in the application, please provide documentation of all internal and external time commitments. In instances where a staff person is committed on a federally supported project, please provide the project name, Federal office, program title, the project federal award number, and the amount of committed time by each project year. This information (e.g., Staff: Jane Doe; Project Name: Succeeding in the General Curriculum; Federal office: Office of Special Education Programs; Program title: Educational Technology, Media, and Materials for Individuals with Disabilities; Award number: H326A030002; Time commitments: Year 1—30%; Year 2—25% and Year 3—40%) can be provided as an Appendix to the application.

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

### USE OF PERSON LOADING CHARTS

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

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

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

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

### **DELIVERING/SENDING APPLICATIONS TO THE COMPETITION MANAGER**

If you qualify for an exception to the electronic submission requirement, applications can be mailed or hand delivered, or submitted electronically but in either case must go to the Application Control Center at the address listed in the [Application Transmittal Instructions](#). Delivering or sending the application to the competition manager in the program office may prevent it from being logged in on time to the appropriate competition and may result in the application not being reviewed.

### **ALLOWED TRAVEL UNDER THESE PROJECTS**

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

### **FUNDING OF APPROVED APPLICATIONS**

It is often the case that the number of applications recommended for approval by the reviewers exceeds the dollars available for funding projects under a particular competition. When the panel reviews are completed for a particular competition, the individual reviewer scores and applications are ranked. The higher ranked, approved applications are funded first, and there are often lower ranked, approved applications that do not receive funding. Sometimes, we place on hold one or two applications that are approved and fall next in rank order (after those projects selected for funding). If dollars become available as a result of negotiations, or if a higher ranked applicant declines the award, the projects on hold may receive funding. If you receive a letter stating that you will not receive funding, then your project has neither been selected for funding nor placed on hold.

### **INDIRECT COST RATE**

For competitions under the **Educational Technology, Media, and Materials for Individuals with Disabilities** (84.327) program, there is no maximum indirect cost for the competitions in this application package. An organization's current effective indirect cost rate is the rate that should be reflected in your proposed budget. The Department of Education (ED) reimburses grantees for its portion of indirect costs that a grantee incurs in projects funded by the Applications for New Awards; Educational Technology, Media, and Materials for Individuals with Disabilities—Stepping-up Technology Implementation, (CFDA No. 84.327S) competition. Any grantee charging indirect costs to a grant from this program must use the indirect cost rate

(ICR), negotiated with its *cognizant agency*, i.e., either the Federal agency from which it has received the most direct funding, subject to indirect cost support, the particular agency specifically assigned cognizance by the Office of Management and Budget or the State agency that provides the most subgrant funds to the grantee.

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

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

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

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

Applicants should use this proposed rate in their application materials and indicate which of the above methods was used to calculate the rate.

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

### **ISSUES RAISED DURING DISCUSSIONS PRIOR TO AWARD**

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

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

#### **TREATING A PRIORITY AS TWO SEPARATE COMPETITIONS.**

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

#### **SUCCESSFUL APPLICATIONS AND ESTIMATED/PROJECTED BUDGET AMOUNTS IN SUBSEQUENT YEARS**

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

**REQUIREMENT TO REPORT THE RESULTS OF GRANT ACTIVITIES**

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

**DIFFERENCE BETWEEN A COOPERATIVE AGREEMENT AND A GRANT**

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

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

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

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

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

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

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

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

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

Telephone: 202-512-1800

Information about the Department's funding opportunities, including copies of application notices for discretionary grant competitions, can be viewed on the Department's grant information web page which can be accessed on the Internet at:

[www.ed.gov/about/offices/list/ocfo/gcsindex.html](http://www.ed.gov/about/offices/list/ocfo/gcsindex.html)

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



**APPLICATION TRANSMITTAL  
INSTRUCTIONS AND REQUIREMENTS FOR  
INTERGOVERNMENTAL REVIEW**

## APPLICATION TRANSMITTAL INSTRUCTIONS

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### ATTENTION ELECTRONIC APPLICANTS:

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

We will reject your application if you submit it in paper format unless, as described in the Federal Register notice for this competition, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions.

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

### APPLICATIONS SUBMITTED ELECTRONICALLY

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Applications for grants under this program must be submitted electronically using the Government-wide Grants.gov Apply site at <http://www.Grants.gov>. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may **not** an electronic copy of a grant application to us.

Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system **no later than 11:59:59 p.m., Washington, D.C. time, on the application deadline date**. Except as otherwise noted in Federal Register notice for this competition, we will not consider your application if it is date and time stamped by the Grants.gov system later than 11:59:59 p.m., Washington, D.C. time, on the application deadline date.

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

### Please note the following:

- You must attach any narrative sections of your application as files in a **.pdf** (Portable Document) in a read only, flattened format. **If you upload a file type other than a .pdf file, or submit a password-protected file, we will not review that material.**
- Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.

- When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters. The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.
- Your electronic application should comply with any page-limit recommendations described in this application package.
- If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

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

**SUBMISSION OF PAPER APPLICATIONS BY MAIL:**

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If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number **84.327S**)  
LBJ Basement Level 1  
400 Maryland Avenue, SW  
Washington, DC 20202-4260

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

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

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

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

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

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

#### **SUBMISSION OF PAPER APPLICATIONS BY HAND DELIVERY:**

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If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number **84.327S**)  
550 12th Street, SW  
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 11:59:59 p.m., Washington, D.C. time, except on Saturdays, Sundays, and Federal holidays.

#### **NOTE FOR MAIL OR HAND DELIVERY OF PAPER APPLICATIONS:**

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If you mail or hand deliver your application to the Department—

- (1) You must indicate on the envelope and—if not provided by the Department—in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and
- (2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

## **SUBMITTING APPLICATIONS WITH ADOBE READER SOFTWARE**

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

### **IMPORTANT ISSUES TO CONSIDER:**

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

**For your convenience, the latest version of Adobe Reader is available for free download at [http://grantsgov.tmp.com/static2007/help/download\\_software.jsp#adobe811](http://grantsgov.tmp.com/static2007/help/download_software.jsp#adobe811).**

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

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

# APPENDIX

## **INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS**

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

The objective of the executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on state and local processes for state and local government coordination and review of proposed federal financial assistance.

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

In states that have not established a process or chosen a program for review, state, areawide, regional, and local entities may submit comments directly to the Department.

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

The Secretary  
EO 12372—CFDA 84.327S [commenter must insert number—including suffix letter,  
if any]  
U.S. Department of Education, Room 7W301  
400 Maryland Avenue, SW  
Washington, DC 20202

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

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

## STATE SINGLE POINTS OF CONTACT (SPOCs)

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It is estimated that in 2009 the federal government will outlay \$500 billion in grants to state and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on state and local processes for the coordination and review of proposed federal financial assistance and direct federal development. The order allows each state to designate an entity to perform this function. Below is the official list of those entities. For those states that have a home page for their designated entity, a direct link has been provided below by clicking on the state name.

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 a state that does not have a SPOC, you may 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.

[http://12.46.245.173/CFDA/appx4\\_web.pdf](http://12.46.245.173/CFDA/appx4_web.pdf)

or by state:

[http://12.46.245.173/CFDA/appx4\\_web\\_state.pdf](http://12.46.245.173/CFDA/appx4_web_state.pdf)



<b>STATE SINGLE POINTS OF CONTACT</b>	
<p><b>ARIZONA</b></p> <p><b>Matthew Hanson, GPC</b>            Statewide Grant Administrator            ADOA, Office of Grants and            Federal Resources            100 N. 15<sup>th</sup> Avenue, 4<sup>th</sup> Floor            Phoenix, AZ 85007            TEL: 602-542-7567            Email: Matthew.Hanson@azdoa.gov</p>	<p><b>ARKANSAS</b></p> <p><b>Tracy L. Copeland</b>            Manager, State Clearinghouse            Office of Intergovernmental Services            Department of Finance and Administration            1515 W. 7th Street, Room 412            Little Rock, AR 72203            TEL: (501) 682-1074            FAX: (501) 682-5206            Email: tracy.copeland@dfa.state.ar.us</p>
<p><b>CALIFORNIA</b></p> <p>Grants Coordination            State Clearinghouse            Office of Planning and Research            P.O. Box 3044, Room 222            Sacramento, CA 95812-3044            TEL: (916) 445-0613            FAX: (916) 328-3018            Email: State.clearinghouse@opr.ca.gov</p>	<p><b>DELAWARE</b></p> <p><b>Lindsay Lewis</b>            SPOC/Federal Aid Master Contact            Office of Management and Budget            Budget Development, Planning &amp;            Administration            122 Martin Luther King Blvd South            Dover, DE 19901            TEL: (302) 672-5115            Email: <a href="mailto:lindsay.lewis@state.de.us">lindsay.lewis@state.de.us</a>  <a href="https://budget.delaware.gov/clearinghouse/">https://budget.delaware.gov/clearinghouse/</a></p>
<p><b>DISTRICT OF COLUMBIA</b></p> <p><b>Pat Henry</b>            DC Government Office of Partnerships            and Grants Development            441 4th Street, NW            Washington, DC 20001            TEL: (202) 727-8900  <a href="http://opgs.dc.gov">http://opgs.dc.gov</a></p>	<p><b>FLORIDA</b></p> <p><b>Chris Stahl</b>            Florida State Clearinghouse            Florida Dept. of Environmental Protection            3900 Commonwealth Boulevard            Mall Station 47            Tallahassee, FL 32899-3000            TEL: (850) 245-2161            FAX: (850) 245-2190            Email: Chris.Stahl@dep.state.fl.us</p>

<b>STATE SINGLE POINTS OF CONTACT</b>	
<p><b>IOWA</b></p> <p><b>Debra Scrowther</b> Iowa Department of Management State Capitol Building Room G12 1007 E. Grand Avenue Des Moines, IA 50319 TEL: (515) 281-8834 FAX: (515) 242-5897 Email: Debra.Scrowther@iowa.gov</p>	<p><b>KENTUCKY</b></p> <p><b>Lee Nalley</b> The Governor's Office for Local Development 1024 Capital Center Drive, Suite 340 Frankfort, Kentucky 40601 TEL: (502) 573-2382 Ext. 274 FAX: (502) 573-1519 Email: Lee.Nalley@ky.gov</p>
<p><b>LOUISIANA</b></p> <p><b>Terry Thomas</b> Louisiana SPOC for EPA Grant Office of Management and Finance LA Department of Environmental Quality P.O. Box 4303 Baton Rouge, LA 70821-4303 TEL: (225) 219-3840 FAX: (225) 219-3846 Email: Terry.Thomas@la.gov</p>	<p><b>MARYLAND</b></p> <p><b>Jason Dubow</b> Manager Resource, Conservation and Management Maryland Department of Planning 301 West Preston Street, Room 1101 Baltimore, MD 21201-2305 TEL: (410) 767-4490 FAX: (410) 767-4480 Email: mdp.clearinghouse@maryland.gov <a href="http://planning.maryland.gov/Pages/OurWork/GrantResources.aspx">http://planning.maryland.gov/Pages/OurWork/GrantResources.aspx</a></p>
<p><b>MICHIGAN</b></p> <p><b>Ed Hug</b> Southeast Michigan Council of Governments 1001 Woodward, Suite 1400 Detroit, MI 48226 TEL: (313) 324-3335 FAX: (313) 961-4869 Email: hug@semcog.org</p>	<p><b>MISSOURI</b></p> <p><b>Sara VanderFeltz</b> Federal Assistance Clearinghouse Office of Administration Commissioner's Office Capitol Building, Room 125 Jefferson City, MO 65102 TEL: (573) 751-0337 FAX: (573) 751-1212 Email: sara.vanderfeltz@oa.mo.gov</p>

<b>STATE SINGLE POINTS OF CONTACT</b>	
<p><b>NEVADA</b>            Department of Administration            Nevada State Clearinghouse            Coordinator/SPOC            209 E. Musser Street, Room 200            Carson City, Nevada 89701            TEL: (775) 684-5676            FAX: (775) 684-0260            Email: slambert@admin.nv.gov  <a href="http://budget.nv.gov/StateBudget/TaxpayersReport/Single_Point_of_Contact/">http://budget.nv.gov/StateBudget/            TaxpayersReport/Single_Point_of_Contact/</a></p>	<p><b>NEW HAMPSHIRE</b>  <b>Joanne O. Morin</b>            New Hampshire Office of Energy and Planning            Attn: Intergovernmental Review Process,            Michele Zydel            107 Pleasant Street, Johnson Hall            Concord, New Hampshire 03301-8519            TEL: (603) 271-2155            FAX: (603) 271-2615            Email: michelle.zydel@nh.gov</p>
<p><b>NORTH DAKOTA</b>  <b>Rikki Roehrich</b>            Program Specialist            ND Department of Commerce            1600 East Century Avenue, Suite 2            P.O. Box 2057            Bismarck, ND 58502-2057            TEL: (701) 328-2687            FAX: (701) 328-2308            Email: rroehrich@state.nd.us</p>	<p><b>RHODE ISLAND</b>  <b>Benny Bergantino</b>            Division of Planning            RI Department of Administration, Third Floor            One Capitol Hill            Providence, Rhode Island 02908-5870            TEL: (401) 222-1755            FAX: (401) 222-2083            Email: benny.bergantino@doa.ri.gov</p>
<p><b>SOUTH CAROLINA</b>  <b>Bonnie L. Anderson</b>            Grants Services Coordinator            Executive Budget Office            1205 Pendleton Street            Edgar A. Brown Building, Suite 529            Columbia, South Carolina 29201            TEL: (803) 734-0435            FAX: (803) 734-0645            Email: Bonny.Anderson@admin.sc.gov</p>	<p><b>UTAH</b>  <b>Ken Matthews</b>            Utah State Clearinghouse            Governor's Office of Planning and Budget            Utah State Capitol Complex            Suite E210, PO Box 142210            Salt Lake City, Utah 84114-2210            TEL: (801) 538-1149            FAX: (801) 538-1547            Email: stategrants@utah.gov</p>

<b>STATE SINGLE POINTS OF CONTACT</b>	
<p><b>WEST VIRGINIA</b></p> <p><b>Mary Jo Thompson</b>            Director            Community Development Division            West Virginia Development Office            Building #6, Room 553            Charleston, WV 25305</p> <p>TEL: (304) 558-2234            FAX: (304) 558-3248            Email: Mary.J.Thompson@wvdo.org</p>	<p><b>AMERICAN SAMOA</b></p> <p><b>Jerome Ierome</b>            Administrator, Office of Grants Oversight and            Accountability            Coordinator, ASG High Risk Task Force            Office of the Governor            American Samoa Government (ASG)            A.P. Lutali Executive Office Building            American Samoa, 96799</p> <p>TEL: (684) 633-4116            FAX: (684) 633-2269            Email: jerome.ierome@go.as.gov</p>
<p><b>GUAM</b></p> <p><b>Kate G. Baltazar</b>            Administrator            Guam State Clearinghouse            Office of I Segundo na Maga'lahren Guåhan            Office of the Governor            P.O. Box 2950            Hågatña, Guam 96932</p> <p>TEL: (671) 475-9384            FAX: (671) 472-2288            Email: Kate.Baltazar@guam.gov</p>	<p><b>NORTH MARIANA ISLANDS</b></p> <p><b>Mr. Antonio S. Muna</b>            Special Assistant for Management            Office of Management and Budget            Office of the Governor            Saipan, MP 96950</p> <p>TEL: (670) 664-2289            FAX: (670) 328-2272            Email: macaranas@yahoo.com</p>
<p><b>PUERTO RICO</b></p> <p><b>Ing. David Rodríguez / Luz H. Olmeda</b>            Puerto Rico Planning Board            Federal Proposals Review Office            PO Box 41119            San Juan, Puerto Rico 00940-1119</p> <p>TEL: 787-723-6190            FAX: 787-722-6783            Email: Olmeda_L@jp.gobierno.pr</p>	<p><b>VIRGIN ISLANDS</b></p> <p><b>Debra Gottlieb (Acting Director)</b>            Director, Office of Management and Budget            #41 Norre Gade Emancipation Garden            Station, Second Floor            Saint Thomas, Virgin Islands 00802</p> <p>TEL: (340) 774-0750            FAX: (340) 776-0069            Email: dbgottlieb@omb.gov.vi</p>

Changes to this list can be made only after OMB is notified by a state's officially designated representative. Email messages can be sent to Hai\_M.\_Tran@omb.eop.gov. If you prefer, you may send correspondence to the following postal address:

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

**Please note:** Inquiries about obtaining a federal grant should not be sent to the OMB email or postal address shown above. The best source for this information is the *Catalog of Federal Domestic Assistance* or CFDA ([www.cfda.gov](http://www.cfda.gov)) and the Grants.gov Web site ([www.grants.gov](http://www.grants.gov)).

**NOTICE TO ALL APPLICANTS  
ENSURING EQUITABLE ACCESS AND  
APPLICATION FORMS AND INSTRUCTIONS**

## NOTICE TO ALL APPLICANTS

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

### **To Whom Does This Provision Apply?**

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

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

### **What Does This Provision Require?**

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other

program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

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

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

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

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary

students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

- (4) An applicant that proposes a project to increase school safety might describe the special efforts it will take to address concern of lesbian, gay, bisexual, and transgender students, and efforts to reach out to and involve the families of LGBT students

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

### **ESTIMATED BURDEN STATEMENT FOR GEPA REQUIREMENTS**

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According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 1.5 hours 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. The obligation to respond to this collection is required to obtain or retain benefit (Public Law 103-382. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1894-0005.

OMB Control No. 1894-0005 (Exp. 03/31/2017)



## APPLICATION FORMS AND INSTRUCTIONS FOR GRANTS.GOV APPLICATIONS

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

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

### General Forms:

- Application for Federal Assistance (SF-424)
- Department of Education Budget Information for Non-Construction Programs (ED-524)
- Department of Education Supplemental for SF-424
- Evidence of Effectiveness Form

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

### Assurances and Certifications:

- Assurances for Non-Construction Programs (SF-424B)
- Disclosure of Lobbying Activities (SF-LLL)
- Grants.gov Lobbying Form (Formerly ED Form 80-0013)
- ED GEPA427 Form

### Abstract:

- ED Abstract Form—(Upload and attach your abstract as a PDF document in a read only, flattened format to Abstract File). **For the application Abstract, applicants should use the template located at:**

<https://www2.ed.gov/programs/oseptms/applicant.html>.

### Narrative Attachment Forms:

- Project Narrative Attachment Form\* (Upload and attach to Mandatory Project Narrative File). Submit only one .PDF document in a read only, flattened format to the Mandatory Project Narrative File in the following order:
  - o Table of Contents

- o List of Priority Requirements and corresponding page number(s) where requirements are addressed within the application (if applicable)
- o Project Narrative (required)

**Other Narrative Attachments** (Upload and attach to Optional Project Narrative File).

Upload the attachments as PDF documents in a read only, flattened format in the order they should appear in the application.

Suggested order...

- o Reference List
- o Appendix A (See Dear Applicant letter for description)
- o Appendix B (Syllabi)
- o Resumes/Vitae
- o Letters
- o Supplementary Information
- o Other Appendices

**\*NOTE:** The Project Narrative Attachment Form should include the narrative (text) that addresses each of the selection criteria, listed elsewhere in this document. The selection criteria will be used to evaluate applications submitted for this competition. The narrative has recommended formatting and page limits (check the Page Limits section of this document for formatting and page limit recommendations for the competition to which you are applying). The table of contents and list of priority requirements, if applicable, do not count toward the recommended narrative page limit.

**NOTE:** The Federal Funding Opportunity Number for this program is **ED-GRANTS-070318-001**

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

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

OMB Number: 4040-0004

Expiration Date: 12/31/2019

**APPLICATION FOR FEDERAL ASSISTANCE—SF-424****\*1. Type of Submission:**

- Preapplication  
 Application  
 Changed/Corrected Application

**\*2. Type of Application**

- New  
 Continuation  
 Revision

\*If Revision, select appropriate letter(s): \_\_\_\_\_

\*Other (Specify): \_\_\_\_\_

**\*3. Date Received:** \_\_\_\_\_

Completed by Grants.gov upon submission

**4. Applicant Identifier:** \_\_\_\_\_**5a. Federal Entity Identifier:** \_\_\_\_\_**\*5b. Federal Award Identifier:** \_\_\_\_\_**State Use Only:****6. Date Received by State:** \_\_\_\_\_**7. State Application Identifier:** \_\_\_\_\_**8. APPLICANT INFORMATION:****\*a. Legal Name:****\*b. Employer/Taxpayer Identification Number (EIN/TIN):** \_\_\_\_\_**\*c. Organizational DUNS:** \_\_\_\_\_**d. Address:**

\*Street 1: \_\_\_\_\_

Street 2: \_\_\_\_\_

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

County/Parish: \_\_\_\_\_

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

Province: \_\_\_\_\_

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

\*Zip / Postal Code \_\_\_\_\_

**e. Organizational Unit:**

Department Name: \_\_\_\_\_

Division Name: \_\_\_\_\_

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

Prefix: \_\_\_\_\_ \*First Name: \_\_\_\_\_

Middle Name: \_\_\_\_\_

\*Last Name: \_\_\_\_\_

Suffix: \_\_\_\_\_

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

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

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

Fax Number: \_\_\_\_\_

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

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## APPLICATION FOR FEDERAL ASSISTANCE—SF-424

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9. Type of Applicant 1: Select Applicant Type: \_\_\_\_\_

Type of Applicant 2: Select Applicant Type: \_\_\_\_\_

Type of Applicant 3: Select Applicant Type: \_\_\_\_\_

\*Other (Specify): \_\_\_\_\_

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**\*10 Name of Federal Agency:** \_\_\_\_\_

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11. Catalog of Federal Domestic Assistance Number: \_\_\_\_\_

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

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**\*12 Funding Opportunity Number:** \_\_\_\_\_

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

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13. Competition Identification Number: \*Not applicable to this competition

Title: \*Not applicable to this competition \_\_\_\_\_

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

\_\_\_\_\_

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

Attach supporting documents as specified in agency instructions.

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16. Congressional Districts Of:

\*a. Applicant: \_\_\_\_\_

\*b. Program/Project: \_\_\_\_\_

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17. Proposed Project:

\*a. Start Date: \_\_\_\_\_

\*b. End Date: \_\_\_\_\_

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18. Estimated Funding (\$):

\*a. Federal: \_\_\_\_\_

\*b. Applicant: \_\_\_\_\_

\*c. State: \_\_\_\_\_

\*d. Local: \_\_\_\_\_

\*e. Other: \_\_\_\_\_

\*f. Program Income: \_\_\_\_\_

\*g. TOTAL: \_\_\_\_\_

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**\*19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

a. This application was made available to the State under the Executive Order 12372 Process for review on \_\_\_\_\_

b. Program is subject to E.O. 12372 but has not been selected by the State for review.

c. Program is not covered by E.O. 12372

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**\*20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**

Yes     No

If "Yes", provide explanation and attach.

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**APPLICATION FOR FEDERAL ASSISTANCE—SF-424**

**21. \*By signing this application, I certify:**

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

I AGREE\*\*

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

**Authorized Representative:**

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

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

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

Fax Number: \_\_\_\_\_

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

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

\*Date Signed:  
 Completed by Grants.gov upon submission

**INSTRUCTIONS FOR THE SF-424**

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

<p><b>1. Type of Submission:</b>                  (Required) Select one type of submission in accordance with agency instructions.</p> <ul style="list-style-type: none"> <li>▶ Pre-application</li> <li>▶ Application</li> <li>▶ Changed/Corrected Application – Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date.</li> </ul>	<p><b>10. Name Of Federal Agency:</b> (Required)                  Enter the name of the federal agency from which assistance is being requested with this application.</p> <hr/> <p><b>11. Catalog Of Federal Domestic Assistance Number/Title:</b>                  Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.</p>
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<p><b>2. Type of Application:</b> (Required) Select one type of application in accordance with agency instructions.</p> <ul style="list-style-type: none"> <li>• <b>New</b>—An application that is being submitted to an agency for the first time.</li> <li>• <b>Continuation</b>—An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• <b>Revision</b>—Any change in the federal government’s financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. <ul style="list-style-type: none"> <li>A. Increase Award</li> <li>B. Decrease Award</li> <li>C. Increase Duration</li> <li>D. Decrease Duration</li> <li>E. Other (specify)</li> </ul> </li> </ul>	<p><b>12. Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement.</p> <hr/> <p><b>13. Competition Identification Number/Title:</b> Enter the competition identification number and title of the competition under which assistance is requested, if applicable.</p> <hr/> <p><b>14. Areas Affected By Project:</b> This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.</p>
<p><b>3. Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency..</p>	<p><b>15. Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.</p>
<p><b>4. Applicant Identifier:</b> Enter the entity identifier assigned buy the Federal agency, if any, or the applicant’s control number if applicable.</p>	
<p><b>5a. Federal Entity Identifier:</b> Enter the number assigned to your organization by the federal agency, if any.</p>	
<p><b>5b. Federal Award Identifier:</b> For new applications, enter NA. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.</p>	<p><b>16. Congressional Districts Of:</b> 16a. (Required) Enter the applicant’s congressional district. 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina’s 103 district. If all congressional districts in a state are affected, enter “all” for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be</p>
<p><b>6. Date Received by State:</b> Leave this field blank. This date will be assigned by the state, if applicable.</p>	

<p><b>7. State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the state, if applicable.</p>	<p>different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.</p>
<p><b>8. Applicant Information:</b> Enter the following in accordance with agency instructions:</p> <p><b>a. Legal Name:</b> (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a>.</p> <p><b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.</p> <p><b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a>.</p> <p><b>d. Address:</b> Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).</p> <p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.</p> <p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.</p>	<p><b>17. Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.</p> <p><b>18. Estimated Funding:</b> (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.</p> <p><b>19. Is Application Subject to Review by State Under Executive Order 12372 Process?</b> (Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p> <p><b>20. Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.</p>
<p><b>9. Type of Applicant:</b> (Required) Select up to three applicant type(s) in accordance with agency instructions.</p>	<p><b>21. Authorized Representative:</b> To be signed and dated by the authorized representative of the applicant</p>

<p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p>	<p>M. Nonprofit</p> <p>N. Private Institution of Higher Education</p> <p>O. Individual</p> <p>P. For-Profit Organization (Other than Small Business)</p> <p>Q. Small Business</p> <p>R. Hispanic-serving Institution</p> <p>S. Historically Black Colleges and Universities (HBCUs)</p> <p>T. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>U. Alaska Native and Native Hawaiian Serving Institutions</p> <p>V. Non-US Entity</p> <p>W. Other (specify)</p>	<p>organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)</p>
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**SUPPLEMENTAL INFORMATION REQUIRED FOR THE DEPARTMENT OF EDUCATION**

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**1. Project Director:**

Name: \_\_\_\_\_

Prefix: \_\_\_\_\_

\*First Name: \_\_\_\_\_

Middle Name: \_\_\_\_\_

\*Last Name: \_\_\_\_\_

Suffix: \_\_\_\_\_

Address

\*Street1: \_\_\_\_\_

Street2: \_\_\_\_\_

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

County: \_\_\_\_\_

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

\*Zip Code: \_\_\_\_\_

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

\*Phone Number (give area code): \_\_\_\_\_

Fax Number (give area code): \_\_\_\_\_

Email Address: \_\_\_\_\_

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**2. Applicant Experience:**

Novice Applicant?:    Yes     No     Not applicable to this program

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**3. Human Subjects Research:**

Are any research activities involving human subjects planned at any time during the proposed project Period?    Yes   
No

Are ALL the research activities proposed designated to be exempt from the regulations? Yes  Provide Exemption(s) #: \_\_\_\_\_  
 No  Provide Assurance #, if available: \_\_\_\_\_

Please attach an explanation narrative: \_\_\_\_\_

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

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**1. Project Director.**

Name, address, telephone and fax numbers, and email address of the person to be contacted on matters involving this application.

**2. Novice Applicant.**

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

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

**3. Human Subjects Research.**

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

**If Not Human Subjects Research.**

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

**If Human Subjects Research.**

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

**3a. If Human Subjects Research is Exempt from the Human Subjects Regulations.**

Check **“Yes”** if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information Form SF 424.”

**3a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.**

Check **"No"** if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. "Nonexempt Research Narrative" in the page entitled "Definitions for Department of Education Supplemental Information Form SF 424

**3a. Human Subjects Assurance Number.**

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

**NOTE ABOUT INSTITUTIONAL REVIEW BOARD APPROVAL.**

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

## PAPERWORK BURDEN STATEMENT

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

U.S. Department of Education  
Washington, DC 20202-4700

If you have comments or concerns regarding the status of your individual submission of this form write directly to:

Application Control Center  
U.S. Department of Education  
550 12th St. SW, Room PCP 7076  
Washington, DC 20202-4260

## DEFINITIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

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### (Attachment to Instructions for Supplemental Information for SF 424)

#### DEFINITIONS

##### **Novice Applicant (See 34 CFR 75.225).**

For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

#### PROTECTION OF

#### HUMAN SUBJECTS IN RESEARCH

##### I. Definitions and Exemptions

###### A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

###### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

###### —Human Subject

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable

private information.” (1) *If an activity involves obtaining information about a living person by manipulating that person or that person’s environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met.* (2) *If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

## B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

- (1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional

techniques, curricula, or classroom management methods.

- (2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects’ responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects’ financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

- (3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal

statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

- (4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.
- (5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.
- (6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked “Yes” for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

### A. Exempt Research Narrative.

If you marked “Yes” for item 3 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### B. Nonexempt Research Narrative.

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

- (1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any

- subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable
- (2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.
- (3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.
- (4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.
- (5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.
- (6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.
- (7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.
- Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from:
- Grants Policy and Oversight Staff  
Office of the Chief Financial Officer  
U.S. Department of Education  
Washington, DC 20202-4250
- Telephone: 202-245-6120



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

[www.ed.gov/about/offices/list/ocfo/humansub.html](http://www.ed.gov/about/offices/list/ocfo/humansub.html)

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

## PART II: BUDGET INFORMATION (FORM 524)



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

OMB Control Number: 1894-0008  
Expiration Date: 08-31-2020

**Name of Institution/Organization:**

Applicants requesting funding for only one year should complete the column under "Project Year 1."  
Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A—BUDGET SUMMARY  
U.S. DEPARTMENT OF EDUCATION FUNDS**

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

**\*Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

- (1) Do you have an Indirect Cost Rate Agreement approved by the Federal government?  Yes  No
- (2) If yes, please provide the following information:  
 Period Covered by the Indirect Cost Rate Agreement: From:  /  /  To:  /  /  (mm/dd/yyyy)  
 Approving Federal agency:  ED  Other (please specify):  The Indirect Cost Rate is  %
- (3) For Restricted Rate Programs (check one) — Are you using a restricted indirect cost rate that:  
 Is included in your approved Indirect Cost Rate Agreement? or  Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is  %
- (4) If you do not have an approved indirect cost rate agreement, do you want to use the temporary rate of 10% of budgeted salaries and wages?  Yes  No. If yes, you must submit a proposed indirect cost rate agreement within 90 days after the date your grant is awarded, as required by 34 CFR § 75.560.
- (5) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:  
 Is included in your approved Indirect Cost Rate Agreement? Or  Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is  %.

<b>Name of Institution/Organization:</b>	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.					
<b>SECTION B—BUDGET SUMMARY NON-FEDERAL FUNDS</b>						
Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (Lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (Lines 9-11)						

**SECTION C—BUDGET NARRATIVE**  
(see instructions)

ED 524

## INSTRUCTIONS FOR ED FORM 524

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### 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. You may access the Education Department General Administrative Regulations, 34 CFR 74 – 86 and 97-99, on ED’s website at: <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>. You may access requirements from 2 CFR 200, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards” cited within these instructions at: <https://www.federalregister.gov/articles/2013/12/26/2013-30465/uniform-administrative-requirements-cost-principles-and-audit-requirements-for-federal-awards>.

**You must consult with your Business Office prior to submitting this form.**

### SECTION A: BUDGET SUMMARY—U.S. DEPARTMENT OF EDUCATION FUNDS

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

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

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

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

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

**Indirect Cost Information:** If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office.

Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government.

(1) If you checked “no,” ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:

(a) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after ED issues a grant award notification; and

- (b) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.
- (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 cost-sharing or matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

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

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

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

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

**SECTION C: BUDGET NARRATIVE**

**[Attach separate sheet(s)] Pay attention to applicable program specific instructions, if attached.**

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. For non-Federal funds or resources listed in Section B that are used to meet a cost-sharing or matching requirement or provided as a voluntary cost-sharing or matching commitment, you must include:
  - a. The specific costs or contributions by budget category;
  - b. The source of the costs or contributions; and
  - c. In the case of third-party in-kind contributions, a description of how the value was determined for the donated or contributed goods or services.

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

<http://www.whitehouse.gov/omb/circulars/index.html>

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

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's Web site at:

[www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html).

Provide other explanations or comments you deem necessary.

### **PAPERWORK BURDEN STATEMENT**

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According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1894-0008**. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:

U.S. Department of Education  
Washington, DC 20202-4651

If you have comments or concerns regarding the status of your individual submission of this form, write directly to:

Office of Special Education Programs  
U.S. Department of Education  
400 Maryland Ave., SW  
Washington, DC 20202



## **PART III: APPLICATION NARRATIVE**

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

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



# PART IV: U.S. DEPARTMENT OF EDUCATION EVIDENCE FORM

## 1. Level of Evidence

Select the level of evidence of effectiveness for which you are applying. See the Notice Inviting Applications for the relevant definitions.

Promising Evidence

Moderate Evidence

Strong Evidence

## 2. Citation and Relevance

Fill in the chart below with the appropriate information about the studies that support your application.

A. Citation	B. Relevant Finding(s)	C. Overlap of Populations and/or Settings

**INSTRUCTIONS FOR EVIDENCE FORM**

1. **Level of Evidence.** Check the box next to the level of evidence for which you are applying. See the Notice Inviting Applications for the evidence definitions.
2. **Citation and Relevance.** Fill in the chart for each of the studies you are submitting to meet the evidence standards. If allowable under the program you are applying for, you may add additional rows to include more than four citations. (See below for an example citation.)
  - a. **Citation.** Provide the full citation for each study or WWC publication you are using as evidence. If the study has been reviewed by the WWC, please include the rating it received, the WWC review standards version, and the URL link to the description of that finding in the WWC reviewed studies database. Include a copy of the study or a URL link to the study, if available. Note that, to provide promising, moderate, or strong evidence, you must cite either a specific recommendation from a WWC practice guide, a WWC intervention report, or a publicly available, original study of the effectiveness of a component of your proposed project on a student outcome or other relevant outcome.
  - b. **Relevant Finding(s).** Describe: 1) the project component included in the study (or WWC practice guide or intervention report) that is also a component of your proposed project, 2) the student outcome(s) or other relevant outcome(s) that are included in both the study (or WWC practice guide or intervention report) and in the logic model (theory of action) for your proposed project, and 3) the study (or WWC intervention report) finding(s) or WWC practice guide recommendations supporting a favorable relationship between a project component and a relevant outcome. Cite page and table numbers from the study (or WWC practice guide or intervention report), where applicable.
  - c. **Overlap of Population and/or Settings.** Explain how the population and/or setting in your proposed project are similar to the populations and settings included in the relevant finding(s). Cite page numbers from the study or WWC publication, where applicable.

*EXAMPLES: For Demonstration Purposes Only (the three examples are not assumed to be cited by the same applicant)*

<b>A. Citation</b>	<b>B. Relevant Finding(s)</b>	<b>C. Overlap of Populations and Settings</b>
<p><i>Graham, S., Bruch, J., Fitzgerald, J., Friedrich, L., Furgeson, J., Greene, K., Kim, J., Lyskawa, J., Olson, C.B., &amp; Smither Wulsin, C. (2016). Teaching secondary students to write effectively (NCEE 2017-4002). Washington, DC: National Center for Education Evaluation and Regional Assistance (NCEE), Institute of Education Sciences, U.S. Department of Education. Retrieved from the NCEE website: <a href="https://ies.ed.gov/ncee/wwc/PracticeGuide/22">https://ies.ed.gov/ncee/wwc/PracticeGuide/22</a>. This report was prepared under Version 3.0 of the WWC Handbook (p. 72).</i></p>	<p><i>(Table 1, p. 4) Recommendation 1 (“Explicitly teach appropriate strategies using a Model – Practice – Reflect instructional cycle”) is characterized as backed by “strong evidence.”</i></p> <p><i>(Appendix D, Table D.2, pp. 70-72) Studies contributing to the “strong evidence” supporting the effectiveness of Recommendation 1 reported statistically significant and positive impacts of this practice on genre elements, organization, writing output, and overall writing quality.</i></p>	<p><i>(Appendix D, Table D.2, pp. 70-72) Studies contributing to the “strong evidence” supporting the effectiveness of Recommendation 1 were conducted on students in grades 6 through 12 in urban and suburban school districts in California and in the Mid-Atlantic region of the U.S. These study samples overlap with both the populations and settings proposed for the project.</i></p>

A. Citation	B. Relevant Finding(s)	C. Overlap of Populations and Settings
<p><i>U.S. Department of Education, Institute of Education Sciences, What Works Clearinghouse. (2017, February). Transition to College intervention report: Dual Enrollment Programs. Retrieved from <a href="https://ies.ed.gov/ncee/wwc/Intervention/1043">https://ies.ed.gov/ncee/wwc/Intervention/1043</a>. This report was prepared under Version 3.0 of the WWC Handbook (p. 1).</i></p>	<p><i>(Table 1, p. 2) Dual enrollment programs were found to have positive effects on students' high school completion, general academic achievement in high school, college access and enrollment, credit accumulation in college, and degree attainment in college, and these findings were characterized by a "medium to large" extent of evidence.</i></p>	<p><i>(pp. 1, 19, 22) Studies contributing to the effectiveness rating of dual enrollment programs in the high school completion, general academic achievement in high school, college access and enrollment, credit accumulation in college, and degree attainment in college domains were conducted in high schools with minority students representing between 32 and 54 percent of the student population and first generation college students representing between 31 and 41 percent of the student population. These study samples overlap with both the populations and settings proposed for the project.</i></p>

A. Citation	B. Relevant Finding(s)	C. Overlap of Populations and Settings
<p><i>Bettinger, E.P., &amp; Baker, R. (2011). The effects of student coaching in college: An evaluation of a randomized experiment in student mentoring. Stanford, CA: Stanford University School of Education. Available at <a href="https://ed.stanford.edu/sites/default/files/bettinger_baker_030711.pdf">https://ed.stanford.edu/sites/default/files/bettinger_baker_030711.pdf</a></i></p> <p><i>Meets WWC Group Design Standards without Reservations under review standards 2.1 (<a href="http://ies.ed.gov/ncee/wwc/Study/72030">http://ies.ed.gov/ncee/wwc/Study/72030</a>).</i></p>	<p><i>The intervention in the study is a form of college mentoring called student coaching. Coaches helped with a number of issues, including prioritizing student activities and identifying barriers and ways to overcome them. Coaches were encouraged to contact their assignees by either phone, email, text messaging, or social networking sites (pp. 8-10). The proposed project for Alpha Beta Community College students will train professional staff and faculty coaches on the most effective way(s) to communicate with their mentees, suggest topics for mentors to talk to their mentees, and be aware of signals to prevent withdrawal or academic failure.</i></p> <p><i>The relevant outcomes in the study are student persistence and degree completion (Table 3, p. 27), which are also included in the logic model for the proposed project.</i></p> <p><i>This study found that students assigned to receive coaching and mentoring were significantly more likely than students in the comparison group to remain enrolled at their institutions (pp. 15-16, and Table 3, p. 27).</i></p>	<p><i>The full study sample consisted of “13,555 students across eight different higher education institutions, including two- and four-year schools and public, private not-for-profit, and proprietary colleges.” (p. 10) The number of students examined for purposes of retention varied by outcome (Table 3, p. 27). The study sample overlaps with Alpha Beta Community College in terms of both postsecondary students and postsecondary settings.</i></p>

**Paperwork Burden Statement:** According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1894-0001. The time required to complete this information collection is estimated to vary from 1 to 4 hours per response, with an average of 1.5 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. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form, write directly to the Office of Innovation and Improvement, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202

## PART V: ASSURANCES AND CERTIFICATIONS

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### ASSURANCES—NON-CONSTRUCTION PROGRAMS

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

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

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

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

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1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972

## GRANT APPLICATION PACKAGE

- (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646), which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
  8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7326) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
  9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §§874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 325-333), regarding labor standards for federally assisted construction subagreements.
  10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
  11. Will comply with environmental standards which may be prescribed pursuant to the following:
    - (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514;
    - (b) notification of violating facilities pursuant to EO 11738;
    - (c) protection of wetlands pursuant to EO 11990;
    - (d) evaluation of flood hazards in floodplains in accordance with EO 11988;
    - (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.);
    - (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.);
    - (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and
    - (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
  12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
  13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
  14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
  15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
  16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

**GRANT APPLICATION PACKAGE**

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

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SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

TITLE

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APPLICANT ORGANIZATION

DATE SUBMITTED

OMB Approval No. 0348-0040

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



## CERTIFICATION REGARDING LOBBYING

Applicants must review the requirements for certification regarding lobbying included in the regulations cited below before completing this form. Applicants must sign this form to comply with the certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying." This certification is a material representation of fact upon which the Department of Education relies when it makes a grant or enters into a cooperative agreement.

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As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a Federal contract, grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form—LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants and contracts under grants and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certification.

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NAME OF APPLICANT

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PR/AWARD NUMBER AND/OR PROJECT NAME

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PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

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SIGNATURE

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DATE

## DISCLOSURE OF LOBBYING ACTIVITIES

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

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

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

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

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

identified in item 4 to influence the covered Federal action.

Last Name, First Name, and Middle Initial (MI).

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter

11. The certifying official shall sign and date the form, print his/her name, title and telephone number.

#### **PAPERWORK REDUCTION ACT STATEMENT**

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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:

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

## **PART VI: ADDITIONAL INFORMATION**

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### **DUNS NUMBER INSTRUCTIONS**

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#### **D-U-N-S No.**

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

[www.dnb.com/duns-number.html](http://www.dnb.com/duns-number.html)

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

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

### **GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT**

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

U.S. Department of Education  
Application Control Center

202-245-6288

### **GRANT AND CONTRACT FUNDING INFORMATION**

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

ED Internet Home Page: [www.ed.gov](http://www.ed.gov)

Grants.gov: [www.Grants.gov](http://www.Grants.gov)