

**U.S. Department of Education  
Application for Grants**

**Child Care Access  
Means Parents in School  
Program**

**Fiscal Year 2005**

**CFDA Number 84.335  
Closing Date: July 22, 2005  
OMB No.: 1840-0737  
Expiration Date: 05/31/2008**

**Office of Postsecondary Education  
1990 K Street N.W., Suite 7000  
Washington, DC 20006-8510**



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**Application for Grants Under the  
Child Care Access Means Parents in School (CCAMPIS)  
Program**

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Dear Applicant:

Thank you for your interest in applying for a grant under the Child Care Access Means Parents in School (CCAMPIS) Program. This letter highlights a few items in the application package that will be important to you in applying for a grant. You should review the entire application package carefully before preparing and submitting your application.

We are requiring that applications for Fiscal Year (FY) 2005 grants under the CCAMPIS Program be submitted electronically using e-Application available through the Department's e-Grants system. The e-Grants system is accessible through its portal page at: <http://e-grants.ed.gov>.

An applicant who is unable to submit an application through the e-Grants system must submit a written request for a waiver of the electronic submission requirement at least two weeks before the deadline date. Additional information about e-Application submission requirements is in the Notice Inviting Applications (Notice), published in the Federal Register, and in the transmittal instructions, which are included in this package.

In addressing the "Need for the Project" selection criterion, please provide only data that relates to students who may be assisted by your project: only eligible students -- those students eligible for Federal Pell Grants -- enrolled at your institution. We will not consider demographic data on other students for the purpose of determining the extent to which you demonstrate need for the grant.

All applicants must provide a summary budget (ED 524) and a detailed Budget Narrative for the first twelve-month budget period. It is not necessary to provide a budget summary for the entire grant period. The maximum funding level for the first year of the grant is stipulated in the Notice, and the Department will determine the funding levels for each additional year of the grant award. We will use the required grantees' interim 18-month and 36-month performance reports to determine progress for purposes of continuation funding.

Applicants successful under this competition will be required to submit 18-month and 36-month performance reports. The requirements for these reports are detailed in the authorizing statute, Section 419N(e) of the Higher Education Act of 1965, as amended, a copy of which is included in this application package.

The Secretary will not award grants that supplant funds for current child care services. CCAMPIS Program funds may be used only to supplement child care services or establish a new child care program. CCAMPIS Program funds may be used either to provide child

care services or contract for the provision of child care services. However, the institution must have oversight authority for all child care services, whether provided directly by the applicant or by a contractor.

Please note that for the FY 2005 competition we have established a competitive preference priority. Applicants may receive up to 10 additional points based on the extent to which projects meet this priority. Additional information about this competitive priority is included in the Notice and in the application package.

All applicants are required to adhere to the page limit of 45 pages – for the combined Budget Narrative and Program Narrative. This page limit will be strictly enforced. Applications that exceed the page limit will not be reviewed. The Notice contains specific information governing page limits.

An eligible applicant may submit only one application. All currently funded grantees are eligible to apply under the FY 2005 competition. Because we do not anticipate conducting a FY 2006 competition, we urge all grantees, including those whose grants end in 2006, to apply under this competition. The Notice contains detailed information. We encourage applications from Student Support Services (SSS) Program grantees. The SSS Program, a Federal TRIO program, is designed to assist economically disadvantaged and nontraditional students, who also may qualify for CCAMPIS Program services.

The application must be submitted on or before the deadline date. Applications submitted late will not be accepted. We suggest that you submit your application at least one day before the deadline date. The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date.

If you have questions regarding the application package, please contact Dorothy S. Marshall or Antoinette Clark-Ross at the Federal TRIO Programs, U.S. Department of Education, 1990 K Street, N.W., Suite 7000, Washington, DC 20006-8510, ATTN: CFDA 84.335. Mrs. Marshall and Mrs. Clark-Ross may be reached by telephone at (202) 502-7600, or by Internet at [OPE\\_TRIO@ed.gov](mailto:OPE_TRIO@ed.gov).

Best regards,

Wilbert Bryant  
Deputy Assistant Secretary  
for Higher Education Programs

## Child Care Access Means Parents in School (CCAMPIS) Program

Notice Inviting Applications for New Awards for Fiscal Year (FY) 2005 is available at:

<http://www.ed.gov/about/offices/list/ope/trio/>.

Please read the Notice carefully before preparing your application for submission.

## Authorizing Statute

*Title IV, Part A, Subpart 7, Section 419N of the Higher Education Act of 1965, as amended (HEA)*

### **Subpart 7--Child Care Access Means Parents in School**

#### **SEC. 419N. CHILD CARE ACCESS MEANS PARENTS IN SCHOOL.**

`(a) PURPOSE- The purpose of this section is to support the participation of low-income parents in postsecondary education through the provision of campus-based child care services.

`(b) PROGRAM AUTHORIZED-

`(1) AUTHORITY- The Secretary may award grants to institutions of higher education to assist the institutions in providing campus-based child care services to low-income students.

`(2) AMOUNT OF GRANTS-

`(A) IN GENERAL- The amount of a grant awarded to an institution of higher education under this section for a fiscal year shall not exceed 1 percent of the total amount of all Federal Pell Grant funds awarded to students enrolled at the institution of higher education for the preceding fiscal year.

`(B) MINIMUM- A grant under this section shall be awarded in an amount that is not less than \$10,000.

`(3) DURATION; RENEWAL; AND PAYMENTS-

`(A) DURATION- The Secretary shall award a grant under this section for a period of 4 years.

`(B) PAYMENTS- Subject to subsection (e)(2), the Secretary shall make annual grant payments under this section.

`(4) ELIGIBLE INSTITUTIONS- An institution of higher education shall be eligible to receive a grant under this section for a fiscal year if the total amount of all Federal Pell Grant funds awarded to students enrolled at the institution of higher education for the preceding fiscal year equals or exceeds \$350,000.

`(5) USE OF FUNDS- Grant funds under this section shall be used by an institution of higher education to support or establish a campus-based child care program primarily serving the needs of low-income students enrolled at the institution of higher education. Grant funds under this section may be used to provide before and after school services to the extent necessary to enable low-income students enrolled at the institution of higher education to pursue postsecondary education.

`(6) CONSTRUCTION- Nothing in this section shall be construed to prohibit an institution of higher education that receives grant funds under this section from serving the child care needs of the community served by the institution.

`(7) DEFINITION OF LOW-INCOME STUDENT- For the purpose of this section, the term 'low-income student' means a student who is eligible to

receive a Federal Pell Grant for the fiscal year for which the determination is made.

`(c) APPLICATIONS- An institution of higher education desiring a grant under this section shall submit an application to the Secretary at such time, in such manner, and accompanied by such information as the Secretary may require. Each application shall--

`(1) demonstrate that the institution is an eligible institution described in subsection (b)(4);

`(2) specify the amount of funds requested;

`(3) demonstrate the need of low-income students at the institution for campus-based child care services by including in the application--

`(A) information regarding student demographics;

`(B) an assessment of child care capacity on or near campus;

`(C) information regarding the existence of waiting lists for existing child care;

`(D) information regarding additional needs created by concentrations of poverty or by geographic isolation; and

`(E) other relevant data;

`(4) contain a description of the activities to be assisted, including whether the grant funds will support an existing child care program or a new child care program;

`(5) identify the resources, including technical expertise and financial support, the institution will draw upon to support the child care program and the participation of low-income students in the program, such as accessing social services funding, using student activity fees to help pay the costs of child care, using resources obtained by meeting the needs of parents who are not low-income students, and accessing foundation, corporate or other institutional support, and demonstrate that the use of the resources will not result in increases in student tuition;

`(6) contain an assurance that the institution will meet the child care needs of low-income students through the provision of services, or through a contract for the provision of services;

`(7) describe the extent to which the child care program will coordinate with the institution's early childhood education curriculum, to the extent the curriculum is available, to meet the needs of the students in the early childhood education program at the institution, and the needs of the parents and children participating in the child care program assisted under this section;

`(8) in the case of an institution seeking assistance for a new child care program--

`(A) provide a timeline, covering the period from receipt of the grant through the provision of the child care services, delineating the specific steps the institution will take to achieve the goal of providing low-income students with child care services;



`(g) AUTHORIZATION OF APPROPRIATIONS- There are authorized to be appropriated to carry out this section \$45,000,000 for fiscal year 1999 and such sums as may be necessary for each of the 4 succeeding fiscal years.'

## **Instructions for Transmitting Applications**

ATTENTION APPLICANTS: Please note that you must follow the Application Procedures as described in the Federal Register Notice announcing the grant competition. Applicants for FY 2005 CCAMPIS Program grants must submit their applications electronically, unless they receive a waiver. The Notice contains specific requirements and waiver instructions.

### **Applications Submitted Electronically**

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

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

If you are unable to submit your application electronically, you must request a waiver of the electronic transmission requirement pursuant to the specific instructions contained in the Notice. Note: All requests for a waiver must be submitted at least two weeks before the deadline date. Address and mail or fax your request for a waiver to: Dr. Linda Byrd-Johnson, U.S. Department of Education, 1990 K Street N.W., Suite 7000, Washington, DC 20006-8510. Fax: (202) 502-7857.

If you receive a waiver of the electronic transmission requirement, you must submit your application in hard copy, by mail or by hand, by the deadline, as instructed, below.

## **INSTRUCTIONS FOR TRANSMITTING APPLICATIONS**

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

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

### **Applications Submitted Electronically**

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

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

### **Applications Sent by Mail**

You must mail the original and two copies of the application on or before the deadline date. To help expedite our review of your application, we would appreciate your voluntarily including an additional copy (a third copy), of your application.

**Please mail copies to:**

**U.S. Department of Education  
Application Control Center  
Attention: CFDA# 335  
400 Maryland Avenue, S.W.  
Washington, DC 20202 - 4260**

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

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

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

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

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

**Applications Delivered by Commercial Carrier:**

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

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

**U.S. Department of Education  
Application Control Center – Stop 4260  
Attention: CFDA# 335  
7100 Old Landover Road  
Landover, MD 20785-1506**

**Applications Delivered by Hand**

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

**Please hand deliver copies to:**

**U.S. Department of Education  
Application Control Center  
Attention: CFDA# 335  
550 12<sup>th</sup> Street, S.W.  
PCP - Room 7041  
Washington, DC 20202-4260**

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

## Intergovernmental Review of Federal Programs

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

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

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

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

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--

CFDA# [commenter must insert number--including suffix letter, if any], U.S.  
Department of Education, room 7W301, 400 Maryland Avenue, SW., Washington,  
DC 20202.

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

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

## STATE SINGLE POINTS OF CONTACT (SPOCs)

It is estimated that in 2004 the Federal Government will outlay \$400 billion in grants to State and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided on the official version: <http://www.whitehouse.gov/omb/grants/spoc.html>.

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

Contact information for Federal agencies that award grants can be found in Appendix IV of the Catalog of Federal Domestic Assistance.  
[[http://12.46.245.173/pls/portal30/CATALOG.BROWSE\\_CATALOG\\_DYN.show](http://12.46.245.173/pls/portal30/CATALOG.BROWSE_CATALOG_DYN.show)]

<p><b>ARKANSAS</b> Tracy L. Copeland Manager, State Clearinghouse Office of Intergovernmental Services Department of Finance and Administration 1515 W. 7<sup>th</sup> Street, Room 412 Little Rock, Arkansas 72203 Telephone: (501) 682-1074 FAX: (501) 682-5206 <a href="mailto:tracy.copeland@dfa.state.ar.us">tracy.copeland@dfa.state.ar.us</a></p>	<p><b>CALIFORNIA</b> Grants Coordination State Clearinghouse Office of Planning and Research P.O. Box 3044, Room 222 Sacramento, California 95812-3044 Telephone: (916) 445-0613 FAX: (916) 323-3018 <a href="mailto:State.clearinghouse@opr.ca.gov">State.clearinghouse@opr.ca.gov</a></p>
<p><b>DELAWARE</b> Sandra R. Stump Executive Department Office of the Budget 540 S. Dupont Highway , 3<sup>rd</sup> Floor Dover, Delaware 19901 Telephone: (302) 739-3323 FAX: (302) 739-5661 <a href="mailto:sandy.stump@state.de.us">sandy.stump@state.de.us</a></p>	<p><b>DISTRICT OF COLUMBIA</b> Marlene Jefferson DC Government Office of Partnerships and Grants Development 414 4<sup>th</sup> Street, NW Washington, DC 20001 Telephone: (202) 727-6518 FAX: (202) 727-1652 <a href="mailto:marlene.Jefferson@dc.gov">marlene.Jefferson@dc.gov</a></p>
<p><b>FLORIDA</b> Lauren P. Milligan Florida State Clearinghouse Florida Dept. of Environmental Protection 3900 Commonwealth Boulevard Mall Station 47 Tallahassee, Florida 32399-3000 Telephone: (850) 245-2161 FAX: (850) 245-2190 <a href="mailto:Lauren.Milligan@dep.state.fl.us">Lauren.Milligan@dep.state.fl.us</a></p>	<p><b>GEORGIA</b> Barbara Jackson Georgia State Clearinghouse 270 Washington Street, SW, 8<sup>th</sup> Floor Atlanta, Georgia 30334 Telephone: (404) 656-3855 FAX: (404) 656-7901 <a href="mailto:gach@mail.opb.state.ga.us">gach@mail.opb.state.ga.us</a></p>

<p><b>ILLINOIS</b>  Roukaya McCaffrey  Department of Commerce and  Economic Opportunities  620 East Adams, 6<sup>th</sup> Floor  Springfield, Illinois, 62701  Telephone: (217) 524-0188  FAX: (217) 558-0473  <a href="mailto:roukaya_mccaffrey@illinoisbiz.biz">roukaya_mccaffrey@illinoisbiz.biz</a></p>	<p><b>IOWA</b>  Kathy Mable  Iowa Department of Management  State Capitol Building Room G12  1007 E Grand Avenue  Des Moines, Iowa 50319  Telephone: (515) 281-8834  FAX: (515) 242-5897  <a href="mailto:Kathy.Mable@iowa.gov">Kathy.Mable@iowa.gov</a></p>
<p><b>KENTUCKY</b>  Ron Cook  The Governor's Office for Local  Development  1024 Capital Center Drive, Suite 340  Frankfort, Kentucky 40601  Telephone: (502) 573-2382 / (800) 346-5606  FAX: (502) 573-2512  <a href="mailto:Ron.Cook@Ky.Gov">Ron.Cook@Ky.Gov</a></p>	<p><b>MAINE</b>  Joyce Benson  State Planning Office  184 State Street  38 State House Station  Augusta, Maine 04333  Telephone: (207) 287-3261  (direct): (207) 287-1461  FAX: (207) 287-6489  <a href="mailto:joyce.benson@state.me.us">joyce.benson@state.me.us</a></p>
<p><b>MARYLAND</b>  Linda C. Janey, J.D.  Director, Capital Planning and  Development Review  Maryland Department of Planning  301 West Preston Street, Room 1104  Baltimore, Maryland 21201-2305  Telephone: (410) 767-4490  FAX: (410) 767-4480  <a href="mailto:linda@mail.op.state.md.us">linda@mail.op.state.md.us</a></p>	<p><b>MICHIGAN</b>  Richard Pfaff  Southeast Michigan Council of Governments  535 Griswold, Suite 300  Detroit, Michigan 48226  Telephone: (313) 961-4266  FAX: (313) 961-4869  <a href="mailto:pfaff@semcog.org">pfaff@semcog.org</a></p>
<p><b>MISSISSIPPI</b>  Mildred Tharpe  Clearinghouse Officer  Department of Finance and  Administration  1301 Woolfolk Building, Suite E  501 North West Street  Jackson, Mississippi 39201  Telephone: (601) 359-6762  Fax: (601) 359-6758</p>	<p><b>MISSOURI</b>  Federal Assistance Clearinghouse  Office of Administration  P.O. Box 809  Truman Building, Room 840  Jefferson City, Missouri 65102  Telephone: (573) 751-4834  FAX: (573) 522-4395  <a href="mailto:igr@mail.oa.state.mo.us">igr@mail.oa.state.mo.us</a></p>
<p><b>NEVADA</b>  Michael Stafford  Department of Administration  State Clearinghouse  209 E. Musser Street, Room 200  Carson City, Nevada 89701  Telephone: (775) 684-0209  FAX: (775) 684-0260  <a href="mailto:mstafford@budget.state.nv.us">mstafford@budget.state.nv.us</a></p>	<p><b>NEW HAMPSHIRE</b>  MaryAnn Manoogian  Director, New Hampshire Office of  Energy and Planning  Attn: Intergovernmental Review Process  Benjamin Frost  57 Regional Drive  Concord, New Hampshire 03301-8519  Telephone: (603) 271-2155  FAX: (603) 271-2615  <a href="mailto:irp@nh.gov">irp@nh.gov</a></p>

<p><b>NEW YORK</b> Linda Shkrell Office of Public Security Homeland Security Grants Coordination 633 3<sup>rd</sup> Avenue New York, NY 10017 Telephone: (212) 867-1289 FAX: (212) 867-1725</p>	<p><b>NORTH DAKOTA</b> Jim Boyd ND Department of Commerce 1600 East Century Avenue, Suite 2 P.O. Box 2057 Bismarck, North Dakota 58502-2057 Telephone: (701) 328-2676 FAX: (701) 328-2308 <a href="mailto:jboyd@state.nd.us">jboyd@state.nd.us</a></p>
<p><b>RHODE ISLAND</b> Joyce Karger Department of Administration One Capitol Hill Providence Rhode Island 02908-5870 Telephone: (401) 222-6181 FAX: (401) 222-2083 <a href="mailto:jkarger@doa.state.ri.us">jkarger@doa.state.ri.us</a></p>	<p><b>SOUTH CAROLINA</b> SC Clearinghouse Budget and Control Board Office of State Budget 1201 Main Street, Suite 950 Columbia, South Carolina 29201 Telephone: (803) 734-0494 FAX: (803) 734-0645 <a href="mailto:clearinghouse@budget.state.sc.us">clearinghouse@budget.state.sc.us</a></p>
<p><b>TEXAS</b> Denise S. Francis Director, State Grants Team Governor's Office of Budget and Planning P.O. Box 12428 Austin, Texas 78711 Telephone: (512) 305-9415 FAX: (512) 936-2681 <a href="mailto:dfrancis@governor.state.tx.us">dfrancis@governor.state.tx.us</a></p>	<p><b>UTAH</b> Sophia DiCaro Utah State Clearinghouse Governor's Office of Planning and Budget Utah Capitol Complex Suite E210, P.O. Box 142210 Salt Lake City, Utah 84114-2210 Telephone: (801) 538-1027 FAX: (801) 538-1547 <a href="mailto:ddicaro@utah.gov">ddicaro@utah.gov</a></p>
<p><b>WEST VIRGINIA</b> Fred Cutlip, Director Community Development Division West Virginia Development Office Building #6, Room 553 Charleston, West Virginia 25305 Telephone: (304) 558-4010 FAX: (304) 558-3248 <a href="mailto:fcutlip@wvdo.org">fcutlip@wvdo.org</a></p>	<p><b>WISCONSIN</b> Jeff Smith Section Chief, Federal/State Relations Wisconsin Department of Administration 101 East Wilson Street, 6<sup>th</sup> Floor P.O. Box 7868 Madison, Wisconsin 53707 Telephone: (608) 266-0267 FAX: (608) 267-6931 <a href="mailto:jeffrey.smith@doa.state.wi.us">jeffrey.smith@doa.state.wi.us</a></p>
<p><b>AMERICAN SAMOA</b> Pat M. Galea'i Federal Grants/Programs Coordinator Office of Federal Programs/Office of the Governor Department of Commerce American Samoa Government Pago Pago, American Samoa 96799 Telephone: (684) 633-5155 Fax: (684) 633-4195 <a href="mailto:pmgaleai@samoatelco.com">pmgaleai@samoatelco.com</a></p>	<p><b>GUAM</b> Director Bureau of Budget and Mgmt. Research Office of the Governor P.O. Box 2950 Agana, Guam 96910 Telephone: 011-671-472-2285 FAX: 011-671-472-2825 <a href="mailto:jer@ns.gov.gu">jer@ns.gov.gu</a></p>

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

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

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

**Please note:** Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the Catalog of Federal Domestic Assistance or CFDA <http://www.cfda.gov> and the Grants.gov website (<http://www.grants.gov>).

# Child Care Access Means Parents in School (CCAMPIS) Program

## SELECTION CRITERIA

The Secretary uses the following selection criteria to evaluate applications for new grants under the CCAMPIS Program. The maximum score for the total of these criteria (A-E) is 100 points. The maximum score for each criterion is indicated in parentheses. For applicants who have an *existing* child care program, the maximum score for each criterion is in *italics*: e.g., (10). The maximum score for each criterion for applicants who will establish a new child care program are underlined: e.g., (10)

Note: The authorizing statute, Section 419N(b)(7) of the HEA, defines “low-income student” as a student who is eligible to receive a Federal Pell Grant for the fiscal year for which the determination is made.

### **A. Need for the Project. (Maximum 35 Points)**

The applicant must demonstrate the need for campus-based child services for low-income students enrolled at the institution by including the following:

1. Information regarding student demographics; (10) (10)
2. An assessment of child care capacity on or near campus; (10) (10)
3. Information regarding the existence of waiting lists for existing child care; (5) (5)
4. Information regarding additional needs created by concentrations of poverty or by geographic isolation; (6) (6)

AND

5. Other relevant data. (4) (4)

**B. Plan of Operation. (Maximum 25 Points)**

The applicant must describe the activities to be assisted, and must specify whether the grant funds will support an *existing* child care program or a new child care program.

Note: Only projects for new child care programs are required to address subcriterion 2, below.

1. All applicants must address the following:

(a) The plan to identify and select students with the greatest need of child care services; (7) (4)

(b) The type of child care services to be provided and the likely impact of the services on the intended recipients of those services; (6) (3)

(c) (1) If the institution has an early childhood education curriculum, the extent to which the child care program will coordinate with that curriculum to meet the needs of the students in the early childhood education program at the institution, and the needs of the parents and children participating in the child care program; (6) (3)

OR

(2) If the institution does not have an early childhood education curriculum, the extent to which the project will coordinate with the institution's other programs for economically disadvantaged students to meet the needs of the parents and children participating in the child care program. (6) (3);

AND

(d) The plan to encourage parental involvement. (6) (3)

2. ONLY applicants requesting grant assistance for new child care programs must:

(a) Provide a timeline, covering the period from receipt of the grant through the provision of the child care services, delineating the specific steps the institution will take to achieve the goal of providing low-income students with child care services; (4)

- (b) Specify any measures the institution will take to assist low-income students with child care during the period before the institution provides child care services; (4)

AND

- (c) Include a plan for identifying resources needed for the child care services, including space in which to provide child care services and technical assistance if necessary. (4)

**C. Management of Project. (Maximum 20 Points)**

All applicants must describe the management plan for the proposed project, and include the following:

1. The resources, including technical expertise and financial support, the institution will draw upon to support the child care project and the participation of low-income students in the project, such as accessing social services funding, using student activity fees to help pay the costs of child care, using resources obtained by meeting the needs of parents who are not low-income students, and accessing foundation, corporate or other institutional support; and must demonstrate that the use of the resources will not result in increases in student tuition; (5) (5)
2. The qualifications, including relevant training, experience, and time commitment of key project personnel; (5) (5)
3. The organizational placement of the project; (5) (5)

AND

4. Specific plans for financial management, student records management, and personnel management. (5) (5)

**D. Evaluation. (Maximum 15 Points)**

All applicants must describe the evaluation plan for the project and must:

1. Demonstrate that the evaluation plan is:
  - (a) appropriate to the project; (3) (3)

AND

(b) includes both quantitative and qualitative evaluation measures; (3) (3)

AND

2. Describe the specific and measurable ways by which the plan will evaluate the success of the project on the retention and graduation of students whose children are served by the project. (6) (6)

**E. Budget (Maximum 5 points)**

The extent to which the budget is adequate to support the proposed project (costs are reasonable in relation to the number of persons to be served and to the anticipated results and benefits). (5) (5)

NOTE: Criteria A-D should be addressed in Part III - Program Narrative.  
Criterion E should be addressed in Part II -Budget Narrative.

## **Competitive Preference Priority**

In accordance with 34 CFR 75.105(b)(2)(iv), this priority is from section 419N(d)(1)(2) of the HEA. An applicant can receive up to 10 points, depending on the extent to which the application meets this priority:

Priority is given to institutions of higher education that submit applications describing child care programs that:

1. Leverage significant local or institutional resources, including in-kind contributions, to support the activities;

AND

2. Utilize a sliding fee scale for child care services provided under this section in order to support a high number of low-income parents pursuing postsecondary education at the institution.

Note: You must address the competitive priority in the Part III Program Narrative section of the application, following the discussion of the selection criteria.

## **Supplemental Information**

**INTRODUCTION:** The following information supplements the information provided in the “Dear Applicant” letter and the Notice Inviting Applications for New Awards (Notice).

### **A. Criteria for Funding**

All applications for grants under the CCAMPIS Program will be evaluated using the selection criteria provided in this application package. Please note that for FY 2005, we have established a competitive priority, which is included in the Notice and in this application package.

### **B. Length of New Awards**

Applications for new awards may apply for a maximum of four years of funding.

### **C. Evaluation of Applications for Awards**

Each application will be reviewed by a panel of experts. Each reviewer will prepare a written evaluation of the application and assign points for each selection criterion.

### **D. Selection of Grantees**

The Secretary will select an application for funding in rank order, based on the application’s total score for the selection criteria plus any competitive priority points received.

### **E. Applicant funding**

The Department is often unable to award the full amount of funds requested. The amount of funds awarded will be based on the availability of funds and the need for the services described in the application. Please note: There is a maximum funding amount for FY 2005, which is specified in the Notice.

**F. Notice to Successful Applicants**

The Department's Office of Legislation and Congressional Affairs will inform the Congress regarding applicants approved for new CCAMPIS Program grants. Successful applicants will be notified by mail shortly after the Congress is notified. No funding information will be released before the Congress is notified.

**G. Notice to Unsuccessful Applicants**

Unsuccessful applicants will be notified in writing following the notice to successful applicants.

All applicants will be notified of the status of their application no later than August 31, 2005.

**NOTICE TO ALL APPLICANTS**

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

**To Whom Does This Provision Apply?**

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

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

**What Does This Provision Require?**

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

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

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

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

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

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

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

**Estimated Burden Statement for GEPA Requirements**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0007**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue SW, Washington, DC 20202-4250.

# Information on the Government Performance And Results Act (GPRA)

## What is GPRA?

The Government Performance and Results Act of 1993 is a straightforward statute that requires all federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In doing so, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

## How has the Department of Education Responded to the GPRA Requirements?

As required by GPRA, the Department of Education has prepared a strategic plan for 2002-2007. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the United States. The Department's goals, as listed in the plan, are:

- Goal 1: Create a Culture of Achievement*
- Goal 2: Improve Student Achievement.*
- Goal 3: Develop Safe Schools and Strong Character*
- Goal 4: Transform Education into an Evidence-based Field*
- Goal 5: Enhance the Quality of and Access to Postsecondary and Adult Education*
- Goal 6: Establish Management Excellence*

The performance indicator for the Child Care Access Means Parents in School Program is part of the Department's plan for Goal 5: Enhance the quality of and access to postsecondary and adult education. Among the Department's objectives for Goal 5 is "to reduce the gaps in college access and completion among student populations differing by race/ethnicity, socioeconomic status, and disability while increasing the educational attainment of all."

## Instructions for Completing the Application and Forms

The application is divided into five parts. These parts are organized in the same manner that the submitted application should be organized. The sections are as follows:

- Part I: Application for Federal Education Assistance Form (ED 424) (“Application Face Sheet”)
- Part I-A: Abstract
- Part I-B: Profile
- Part II: Budget Summary (ED 524) and First-Year Budget Narrative
- Part III: Program Narrative – Include Selection Criteria and Competitive Priority
- Part IV: CCAMPIS Program Assurances
- Part V: Department of Education Assurances and Certifications

According to the Paperwork Reduction Act of 1995, no person is 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 1840-0737. The time required to complete this information collection is estimated to average 34 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 any comments or concerns regarding the status of your individual submission of the form, write directly to: Higher Education Preparation and Support, Child Care Access Means Parents In School Program, 1990 K Street, NW., Suite 7000, Washington, DC 20006-8510

# Application for Federal Education Assistance (ED 424)



U.S. Department of Education

Form Approved  
OMB No. 1890-0017  
Exp. OMB Approved

## Applicant Information

### 1. Name and Address

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

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

### Organizational Unit

City

State

County

ZIP Code + 4

2. Applicant's D-U-N-S Number | | | | | | | | | | | | | | | | | |

3. Applicant's T-I-N | | | | - | | | | | | | | | | | | | | | | | |

4. Catalog of Federal Domestic Assistance #: **84.** | | | | | | | | | |

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

5. Project Director: \_\_\_\_\_

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

City State Zip code + 4

Tel. #: ( ) \_\_\_\_\_ - \_\_\_\_\_ Fax #: ( ) \_\_\_\_\_ - \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

## Application Information

### 10. Type of Submission:

*-PreApplication*                      *-Application*  
 Construction                       Construction  
 Non-Construction                       Non-Construction

### 11. Is application subject to review by Executive Order 12372 process?

Yes (Date made available to the Executive Order 12372 process for review): \_\_\_\_/\_\_\_\_/\_\_\_\_

No (If "No," check appropriate box below.)

Program is not covered by E.O. 12372.  
 Program has not been selected by State for review.

12. Proposed Project Dates: \_\_\_\_/\_\_\_\_/\_\_\_\_ - \_\_\_\_/\_\_\_\_/\_\_\_\_

Start Date:                      End Date:

## Estimated Funding

15a. Federal                      \$ \_\_\_\_\_ . 00  
 b. Applicant                      \$ \_\_\_\_\_ . 00  
 c. State                              \$ \_\_\_\_\_ . 00  
 d. Local                             \$ \_\_\_\_\_ . 00  
 e. Other                             \$ \_\_\_\_\_ . 00  
 f. Program Income \$ \_\_\_\_\_ . 00  
 g. TOTAL                            \$ \_\_\_\_\_ . 00

## Authorized Representative Information

16. To the best of my knowledge and belief, all data in this preapplication/application are true and correct. The document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (Please type or print name clearly.) \_\_\_\_\_

b. Title: \_\_\_\_\_

c. Tel. #: ( ) \_\_\_\_\_ - \_\_\_\_\_ Fax #: ( ) \_\_\_\_\_ - \_\_\_\_\_

d. E-Mail Address: \_\_\_\_\_

e. Signature of Authorized Representative \_\_\_\_\_

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

## Instructions for Form ED 424

- 1. Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
- 2. D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
- 3. Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
- 4. Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
- 5. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
- 6. Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.  
  
Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.
- 7. Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
- 8. Type of Applicant.** Enter the appropriate letter in the box provided.
- 9. State Application Identifier.** State use only (if applicable).
- 10. Type of Submission.** See "Definitions for Form ED 424" attached.
- 11. Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (mm/dd/yyyy). Otherwise, check "No."
- 12. Proposed Project Dates.** Please enter the month, day, and four (4) digit year (mm/dd/yyyy).
- 13. Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")

**If Not Human Subjects Research.** Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.

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

**13a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

**13a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check "No" if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

**13a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

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

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

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

**Paperwork Burden Statement.** According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4700. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street SW, Room 7076, Washington, DC 20202-4260.

## Definitions for Form ED 424

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

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

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

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

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

### **PROTECTION OF HUMAN SUBJECTS IN RESEARCH**

#### **I. Definitions and Exemptions**

##### **A. Definitions.**

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the

research activity will involve use of human subjects, as defined in the regulations.

##### **—Research**

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

##### **—Human Subject**

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

##### **B. Exemptions.**

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

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

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. *If the subjects are children,*

*exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.* [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

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

If the applicant marked “Yes” for Item 13 on the ED 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative and insert it immediately following the ED 424 face page.

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

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

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

If you marked “No” for item 13 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven

points. Although no specific page limitation applies to this section of the application, be succinct.

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

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

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

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

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

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

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

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

## **Part I - A**

### **One-Page Abstract**

Provide a one page, double-spaced, abstract of your proposed project. You must indicate whether the child care services that you propose for CCAMPIS Program funding is an existing program or will be a new program.

## PART I – B

### Profile

1. Applicants currently funded under the Child Care Access Means Parents in School Program (CCAMPIS) must provide their current award number. This can be found in Block 5 of the Grant Award Notification.

New Applicants should leave this item blank.

PR/Award Number (Current Grantees Only): P335A \_\_\_\_\_

2. Applicants please indicate if you are accredited  
\_\_\_\_\_Yes \_\_\_\_\_No  
If not, when will the child care program become accredited?\_\_\_\_\_
3. Did you ever receive funding under CCAMPIS? \_\_\_Yes \_\_\_No  
If yes, when? \_\_\_\_\_

4. All applicants must provide the address where this project will be located.

Project Address:\_\_\_\_\_

\_\_\_\_\_

6. The amount of Federal Pell Grant funds that your institution disbursed in 2004-2005?

\_\_\_\_\_

## **Part II – Budget Summary Form (ED 524) and Budget Narrative Guidance**

Please use the Budget Summary Form (ED 524, Section A) to categorize requested funds.

The Budget Narrative must include a comprehensive budget – including a detailed breakdown of costs within each budget category, and an explanation of the basis for determining the amounts needed for personnel, staff travel, workshop costs, materials preparation, evaluation, and any other costs appropriate for the project.

Please Note: The application Budget Narrative and Program Narrative, combined, cannot exceed 45 pages. The Notice contains specific instructions governing page limits.

For this competition, applicants may request funding for four years (48 months). The Department is requesting that you complete the Budget Summary Form (ED 524) for the 2005-2006 year and provide a **detailed Budget Narrative for that one year (12 months) budget period only**. It is not necessary to provide a budget summary for the total grant period requested, up to 4 years. The funding level for the first year is stipulated in the Notice, and the Department will determine the funding levels for each additional year of the grant award.

The funding request may include all costs that are allowable, reasonable, and associated with carrying out the objectives of the CCAMPIS program. Among the costs that may be supported with grant funds are:

1. **Personnel**: On line 1 (ED 524), enter the project personnel salaries and wages. (Fees and expenses for consultants should be included on line 8.) The Budget Narrative should note the total commitment of time and the total salary to be charged to the project for each key member of the project staff. You should provide a breakdown of project personnel that includes the position titles, the percent of time and number of months committed to the project for each key staff member, the salary for each key staff member, and total salary costs to be charged to the grant.
2. **Fringe Benefits**: On line 2 (ED 524), enter the amount of fringe benefits. The institution's normal fringe benefit contribution may be charged to the program. Leave this blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect costs. In the Budget Narrative, include an explanation and appropriate justification if the institution's normal fringe benefit contribution exceeds 20 percent of salaries.

3. Travel: On line 3 (ED 524), provide the costs for project personnel. Please include the cost to travel to Washington, DC (for approximately 2 days) for a project directors' meeting. In the Budget Narrative, you should detail the proposed travel costs: for each trip explain the purpose and objectives of the travel and provide the number of persons traveling. Transportation costs should not exceed tourist class airfare. For automobile mileage, the established institution rate should be used. Reimbursement is allowed for taxicab, bus, train, or limousine transportation. Per diem at the established institution rate is permitted when an individual is away from home over night on official project business (see OMB Circular A-21, J.53 – Travel costs). No foreign travel will be authorized under the grant.
4. Equipment: On line 4 (ED 524), indicate the cost of equipment - - non-expendable personal property, which has a usefulness of greater than one year and an acquisition cost of \$5,000 or more per unit. (Consistent with an applicant's policy, a lower dollar amount may be used to define equipment.) In the Budget Narrative, explain why the requested equipment is necessary to carry out project activities, and include a list of all equipment in the following format: item, quantity, cost per unit, and total cost.
5. Supplies: On line 5 (ED 524), include the costs of all tangible personal property that was not included as "equipment" on line 4. In the Budget Narrative, provide an itemized list of the supplies.
6. Contractual: On line 6 (ED 524), include the costs if you are contracting out for day care/child care services. In the Budget Narrative explain why it is not feasible to provide these services on campus. Provide the name of the center that will be providing the services.
7. Construction: On line 7 (ED 524), include the costs for minor renovation or repairs. Note: No funds shall be used for construction, except for minor renovation or repair to meet applicable State or local health or safety requirements.
8. Other: On line 8 (ED 524), indicate all direct costs not covered on lines 1 through 7. The costs/fees for consultants and consultants' travel should be included here. Other examples of "other" costs are: equipment rental, required fees, communication costs, rental of space, utilities, custodial services, and printing costs. In the Budget Narrative, provide a breakdown of all direct costs not clearly covered by other budget categories.

Consultants: If the project proposes to use consultants, identify the consultants that will work on the project and the scope of work to be performed by each consultant, and justify why project personnel cannot perform this work. Also, provide a detailed breakdown of the costs (daily fees to be paid, estimated number of days of services, and all travel expenses, including per diem). Cost

allowances for consultant fees, honoraria, per diem, and travel should not exceed amounts permitted by comparable institutional policies.

9. Total Direct Costs: One line 9 (ED 524), provide the total direct costs requested – the sum of lines 1 through 8.
10. Indirect Costs: On line 10 (ED 524), provide the amount of indirect costs that you propose to charge against the grant.
11. Stipends: Leave line 11 (ED 524) blank.
12. Total Costs: On line 12 (ED 524), provide the total amount that you are requesting – the sum of lines 9 and 10. Note: This amount should be the same as that shown as 14a on the application face sheet (ED 424).



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

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

Name of Institution/Organization

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

**SECTION A - BUDGET SUMMARY**

**U.S. DEPARTMENT OF EDUCATION FUNDS**

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

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

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

(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government?  Yes  No

(2) If yes, please provide the following information:

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

Approving Federal agency:  ED  Other (please specify): \_\_\_\_\_

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

Is included in your approved Indirect Cost Rate Agreement? or  Complies with 34 CFR 76.564(c)(2)?

Name of Institution/Organization		Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.				
<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)						
<b>SECTION C – BUDGET NARRATIVE</b> (see instructions)						

# Instructions for ED 524

## General Instructions

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

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

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

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

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

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

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

### Indirect Cost Information:

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. (2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check "Other," specify the name of the Federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR

76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

## Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

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

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

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

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

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

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the

base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

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

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

4. Provide other explanations or comments you deem necessary.

### Paperwork Burden Statement

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

### Part III – Program Narrative

The Secretary evaluates an application on the basis of the selection criteria in the Notice. Applications should be written in a concise and clear manner.

Before preparing the Program Narrative, applicants should review the Notice and program statute for specific guidance and requirements. Please note that applications will be evaluated according to the selection criteria specified in the Notice and this application package.

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

The Program Narrative should provide detailed information that addresses the selection criteria 1-4 and the competitive preference priority. The maximum possible score for each selection criterion is indicated in parenthesis.

1.	Need for the Project	(35 points)
2.	Plan of Operation	(25 points)
3.	Management of Project	(20 points)
4.	Evaluation	(15 points)
5.	Budget	( 5 points)
Total Maximum Score for Selection Criteria		100 points
Competitive Preference Priority		up to 10 points
Total Maximum Score		110 points

In the Program Narrative, the applicant should address the selection criteria 1-4, above, in that order followed by a discussion of how the applicant meets the competitive preference priority, because this is the order in which the Technical Review Form is organized. The Technical Review Form is used by the peer reviewers to evaluate applications.

Criterion 5 – Budget – should be addressed in Part II – Budget Narrative.

Please note: The application Part II - Budget Narrative and Part III - Program Narrative, combined, cannot exceed 45 pages. The Notice contains specific instructions governing page limits.

Successful applicants will be required to submit 18-month and 36-month reports on the progress of the project.

Additional Suggestions:

- Number each page of the application.
- The face sheet is the first page of the application (ED 424).
- Do not include descriptive materials (appendices and attachments, including brochures, letters, reports, resumes, etc.).

## **Part IV – Child Care Access Means Parents in School Program Assurances**

As the duly authorized representative of the applicant, I certify that the applicant will comply with the following statutory requirements:

1. The applicant assures that the institution will meet the child care needs of eligible low-income students through the direct provision of campus-based services, or through a contract for the provision of campus-based services.
2. The applicant assures that all child care facilities assisted with CCAMPIS Program grant funds will meet the applicable State or local government licensing, certification, approval or registration requirements.
3. The applicant assures that all child care facilities assisted with CCAMPIS Program grant funds will either be located directly on campus or, if not located physically on campus, will be under the oversight authority of the institution.
4. The applicant assures that all child care facilities assisted with CCAMPIS Program grant funds are accredited. If such child care facilities are not accredited as of the date of this application, the applicant, upon notification of the award of a CCAMPIS Program grant, will submit a plan for such child care facilities to become accredited within three years of the date the applicant first receives CCAMPIS Program funding.
5. The person whose signature appears is authorized to sign this application and to commit the applicant to the above provisions.

\_\_\_\_\_  
Signature of Authorized Certifying Official

\_\_\_\_\_  
Title of Authorized Certifying Official

\_\_\_\_\_  
Applicant Institution

\_\_\_\_\_  
Date Signed

**Certification Regarding Debarment, Suspension, Ineligibility and  
Voluntary Exclusion -- Lower Tier Covered Transactions**

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

**Instructions for Certification**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled  Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions,  without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

**Certification**

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0014, 9/90 (Replaces GCS-009 (REV.12/88), which is obsolete)

## 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.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	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)

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

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

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

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

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

**IMPORTANT NOTICE TO PROSPECTIVE PARTICIPANTS  
IN U.S. DEPARTMENT OF EDUCATION  
GRANT AND CONTRACT PROGRAMS**

**GRANTS**

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

**Failure to meet a deadline will mean that an applicant will be rejected without any consideration.**

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$555.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.) In addition, the Federal Register is available on-line for free on Government Printing Office (GPO) Access: <http://www.access.gpo.gov/nara>. Depository Library location and Federal Register services: <http://www.nara.gov/fedreg>.

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register. No ED employees are authorized to extend any deadline published in the Federal Register. Questions regarding submission of applications may be addressed to:

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

**CONTRACTS**

Competitive procurement actions undertaken by the ED are governed by the Federal Acquisition Regulations and implementing Department of Education Acquisition Regulations.

Generally, prospective competitive procurement actions are synopsisized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP). All of ED's RFP's are now available on-line for downloading at the following url:  
<http://www.ed.gov/fund/contract/apply/currrfp.html>.

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

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP. A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

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

In addition, the Commerce Business Daily is available on-line for free at the following url: <http://cbdnet.access.gpo.gov/>. The Federal Acquisition Regulations are available on-line at the following url: <http://www.arnet.gov/far/>. In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

ED FORM 5348, 7/01

# Survey on Ensuring Equal Opportunity for Applicants

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

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

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

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

**Applicant's (Organization) Name:**

\_\_\_\_\_

**Applicant's DUNS Number:**

\_\_\_\_\_

**Grant Name:** \_\_\_\_\_ **CFDA Number:**

\_\_\_\_\_

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

Yes  No

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

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

3. What is the size of the applicant's annual budget? (Check only one box.)

Less Than \$150,000  
 \$150,000 - \$299,999

\$300,000 - \$499,999

\$500,000 - \$999,999

\$1,000,000 - \$4,999,999

\$5,000,000 or more

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

Yes  No

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

Yes  No

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

Yes       No

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

Yes       No

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

Yes       No

### **Survey Instructions on Ensuring Equal Opportunity for Applicants**

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

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money your organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An "intermediary" is an organization that enables a group of small

organizations to receive and manage government funds by administering the grant on their behalf.

7. Self-explanatory.
8. Self-explanatory.

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651.

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

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

