

**U.S. DEPARTMENT OF EDUCATION**

Office of Postsecondary Education

Washington, DC 20006-8521



Fiscal Year 2008

**APPLICATION FOR GRANTS UNDER THE  
UNDERGROUND RAILROAD EDUCATIONAL  
AND CULTURAL PROGRAM**

**(CFDA NUMBER: 84.345A)**

**CLOSING DATE: June 12, 2008**

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Dear Applicant:

Thank you for your interest in applying for a grant under Underground Railroad Educational and Cultural (URR) program. Included in this application booklet are the program introduction, instructions, and forms needed to submit a complete application package to the U.S. Department of Education (Department).

In Fiscal Year (FY) 2008, by means of the discretionary Underground Railroad Educational and Cultural Program (URR) grant competition, the U.S. Department of Education offers an opportunity to increase understanding of the Underground Railroad's momentous enterprise. In order to preserve the Underground Railroad's legacy and to demonstrate how its diffuse operations network transformed the Nation, this competition promotes the formation of partnerships, local and national electronic links, and satellite centers.

The URR program supports nonprofit and educational institutions that collect, research, interpret and display artifacts that preserve the Underground Railroad's history. URR awards will support two activities that every proposal must address. First, URR awards will enable grantees to house, display and interpret artifacts and digital resources related to Underground Railroad's history. Second, URR awards will enable grantees to make the interpretive efforts available to institutions of higher education that award baccalaureate or graduate degrees. This letter introduces the grant application package and other instructions and notices.

In the Fiscal Year (FY) 2008 competition, there are new, more specific requirements in the Application Guidelines. For additional information about these requirements, refer to the Federal Register notice inviting applications for new awards for FY 2008.

This letter highlights a few items in the FY 2008 application package that will be important to you in applying for grants under this program. You should review the entire application package carefully before preparing and submitting your application. Information on the URR Program is accessible at the U.S. Department of Education (Department) Web site at:

<http://www.ed.gov/programs/ugroundrr/index.html>

Please be sure to review thoroughly the entire application booklet for information concerning the URR Program. Applicants should pay particular attention to the section entitled "Application Information and Guidelines."

The Department of Education is requiring that applications for FY 2008 grants under the URR Program be submitted electronically using Grants.gov. You are urged to acquaint yourself with the requirements of Grants.gov early. A more thorough discussion is included in the application package. Grants.gov is accessible through its portal page at:

<http://www.grants.gov>

If you are planning to apply for this program, we also urge you to consider the following three extremely important administrative factors:

1. We strongly encourage you to register in Grants.gov early. The registration procedures may require 5 or more days to complete.
2. We strongly recommend that you submit your application 2-3 days prior to the closing date. The time it takes to upload an application will vary depending on your application and the speed of your Internet connection. The application submission process must be complete prior to the deadline for transmittal of applications.
3. In order to submit successfully, you must remember to provide the DUNS number on your application that was used when your organization registered with the CCR (Central Contractor Registry).

After you electronically submit your application, you will first receive an e-mail from Grants.gov acknowledging the date and time at which your application was received. You will receive a second e-mail from Grants.gov that will state that your application has been validated OR that your application was rejected with errors. If your application is validated, you will receive a third e-mail from the Department of Education with an assigned PR/Award number, which is an ED-specified identifying number that is unique to your application. **This third confirmation by e-mail, with a PR/Award number assigned, is the e-mail that verifies that your application was submitted on time by the closing date. This may take several days.**

For information (including dates and times) about how to submit your application electronically please refer to the official Notice Inviting Applications for New Awards for FY 2008 published in the Federal Register.

You are reminded that the document published in the Federal Register (the Closing Date Notice) is the official document, and that you should not rely upon any information that is inconsistent with the guidance contained within the official document.

A program officer is available to provide technical assistance if you have any questions after reviewing the application. Please refer to the introduction that follows for the name and telephone number of the contact person. We look forward to receiving your application and appreciate your efforts to promote the Underground Railroad's history and significance.

Sincerely,

Ralph Hines,  
Acting Director  
Fund for the Improvement of Postsecondary Education

## COMPETITION HIGHLIGHTS

1. **URR applications submitted for FY 2008 must be submitted electronically using Grants.gov.** You are urged to acquaint yourself with the requirements of Grants.gov early as the registration procedures may require 5 or more days to complete. A more thorough discussion is included later in this application package. Grants.gov is accessible through its portal page at:

**<http://www.grants.gov>**

2. It is important to know that the Grants.gov site works differently than the Department's e-Application system, used in past competitions.

Grants.gov does not allow applicants to "un-submit" applications. Therefore, if you discover that changes or additions are needed once your application has been accepted and validated by the Department, you must "re-submit" the application. You should know that if the Department receives duplicate applications, we will accept and process the application with the latest "date/time received" validation.

3. In the FY 2008 URR competition, the Department will require that all applicants: preserve the Underground Railroad's history and house, display and interpret artifacts and digital resources related to Underground Railroad's history and make these interpretive efforts available to institutions of higher education that award baccalaureate or graduate degrees.

**Please note that these priorities are explained in detail in the Closing Date Notice contained in this application package. You are urged to fully review the Closing Date Notice carefully before preparing your application.**

4. The project abstract is limited to one page, single - spaced. The abstract should include information about the center's mission, the services it provides, its existing resources, the constituents served, and the activities it proposes to conduct during the FY 2008 – 2010 funding cycle. The abstract must be uploaded into the ED abstract form.
5. Please note that you must submit your application by 4:30 p.m. (Washington, D.C. time) on or before the application deadline date. Late applications will not be accepted. **We suggest that you submit your application several days before the deadline.** 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 and time.

6. Electronic submission of applications is required; therefore, you must submit an electronic application unless you follow the procedures outlined in the Federal Register notice inviting applications for new awards for FY 2008 and qualify for one of the exceptions to the electronic submission requirement.
7. All applicants are required to adhere to the 30-page limit for the Program Narrative portion of the application. The Federal Register notice contains the specific standards for preparing the Program Narrative.
8. All attachments must be in .DOC, .RTF, or .PDF format. Other types of files will not be accepted.
9. Please note that Grants.gov does not currently support the new Microsoft Vista Operating system. In addition, the new version of Microsoft Word saves documents with the extension .DOCX. The Grants.gov system does not process Microsoft Word documents with the extension .DOCX. When submitting Microsoft Word attachments to Grants.gov, please use the version of Microsoft Word that ends in .DOC. If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to log on to Grants.gov to upload and submit the application. (This is different from e-Application, where you are working online and saving data to the Department's database.) You must provide the D-U-N-S® Number that was used when your organization registered with the Central Contractor Registry (CCR).

For help with Grants.gov, please go to <http://www.grants.gov/ForApplicants> and click on "help" at the top of the screen. Also, refer to the "Submission Procedures and Tips for Applicants" found on page eight of this application booklet.

You are reminded that the document published in the Federal Register is the official document, and that you should not rely upon any information that is inconsistent with the guidelines contained within the official document.

## **INTRODUCTION: UNDERGROUND RAILROAD EDUCATIONAL AND CULTURAL PROGRAM (URR)**

### **AUTHORIZATION**

Title VIII, Part H, section 700 of the Higher Education Act of 1965, as amended.

### **PROGRAM REGULATIONS**

Education Department General Administrative Regulations (EDGAR) 34 CFR parts 74, 75, 77, 79, 80, 82, 84, 85, 86, 97, 98, 99, and other activities as required by section 841 of the Higher Education Amendment of 1998, Public Law 105-244, 20 U.S.C. 1153.

### **PURPOSE**

In Fiscal Year (FY) 2008, by means of the discretionary Underground Railroad Educational and Cultural Program (URR) grant competition, the U.S. Department of Education offers an opportunity to increase understanding of this momentous enterprise. In order to preserve the Underground Railroad's legacy and to demonstrate how its diffuse operations network transformed the Nation, this competition promotes the formation of partnerships, local and national electronic links, and satellite centers.

### **ELIGIBLE APPLICANTS**

Nonprofit educational institutions and organizations established to collect research, display, and interpret artifacts and digital resources that collect, preserve, and disseminate information on the Underground Railroad's history are eligible for URR awards.

### **ACTIVITIES FUNDED UNDER THIS PROGRAM**

Eligible applicants should use federal funds for the following activities and expenses:

- To research, display, interpret, and collect artifacts and digital resources relating to the history of the Underground Railroad;
- To conduct research and present findings;
- To conduct cultural and educational activities;
- To connect with other postsecondary (undergraduate and graduate-level) institutions that share interests in the Underground Railroad;
- To establish a network of satellite centers throughout the U.S. that disseminates Underground Railroad collections, archives and digital resources;
- To establish electronic links with other local and regional facilities that have collections and programs;
- To create an endowment that defrays any/all operational or program shortfalls;
- To demonstrate substantial private and state support for programs and facilities.

## SUPPLEMENTAL INFORMATION

The following information supplements the information provided in the “Dear Applicant” letter and the Notice.

### 1. Estimated Funding and Project Period

- Estimated Available Funds for FY 2008: \$1,941,000
- Estimated Range of Awards: \$500,000 - \$1,000,000 over a three-year period.
- Estimated Number of New Awards: Two (2)
- Project Period for New Awards: Up to 36 months

The U.S. Department of Education is not bound by these estimates

### 3. Intergovernmental Review of Federal Programs

Intergovernmental Review of Federal Programs was issued to foster an intergovernmental partnership and to strengthen federalism by relying on state and local processes for the 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. A listing of the Single Point of Contact for each State may be viewed at: <http://www.whitehouse.gov/OMB/grants/spoc.html>.

### 4. Applicant Funding

The Department is often unable to award the full amount of funds requested. Applicants should pay close attention to the “Award Information” section of the Notice. The Department will not fund any application at an amount exceeding the applicable maximum award level.

### 5. Appendices to Applications

Applicants may include the following materials in appendices:

- i. A project timeline
- ii. One (1)-page curricula vitae or resumes for the project director and other key personnel and consultants, evaluators, and other persons who are vital to the proposed project.
- iii. Position descriptions for positions proposed for the funding cycle.
- iv. Letters of commitment from partner or satellite institutions.
- v. Other materials that the applicant deems necessary.

**NOTE:** These appendices must be attached to the “Other Attachment Form” in the Grants.gov application package.



**6. Evaluation of Applicants for Awards**

A three-member panel of non-federal reviewers evaluates each application. Each reviewer assigns points for each selection criterion and prepares evaluation comments.

**7. Selection Criteria**

The selection criteria in EDGAR § 34 CFR part 74.23, part 74.23 (b)(2), part 74.23 (b)(3), § 34 CFR part 75 sections 210(b)(2)(i), 210(b)(2)(ii), 75.210 (c)(2)(xiv), and 210(h)(2)(i) are used to evaluate applications. The selection criteria and maximum possible points are included in the Notice.

**8. Notice to Successful Applicants**

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

**9. Notice to Unsuccessful Applicants**

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

**10. Annual Performance Report Requirements**

If you receive a FY 2008 new grant award, you will be required to submit annual and final performance reports during the three-year funding cycle. These reports must include:

A description of the programs and activities supported by the URR funding.

The organization's audited financial statement that indicates the preceding year's fiscal records.

A plan for the programs and activities supported by URR funds.

Two program evaluation reports--one prepared by an independent evaluator and a separate program evaluation report prepared by program staff.

## 11. Contact Information

### **For URR program-related questions and assistance, please contact:**

Program Officer: Claire D. Cornell  
Address: Office of Postsecondary Education  
FIPSE Office  
U.S. Department of Education  
1990 K Street, N.W., Room 6145  
Washington, D.C. 20006-8544

Telephone: (202) 502-7609  
Fax: (202) 502-7877  
E-mail Address: [claire.cornell@ed.gov](mailto:claire.cornell@ed.gov)

### **For Grants.gov-related questions and assistance, please contact:**

Support Desk: Grants.gov Support Desk  
Telephone: (800) 518-4726  
Hours: Monday – Friday, 7:00 A.M. – 9:00 P.M. Eastern Time

**IMPORTANT – PLEASE READ FIRST**  
**U.S. Department of Education**

**Grants.gov Submission Procedures and Tips for Applicants**

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

**ATTENTION**

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov. We strongly recommend that you review these details on [www.Grants.gov](http://www.Grants.gov) before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Applicants will no longer need to use the PureEdge software to create or submit an application. If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

- 1) **REGISTER EARLY** – Grants.gov registration may take five or more business days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. For detailed information on the Registration Steps, please go to: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). [Note: Your organization will need to update its Central Contractor Registry (CCR) registration annually.]
- 2) **SUBMIT EARLY** – **We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded.** The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30:00 p.m. Washington, DC time on the deadline date.

**Note: To submit successfully, you must provide the DUNS number on your application that was used when your organization registered with the CCR (Central Contractor Registry).**

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

If the date/time received is later than 4:30:00 p.m. Washington, D.C. time, on the deadline date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site:

[http://www.grants.gov/applicants/applicant\\_faqs.jsp#54](http://www.grants.gov/applicants/applicant_faqs.jsp#54). For more detailed information on why an application may be rejected, you can review Application Error Tips <http://www.grants.gov/section910/ApplicationErrorTips.pdf>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

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

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

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

If electronic submission is required, you must submit an electronic application before 4:30:00 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

## Helpful Hints When Working with Grants.gov

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. **You must provide on your application the DUNS number that was used when your organization registered with the CCR.**

Please go to [http://www.grants.gov/applicants/applicant\\_help.jsp](http://www.grants.gov/applicants/applicant_help.jsp) for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov [http://www.grants.gov/help/submit\\_application\\_faqs.jsp](http://www.grants.gov/help/submit_application_faqs.jsp).

## Dial-Up Internet Connections

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

## MAC Users

If you do not have a Windows operating System, you may need to use the Citrix solution discussed on Grants.gov to submit an application using Grants.gov. For additional information, review the FAQs for non-windows users [http://www.grants.gov/help/download\\_software.jsp](http://www.grants.gov/help/download_software.jsp). **If electronic submission is required and you are concerned about your ability to submit electronically as a non-windows user, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

## Attaching Files – Additional Tips

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

1. Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). Also, do not upload any password protected files to your application.

2. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
3. When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend you keep your file names to less than 50 characters. In addition, applicants should avoid including special characters in their file names (for example, %, \*, /, etc.) Both of these conditions (lengthy file names and/or special characters including in the file names) could result in difficulties opening and processing a submitted application.
4. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

## **GRANTS.GOV REGISTRATION INSTRUCTIONS FOR ORGANIZATIONS**

The Grants.gov registration process involves three basic steps:

1. Register your organization
  - Obtain a D-U-N-S® Number (see below for instructions)
  - Register with the Central Contractor Registry (see below for instructions)
2. Register yourself as an Authorized Organization Representative (AOR)
  - Obtain a username and password from the Grants.gov credential provider (<https://apply.grants.gov/OrcRegister>)
  - Register with Grants.gov (<https://apply.grants.gov/GrantsgovRegister>)
3. Get authorized as an AOR by your organization
  - Receive approval from your organization's E-Business POC (see CCR instructions below for details)
  - If you are both the E-Business POC and an AOR, you should authorize your own AOR request

For more information, go to [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).

Note: If you are a grant applicant who is submitting a grant application on your own behalf and not on behalf of a company, institution, state, local or tribal government, or other type of organization, refer to <http://www.grants.gov/assets/IndividualRegCheck.pdf>. If you apply as an individual to a grant application package designated for organizations, your application will be rejected.

## D-U-N-S® NUMBER INSTRUCTIONS

To successfully submit an application using Grants.gov, you must provide your organization's D-U-N-S® Number. A D-U-N-S® Number is a unique nine-digit number issued by D & B, a global information services provider, that identifies your organization and is used by the Federal government to track how Federal money is distributed. Most large organizations, libraries, colleges, and research universities already have D-U-N-S® Numbers numbers. Ask your grant administrator or chief financial officer to provide your organization's D-U-N-S® Number.

If your organization does not have a D-U-N-S® Number, you can obtain one at no charge by calling 1-866-705-5711 or by completing a D-U-N-S® Number Request Form ([http://www.dnb.com/US/duns\\_update/index.html](http://www.dnb.com/US/duns_update/index.html)). You will need to provide the following information:

- Legal name
- Tradestyle, doing business as (DBA), or other name by which your organization is commonly recognized
- Physical address, city, state and zip code
- Mailing address (if separate)
- Telephone number
- Contact name
- SIC code (Line of Business)
- Number of employees at your location
- Headquarters name and address (if there is a reporting relationship to a parent corporate entity)
- Is this a home-based business?

Obtaining a D-U-N-S® Number places your organization on D&B's marketing list, which is sold to other companies. You can request not to be added to this list during your application.

Live help from D&B is available Monday-Friday, 8 a.m. – 5 p.m. (EST) at 1-888-814-1435.



## CENTRAL CONTRACTOR REGISTRATION (CCR) INSTRUCTIONS

The Central Contractor Registration (CCR) is a web-enabled government-wide application that collects, validates, stores, and disseminates business information about the Federal government's trading partners in support of the contract award, grants, and electronic payment processes. Check to see if your organization is already registered at the CCR website (<http://www.bpn.gov/ccring/scripts/search.asp>).

If your organization is already registered, take note of who is listed as your E-Business Point of Contact (E-Business POC). This person will be responsible for authorizing who within your organization is able to submit applications using Grants.gov.

If your organization is not already registered, you can register using the CCR website (<https://www.bpn.gov/ccr/scripts/indexnew.asp>) or by phone (1-888-227-2423). When your organization registers with CCR, you will need to designate an E-Business Point of Contact (POC). This designee authorizes individuals to submit grant applications on behalf of the organization. A special Marketing Partner ID Number (MPIN) is established as a password to verify the E-Business POC.

The E-Business POC will be notified by e-mail when individuals from their organization register with Grants.gov. This registration is a request to be designated as an Authorized Organization Representative (AOR). To assign AOR rights, E-Business POCs need to log into Grants.gov ([http://www.grants.gov/applicants/e\\_biz.jsp](http://www.grants.gov/applicants/e_biz.jsp)) using the organization's D-U-N-S® Number and MPIN. Grants.gov will send the AOR a confirmation e-mail when this process has been completed.

**Please note that your CCR registration must be renewed once a year.** You can check your registration status using the CCR search page (<http://www.bpn.gov/ccring/scripts/search.asp>).

If you have further questions about creating, updating or renewing your CCR registration, please visit the CCR Frequently Asked Questions page (<http://www.ccr.gov/FAQ.asp>) or contact the CCR Help Desk at 1-888-227-2423.

## APPLICATION TRANSMITTAL INSTRUCTIONS

ATTENTION ELECTRONIC APPLICANTS: Please note that you must follow the Application Procedures as described in the Federal Register notice announcing the grant competition.

**This program requires the electronic submission of applications; specific requirements and waiver instructions can be found in the Federal Register notice.**

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

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

**Applications Submitted Electronically** (This is required for all applications—unless the applicant secures an official exception—see Closing Date Notice Section IV Item 7.b)

**You must submit your grant application through the Internet using the software provided on the Grants.gov Web site (<http://www.grants.gov>) by 4:30 p.m. (Washington, D.C. time) on or before the deadline date.**

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

For more information on using Grants.gov, please refer to the “Notice Inviting Applications” that was published in the Federal Register or visit <http://www.grants.gov>.

**Applications Delivered by Mail (Electronic submission is required for all applications—unless the applicant secures an official exception)**

This is allowed—only when you have secured an official exception from the electronic submission requirements [see Closing Date Notice Section IV Item 7.b for more details].

If you have secured an exception, you must mail the original and two copies of your application on or before the application deadline date to:

**U.S. Department of Education  
Application Control Center  
Attention: CFDA Number 84.274A  
400 Maryland Avenue, S.W.  
Washington, D.C. 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 U.S. Secretary of Education

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, or
2. A mail receipt that is not dated by the U.S. Postal Service

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.

Special Note: Due to potential disruption 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 Postal Service; U.S. Postal Service Express Mail; or a courier service 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 Delivered by Mail”, then follow the instructions for “Applications Delivered by Hand”.

#### Applications Delivered by Commercial Carrier

This is allowed—only when you have secured an official exception from the electronic submission requirements [see Closing Date Notice Section IV Item 7.b for more details].

If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Sent by Mail”, then follow the instructions under the appropriate delivery method.

You must mail the original and two copies of your application on or before the application deadline date to:

**U.S. Department of Education  
Application Control Center – Stop 4260  
Attention: CFDA Number 84.274A  
7100 Old Landover Road  
Landover, MD 20785-1506**

### Applications Delivered by Hand

This is allowed—only when you have secured an official exception from the electronic submission requirements [see Closing Date Notice Section IV Item 7.b for more details].

You or your courier must hand deliver the original and two copies of the application by 4:30 p.m. (Washington, D.C. time) on or before the deadline date to the following address:

**U.S. Department of Education  
Application Control Center  
Attention: CFDA Number 84.274A  
550 12<sup>th</sup> Street, SW  
Potomac Center Plaza – Room 7067  
Washington, D.C. 20202-4260**

### Application Control Center Hours of Operation

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

### Grant Application Receipt from the Application Control Center

If you send your application by mail or if you or your courier delivers it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgement to you.

If you do not receive the notification of application receipt within 15 days from the mailing of the application, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

### Late Applications

If your application is late, we will notify you that we will not consider the application.

## CLOSING DATE NOTICE

4000-01-U

DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

Underground Railroad Educational and Cultural Program

Notice inviting applications for new awards for fiscal year (FY)  
2008.

Catalog of Federal Domestic Assistance (CFDA) Number:  
84.345A.

Dates:

Applications Available: May 13, 2008

Deadline for Transmittal of Applications: June 12, 2008

Deadline for Intergovernmental Review: August 11, 2008

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The Underground Railroad Educational and Cultural Program (URR) makes grants to nonprofit educational organizations that are established to research, display, interpret, and collect artifacts relating to the history of the Underground Railroad.

Program Authority: 20 U.S.C. 1153.

Applicable Regulations: The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 82, 84, 85, 86, 97, 98 and 99.

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

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$1,943,510

Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2009 from the list of unfunded applicants from this competition.

Estimated Average Size of Awards: \$500,000-\$1,000,000 total for up to three years.

Estimated Number of Awards: 2.

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

Project Period: Up to 36 months.

## III. Eligibility Information

1. Eligible Applicants: Nonprofit educational organizations that are established to research, display, interpret, and collect artifacts relating to the history of the Underground Railroad.

2. Cost Sharing or Matching: The Federal Government may provide no more than 20 percent of the total funds for any

project funded under this competition. See 20 U.S.C. 1153(b)(2). Applicants must provide the remaining 80 percent funding from private entities. As part of the application process, applicants will be required to demonstrate their ability to meet the cost sharing requirement.

3. Other: Each nonprofit educational organization awarded a grant under this competition must create an endowment to fund any and all shortfalls in the costs of the on-going operations of the facility. Grantees must establish a network of satellite centers throughout the United States to help disseminate information regarding the Underground Railroad. These satellite centers must raise 80 percent of the funds required to establish the satellite centers from non-Federal public and private sources. In addition, grantees must establish the capability to electronically link the facility with other local and regional facilities that have collections and programs that interpret the history of the Underground Railroad. As part of the application process, applicants will be required to document their ability to create an endowment, establish satellite centers, and establish the electronic capability described above. For specific requirements on reporting, please go to <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

#### IV. Application and Submission Information

1. Address to Request Application Package: Claire D. Cornell, Underground Railroad Program, Fund for the Improvement of Postsecondary Education (FIPSE), Office of Postsecondary Education (OPE), U.S. Department of Education, 1990 K Street, NW., room 6145, Washington, DC 20006-8544. Telephone: (202) 502-7609 or by e-mail: [claire.cornell@ed.gov](mailto:claire.cornell@ed.gov).

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

Individuals with disabilities can obtain a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) by contacting the program contact person listed in this section.

#### 2. Content and Form of Application Submission:

Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this program.

**Page Limit:** The application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the application narrative to the equivalent of no more than 30 pages, using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1"



margins at the top, bottom, and both sides. Page numbers and an identifier may be outside of the 1" margin.

- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures and graphs.

- Use a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch).

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

- The page limit does not apply to Part I, the Application for Federal Assistance Form (SF-424); Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; or the one-page abstract, the Table of Contents, the resumes, the bibliography, or the letters of support. However, the page limit does apply to all of the application narrative section.

We will reject your application if you exceed the page limit.

### 3. Submission Dates and Times:

Applications Available: May 13, 2008

Deadline for Transmittal of Applications: June 12, 2008

Applications for grants under this program must be submitted electronically using the Grants.gov Apply site (Grants.gov). For information (including dates and times) about how to submit your application electronically, please refer to section IV. 6. Other Submission Requirements in this notice.

We do not consider an application that does not comply with the deadline requirements.

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in section VII in this notice.

Deadline for Intergovernmental Review: August 11, 2008

We will not consider an application that does not comply with the deadline requirements.

4. Intergovernmental Review: This program is subject to the requirements of Executive Order 12372 and the regulations in 34 CFR Part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this program.

5. Funding Restrictions: We specify unallowable costs in 34 CFR 74.27. We reference additional regulations outlining funding restriction in the Applicable Regulations section in this notice.

6. Other Submission Requirements: Applications for grants under this program must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in this section.

a. Electronic Submission of Applications.

Applications for grants under the Underground Railroad Educational and Cultural Program, CFDA Number 84.345A, must be submitted electronically using the Government wide Grants.gov Apply site at <http://www.Grants.gov> Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

You may access the electronic grant application for The Underground Railroad Educational and Cultural Program at <http://www.Grants.gov>. You must search for the downloadable

application package for this program by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.345, not 84.345A).

Please note the following:

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.

- Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30:00 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not accept your application if it is received--that is, date and time stamped by the Grants.gov system--after 4:30:00 p.m., Washington, DC time, on the application deadline date. We do not consider an application that does not comply with the application requirements. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30:00 p.m., Washington, DC time, on the application deadline date.

- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection.

Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.

- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this program to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov at <http://e-Grants.ed.gov/help/GrantsgovSubmissionProcedures.pdf>

- To submit your application via Grants.gov, you must complete all steps in the Grants.gov registration process (see [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp)). These steps include (1) registering your organization, a multi-part process that includes registration with the Central Contractor Registry (CCR); (2) registering yourself as an Authorized Organization Representative (AOR); and (3) getting authorized as an AOR by your organization. Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see <http://www.grants.gov/section910/Grants.govRegistrationBrochure.pdf>). You also must provide on your application the same D-U-N-S Number used with this registration. Please note that the registration process may take five or more business days to complete, and you must have completed all registration steps to

allow you to submit successfully an application via Grants.gov. In addition you will need to update your CCR registration on an annual basis. This may take three or more business days to complete.

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

- You must submit all documents electronically, including all information you typically provide on the following forms: Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. Please note that two of these forms--the SF 424 and the Department of Education Supplemental Information for SF 424--have replaced the ED 424 (Application for Federal Education Assistance).

- You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or

submit a password-protected file, we will not review that material.

- Your electronic application must comply with any page-limit requirements described in this notice.

- After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. (This notification indicates receipt by Grants.gov only, not receipt by the Department.) The Department then will retrieve your application from Grants.gov and send a second notification to you by e-mail. This second notification indicates that the Department has received your application and has assigned your application a PR/Award number (an ED-specified identifying number unique to your application).

- We may request that you provide us original signatures on forms at a later date.

#### Application Deadline Date Extension in Case of Technical Issues

with the Grants.gov System: If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

If you are prevented from electronically submitting your application on the application deadline date because of

technical problems with the Grants.gov system, we will grant you an extension until 4:30:00 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically or by hand delivery. You also may mail your application by following the mailing instructions described elsewhere in this notice.

If you submit an application after 4:30:00 p.m., Washington, DC time, on the application deadline date, please contact the person listed under For Further Information Contact in section VII in this notice and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your application by 4:30:00 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

Note: The extensions to which we refer in this section apply only to the unavailability of, or technical problems with, the Grants.gov system. We will not grant you an extension if you failed to fully register to submit your application to Grants.gov before the application deadline date and time or if



the technical problem you experienced is unrelated to the Grants.gov system.

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

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

and

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

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

Address and mail or fax your statement to: Claire D. Cornell, U.S. Department of Education, 1990 K Street, NW., room 6145, Washington, DC 20006-8544. FAX: (202) 502-7877.

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

b. Submission of Paper Applications by Mail.

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

By mail through the U.S. Postal Service:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.345A)  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

or

By mail through a commercial carrier:

U.S. Department of Education  
Application Control Center, Stop 4260  
Attention: (CFDA Number 84.345A)  
7100 Old Landover Road  
Landover, MD 20785-1506

Regardless of which address you use, you must show proof of mailing consisting of one of the following:

(1) A legibly dated U.S. Postal Service postmark.

(2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.

(3) A dated shipping label, invoice, or receipt from a commercial carrier.

(4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

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

(1) A private metered postmark.

(2) A mail receipt that is not dated by the U.S. Postal Service.

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

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

c. Submission of Paper Applications by Hand Delivery.

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

on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.345A)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

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

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department--

(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and

(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

#### V. Application Review Information

Selection Criteria. The selection criteria for this program are from 34 CFR 75.210 and include: project significance (10 points); quality of the project design (40 points); adequacy of

project resources (20 points); quality of project personnel (10 points); and quality of the project evaluation (20 points). Additional information regarding these criteria is in the application package for this competition.

In making grant awards for this program, the Department will consider information concerning the applicant's performance and use of funds from a prior grant in this program or in any other Department program and will consider the applicant's failure to submit an acceptable performance report for a grant in this program or in any other Department program. 34 CFR 75.217(d)(3).

## VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN). We may notify you informally, also.

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

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section in this notice.

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

this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary and as outlined in the text below.

For each fiscal year for which an organization receives funding under this program, those organizations must submit to the Department a report that contains: (a) a description and evaluation of the programs and activities supported by the funding; (b) the audited financial statement of the organization for the preceding fiscal year; and (c) a plan for the programs and activities to be supported by the funding. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to:

<http://www.ed.gov/fund/grant/apply/appforms/appforms/appforms.html> and review a more detailed explanation in the application package.

4. Performance Measures: Under the Government Performance and Results Act (GPRA), the following measure will be used by the Department in assessing the performance of the Underground Railroad Educational and Cultural Program:

- The extent to which funded projects have been institutionalized and continued after URR funding ends.

#### VII. Agency Contact

For Further Information Contact: Claire D. Cornell, Underground Railroad Educational and Cultural Program, FIPSE, OPE, U.S. Department of Education, 1990 K Street, NW., room 6145, Washington, DC 20006-8544. Telephone: (202) 502-7609 or by e-mail: [claire.cornell@ed.gov](mailto:claire.cornell@ed.gov)

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

#### VIII. Other Information

Alternative Format: Individuals with disabilities can obtain this document and a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the program contact person listed in this section.

Electronic Access to This Document: You may view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

[www.ed.gov/news/fedregister](http://www.ed.gov/news/fedregister)

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free,

at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at:

[www.gpoaccess.gov/nara/index.html](http://www.gpoaccess.gov/nara/index.html)

Dated:

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Diane Auer Jones,  
Assistant Secretary for Postsecondary  
Education.



## AUTHORIZING LEGISLATION

1998 Amendments to the Higher Education Act of 1965  
P.L. 105-244

TITLE VIII--STUDIES, REPORTS, AND RELATED PROGRAMS PART H  
SEC. 700 UNDERGROUND RAILROAD EDUCATIONAL AND CULTURAL PROGRAM  
PART H--UNDERGROUND RAILROAD SEC. 841. UNDERGROUND RAILROAD  
EDUCATIONAL AND CULTURAL PROGRAM

(a) PROGRAM ESTABLISHED- The Secretary of Education, in consultation and cooperation with the Secretary of the Interior, is authorized to make grants to 1 or more nonprofit educational organizations that are established to research, display, interpret, and collect artifacts relating to the history of the Underground Railroad.

(b) GRANT AGREEMENT- Each nonprofit educational organization awarded a grant under this section shall enter into an agreement with the Secretary of Education. Each such agreement shall require the organization--

(1) to establish a facility to house, display, and interpret the artifacts related to the history of the Underground Railroad, and to make the interpretive efforts available to institutions of higher education that award a baccalaureate or graduate degree;

(2) to demonstrate substantial private support for the facility through the implementation of a public-private partnership between a State or local public entity and a private entity for the support of the facility, which private entity shall provide matching funds for the support of the facility in an amount equal to 4 times the amount of the contribution of the State or local public entity, except that not more than 20 percent of the matching funds may be provided by the Federal Government;

(3) to create an endowment to fund any and all shortfalls in the costs of the on-going operations of the facility;

(4) to establish a network of satellite centers throughout the United States to help disseminate information regarding the Underground Railroad throughout the United States, if such satellite centers raise 80 percent of the funds required to establish the satellite centers from non-Federal public and private sources;

(5) to establish the capability to electronically link the facility with other local and regional facilities that have collections and programs which interpret the history of the Underground Railroad; and

(6) to submit, for each fiscal year for which the organization receives funding under this section, a report to the Secretary of Education that contains--

(A) a description of the programs and activities supported by the funding;

(B) the audited financial statement of the organization for the preceding fiscal year;

(C) a plan for the programs and activities to be supported by the funding as the Secretary may require; and

(D) an evaluation of the programs and activities supported by the funding as the Secretary may require.

(c) AUTHORIZATION OF APPROPRIATIONS- There are authorized to be appropriated to carry out this section \$6,000,000 for fiscal year 1999, \$6,000,000 for fiscal year 2000, \$6,000,000 for fiscal year 2001, \$3,000,000 for fiscal year 2002, and \$3,000,000 for fiscal year 2003.

## **INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS EXECUTIVE ORDER 12372**

Intergovernmental Review of Federal Programs was issued 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.

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. A listing of the Single Point of Contact for each State may be viewed at:  
<http://www.whitehouse.gov/omb/grants/spoc.html>.

## GENERAL EDUCATION PROVISIONS ACT (GEPA) SECTION 427

Section 427 of GEPA requires all applicants for new awards to include in their applications a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally-assisted programs for students, teachers, and other program beneficiaries with special needs. The 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.*

A general statement of an applicant's nondiscriminatory hiring policy is not sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers.

### **NOTES:**

- **Applicants for new awards must include information in their applications to address this provision in order to receive funding under this program.**
- **Applicants are required to address this provision by attaching a statement to the ED GEPA 427 Form that must be downloaded from [Grants.gov](https://www.grants.gov).**

## GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)

### What is GPRA?

The Government Performance and Results Act of 1993 (GPRA) 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 so doing, 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 2007-2012. 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 U.S. The Department's goals, as listed in the plan, are:

*Goal 1: Improve student achievement, with a focus on bringing all students to grade level in reading and mathematics by 2014*

*Goal 2: Increase the academic achievement of all high school students*

*Goal 3: Ensure the accessibility, affordability, and accountability of higher education, and better prepare students and adults for employment and future learning.*

### What are the performance indicators for the URR program?

The performance indicators for the Underground Railroad Educational and Cultural program are part of the Department's plan for meeting Goal 3. The specific goal for the URR Program is to: Provide grants to establish a facility to house, display, and interpret artifacts related to the history of the Underground Railroad, and to make the interpretive efforts available to institutions of higher education that award baccalaureate or graduate degrees."

Under the Government Performance and Results Act (GPRA), the following measures will be used by the Department in assessing the performance of the Underground Railroad Educational and Cultural Program

A description of the programs and activities supported by the URR funding.

The organization's audited financial statement that indicates the preceding year's fiscal records.

A plan for the programs and activities supported by URR funds.

Two program evaluation reports--one prepared by an independent evaluator and a separate program evaluation report prepared by program staff.

**How does the Department of Education determine whether performance goals have been met?**

An applicant that receives a grant award will be required to submit annual progress reports and a final report as a condition of the award. The reports will document the extent to which project goals and objectives are met.

The most recent version of this program's annual performance report can be viewed at <http://www.ed.gov/programs/ugroundrr/index.html>.

## INSTRUCTIONS FOR COMPLETING THE APPLICATION PACKAGE

The application consists of four parts. These parts are organized in the same manner that the submitted application should be organized. The parts are as follows:

**Part I:        424 Forms**

Application for Federal Assistance – (SF424)  
Department of Education Supplemental Information Form for SF424

**Notes:**

- Applicants must complete the SF 424 form first because some of the information you provide here is automatically inserted into other sections of the Grants.gov application package.
- Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although the form accepts attachments, the Department of Education will only review materials/files attached to the forms listed below.

**Part II:        524 Forms**

Department of Education Budget Summary Form – (ED 524)  
Sections A & B  
(Section C – Budget Narrative should be included in the Budget Narrative Attachment Form, located in Part III.)

**Part III:        Attachments**

ED Abstract Form  
Project Narrative Attachment Form  
Budget Narrative Attachment Form  
Other Attachments Form

The Department of Education Abstract Form is where you attach your project abstract. Your Abstract will not count toward your 30-page limit.

The Project Narrative Attachment Form will include the narrative section addressing the program selection criteria that will be used to evaluate applications submitted for this competition this section—we have a strict 30-page limit.

The Budget Narrative Attachment Form is where you attach a detailed line item budget and any supplemental budget information. The budget should demonstrate and justify that all costs are reasonable and necessary to accomplish the proposed project activities. Include a description of the activities in the budget that respond to the

announced program purpose. Please note that your Budget Narrative will not count toward your 30-page limit.

The Other Attachments Form is where you attach appendices, including: curricula vitae of key personnel, position descriptions for proposed personnel for the project, letters of commitment, and bibliography. These attachments will not count toward your 30-page limit.

**\*All attachments must be in .DOC, .RTF, or .PDF format. Other types of files will not be accepted.**

**Part IV: Assurances, Certifications, and Survey Forms**

GEPA Section 427 Requirement  
Assurances – Non-Construction Programs (SF 424B)  
Grants.gov Lobbying Form (formerly ED Form 80-0013)  
Survey on Ensuring Equal Opportunity for Applicants  
Disclosure of Lobbying Activities (SF-LLL)



## INSTRUCTIONS FOR PROJECT NARRATIVE

Applicants will attach the project narrative to the **Project Narrative Attachment Form**.

Please note that the sum total number of pages allowed for your Program Narrative may not exceed **30 pages**. The page limit does not apply to Part I, the Application for Federal Assistance form (SF-424); the Abstract, the Table of Contents, Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications. However the page limit does apply to all of the application narrative section [Part III].

### Formatting

A “page” is “8.5 x 11”, on one side only, with 1” margins at the top, bottom, and both sides. Page numbers and an identifier may be within the 1” margin. Double-space all text in the application, including titles and headings. All text in charts, tables, graphs, footnotes, quotations, references, and captions may be single-spaced. Applicants may use one of the following fonts: *Times New Roman, Courier, Courier New or Arial, only*. Applications submitted in any other font (including Times Roman and Arial Narrow) will not be accepted. Do not use anything smaller than a 12-point font.

Before preparing the Program Narrative, applicants should review the Dear Applicant Letter, the Federal Register notice (Notice), and program statute for specific guidance and requirements. Note that applications will be evaluated according to the specific selection criteria specified in the Notice and this package.

### SELECTION CRITERIA

The Secretary evaluates an application on the basis of the broad criteria in 34 CFR Part 75, sections 75.209(a) and 75.210 of the Education Department General Administrative Regulations (EDGAR). Please see “Selection Criteria” in the Federal Register Notice.

To facilitate the review of the application, provide responses to the following selection criteria in the following order:

The Department will evaluate proposals using weighted selection criteria published in EDGAR § 34 CFR part 74.23, part 74.23 (b)(2), part 74.23 (b)(3), § 34 CFR part 75 sections 210(b)(2)(i), 210(b)(2)(ii), 75.210 (c)(2)(xiv), and 210(h)(2)(i) are used to evaluate applications. The selection criteria and maximum possible points are included in the Notice. The maximum score that any proposal may receive is 100 points.

The following four (4) EDGAR selection criteria will be applied to determine the overall proposal quality score:

1. Project Significance (10 Points)
2. Project Design (40 Points)
3. Project Resources (30 Points)
4. Project Evaluation (20 Points)

In the following sections, we reference the EDGAR citations that govern each criterion, and we provide specific evaluation measures that reflect the URR program provisions.

### 1. Project Significance (10 Points)

EDGAR indicates that the significance score will be determined by examining “The national significance of the proposed project” [and] “the significance of the problem or issue to be addressed by the proposed project.”

Applicants should describe the proposed project’s local, regional and national significance.

In addition, reviewers will look for:

- A. A project rationale statement that describes/explains the applicant’s efforts to promote understanding of the Underground Railroad’s history.
- B. A project narrative that describes and explains efforts to educate undergraduate and graduate students, college and/or university faculty, and members of the general public.

### 2. Project Design 40 Points

EDGAR indicates that the project design score will be determined by examining “The extent to which the proposed project represents an exceptional approach for meeting statutory purposes and requirements”

In addition, reviewers will look for narrative that addresses the program requirements:

The applicant should describe its efforts to “. . . establish a facility to house, display, and interpret the artifacts related to the history of the Underground Railroad, and to make interpretative efforts available to [baccalaureate or graduate degree-awarding]. .institutions of higher education.”

#### A. The Applicants Goals, Objectives and Activities

In this section, the applicant should provide a brief list of project goals, a list of measurable project objectives, and a description of specific activities that demonstrate how the applicant will accomplish its objectives.

## B. Facility

The applicant should demonstrate how it would effectively house, display, and interpret artifacts and digital resources that document the Underground Railroad's history. The applicant should describe the project facility; provide its dimensions, describe the various sections/exhibits that it hosts; name its director and demonstrate that he/she is adequately prepared to manage this effort (you may provide his/her resume in the Project Design narrative or as an attachment). The applicant should indicate the project's location (e.g., city and state) and its proximity to, or relationships with, other relevant facilities (e.g., colleges, universities, museums).

## C. Dissemination

The applicant should describe how it will make the project's interpretive efforts available to baccalaureate or graduate degree-granting higher education institutions. In addition, the applicant may choose to describe library and/or museum dissemination efforts.

## D. Satellite Centers

Applicants should "establish a [nationwide] network of satellite centers to help disseminate . . . Underground Railroad [information]"

The applicant should identify and list the existing and proposed satellite centers. The applicant should provide a list of the satellite centers' locations, relevant collections, capabilities and services. In addition, the applicant organization should describe the existing and/or proposed collaboration(s) with satellite centers.

The applicant organization should provide the name(s) and title(s) of the key person(s) at each satellite center who will work most closely with the applicant's key personnel. Applicants may provide a schedule for the creation and activation of this network. The applicant should provide a description of the efforts that each satellite center will undertake.

As the authorizing legislation indicates, the satellite centers must raise 80% of their funds required for their respective programming and services from "non-Federal public and private sources." Within the application, the narrative can provide information on how this might be accomplished.

For example, a satellite center might cover 80% of its project-affiliated costs with cash or in-kind donations; or, the satellite center might collaborate with the applicant entity and together the satellites and the applicant entity raise the 80% match in cash and/or in kind. There might be a third type of arrangement—wherein the applicant entity secures the matching resources (in cash and/or in-

kind) for the satellite centers. Certainly, we recognize that other arrangements might work. We ask the applicants to provide details on how they might secure the required matching resources for the major project and for the satellite center operations.

Proposals will be assessed with regard to the extent to which the applicant and/or its satellite centers have secured the 80% match from private sources for satellite center efforts.

For example, one applicant may create new facilities that rely on major donors. Another applicant may affiliate with a museum that will devote a portion of its space and resources to an Underground Railroad exhibit and resource center.

Regardless of how the applicant organization fulfills this requirement, it should provide evidence of its own private cost share/match. And, it should provide evidence of the satellite center(s)' privately funded cost sharing, or of the satellite center's private/public 80% matching resources/funds.

Applicants may provide this information in the narrative, in the budget forms, in the budget narrative, and in attached letters of commitment from satellite centers.

#### E. Electronic Links

An applicant should demonstrate the extent to which its organization/institution establishes "the capability to electronically link its facility with other local and regional facilities that have collections and programs which interpret the history of the Underground Railroad."

In this section, we suggest that applicants provide specific accounts of who will manage, supervise, and participate in the development and management of this linkage. The applicant should provide information on the nature of this/these linkages (e.g., is it a multi-institutional website; a listserve?). The applicant should provide information on how it will keep the electronic linkage current. The applicant should provide information on when this linkage will become active, and on how this will occur (e.g., will the applicant direct its Webmaster to undertake this effort? Or, will the applicant hire/engage a contractor for this effort?).

#### F. Management Plan

The applicant should indicate the extent to which it has developed a management plan that enables it to accomplish project objectives on time and within budget. In this section, the applicant should describe specific evidence of a project personnel structure, and/or description of a management structure and action plan. In order to convey its capacity to address this criterion, the applicant should include one or more of the following:

A narrative section;

A list, or a chart that clearly defines personnel responsibilities;

A project timeline (or timelines);

A list of project milestones that will indicate the extent to which the applicant will accomplish project tasks and/or activities;

A list of policies and procedures developed to ensure feedback and continuous improvement in project operation (the applicant may wish to secure this feedback from undergraduate students, graduate students, college faculty, members of the public, etc);

A description of how the applicant will ensure that a diversity of perspectives is brought to bear in the operation of proposed project (the applicant may wish to address the perspectives of undergraduate students, graduate students, college faculty, members of the public, etc).

### 3. Quality of Program Personnel (10 Points)

The qualifications of:

The Project Director

The applicant should provide the project director's qualifications, relevant training and experience. In order to present this information, applicants may attach a short (1-page) resume.

Other Key Personnel or Contractors

The applicant should provide the qualifications of other key personnel or contractors who will implement the project. Applicants may attach short (1-page) resumes.

The Applicant's Hiring Practices

The applicant should provide evidence of the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. In order to address this evaluation criterion, the applicant should provide a summary or a copy of its hiring policies.

### 4. Project Resources (30 Points)

The applicant should provide substantive evidence that indicates that the cost sharing or matching resources meet the standards and stipulations established in

EDGAR 34 CFR § 74.23 parts (a) through (h). In addition, according to the Department's EDGAR regulations, cash and/or "in-kind" contributions can meet cost sharing, or matching requirements.

As part of the application process, applicants will be required to demonstrate their ability to meet the cost-sharing requirement.

#### A. Public-Private Partnership.

The URR program requires that the Department evaluates the extent to which the applicant organization "demonstrates substantial private support for the facility through the implementation of a public-private partnership between a State or local public entity and a private entity for the support of the facility, which private facility shall provide matching funds for the support of the facility in an amount equal to 4 times the amount of the contribution of the State or local public entity, except that not more than 20 percent of the matching funds may be provided by the Federal Government."

Please note: In the proposal narrative, the budget and budget narrative, and in the attachments, applicants should provide documentation and explanations of the partnership relationships, and the satellite centers' or the applicant's cost sharing or matching resources.

#### B. Endowment

The extent to which the applicant organization will create/has created an endowment that will . . . [underwrite] any and all shortfalls in the on-going facility operations costs.

In this section, the applicant should specify information that includes:

1. The name and title of the individual who will establish the endowment, the name and title of the individual(s) who will raise funds for the endowment and
2. The mechanism that the applicant organization will use for endowment management, endowment investment, the applicant organization's proposed endowment fundraising plans and annual goals, and the plans for drawing the endowment's interest to pay for shortfalls in the operating facility's costs.
3. Documentation of the applicant's ability to create and sustain/manage an endowment.

#### 5. Quality of Project Evaluation (20 Points)

Edgar contains provisions that enable the Department to assess "the extent to which project evaluation methods are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project."

- A. The URR Program requires that the applicant should undertake “an evaluation of the programs and activities supported by the funding as the Secretary may require.”

The Department recommends that applicants conduct an Independent Evaluation. We suggest that the project director engage an independent evaluator (a person who has expertise in the project content professional areas, but who does not work in the project director’s unit, division, or department).

This evaluator will assess the applicant’s progress in meeting project goals, addressing objectives and undertaking activities; securing and assigning the required matching funds; and determining the effectiveness of the Center, its activities and its exhibits on improving students’ knowledge and appreciation of the Underground Railroad.

The evaluation should determine the effectiveness of project implementation strategies and should incorporate objective performance measures that clearly relate to project outcomes.

We encourage applicants to produce quantitative and qualitative data that addresses museum, library, archive, and other historical preservation standards and that provides performance feedback and permits periodic assessment of progress toward achieving intended outcomes.

Applicants should include information about planned major activities and outcomes. For example, an applicant that proposes to provide distance-learning activities should measure the outcomes of that activity. Alternatively, an applicant that proposes to disseminate information through a network of satellite centers should have a plan for evaluating the effectiveness of the network.

The ultimate success of the project will be demonstrated by institutionalization and continuation of the effort beyond the funded period. As such, your evaluation should include this performance measure and relevant data should be included in annual and final project reports.

In addition, in making grant awards for this program, the Department will consider information concerning the applicant’s performance and use of funds from a prior grant in this program or in any other Department program and will consider the applicant’s failure to submit an acceptable performance report for a grant in this or any other Department program. 34 CFR 75.217(d)(3).

## **INSTRUCTIONS FOR STANDARD FORMS**

- Application for Federal Assistance (SF 424)
- Department of Education Supplemental Form for the SF 424
- Department of Education Budget Summary Form (ED 524)
- Disclosure of Lobbying Activities (SF-LLL)
- Survey Instructions on Ensuring Equal Opportunity for Applicants



## INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 60 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 (0348-0043), Washington, DC 20503.

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

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:
1.	<b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Preapplication</li> <li>• Application</li> <li>• Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.</li> </ul>	10.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	<b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. <ul style="list-style-type: none"> <li>A. Increase Award      B. Decrease Award</li> <li>C. Increase Duration    D. Decrease Duration</li> <li>E. Other (specify)</li> </ul> </li> </ul>	12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	<b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	<b>Areas Affected By Project:</b> List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.		
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.	16.	<b>Congressional Districts Of:</b> (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 2-3 characters District Number, e.g., CA-12 for California 12 <sup>th</sup> district, NC-103 for North Carolina's 103 <sup>rd</sup> district. <ul style="list-style-type: none"> <li>• If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland.</li> <li>• If nationwide, i.e. all districts within all states are affected, enter US-all.</li> <li>• If the program/project is outside the US, enter 00-000.</li> </ul>
5b.	<b>Federal Award Identifier:</b> For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		
	<b>a. Legal Name:</b> (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.		
	<b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.	18.	<b>Estimated Funding:</b> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.
	<b>d. Address:</b> Enter the complete address as follows: Street address (Line		

	<p>1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p> <p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p> <p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>	19.	<p><b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p>		
		20.	<p><b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>		
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0" data-bbox="154 569 846 1056"> <tr> <td data-bbox="154 569 505 1056"> <p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p> </td> <td data-bbox="505 569 846 1056"> <p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p> </td> </tr> </table>	<p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p>	21.	<p><b>Authorized Representative:</b> (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.</p> <p>A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p>
<p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p>				

# INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

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

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

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

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

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

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

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

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

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

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

**Paperwork Burden Statement.** According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, 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 12<sup>th</sup> Street, S.W. Room 7076, Washington, D.C. 20202-4260.

# DEFINITIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

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

### Definitions:

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

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

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

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

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

#### —Research

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

#### —Human Subject

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." (1) *If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met.* (2) *If an activity involves obtaining*

*private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

#### B. Exemptions.

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

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

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

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

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

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

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture. II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives If the applicant marked "Yes" for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

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

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

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

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

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

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate

whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

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

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

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

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

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

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

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

## **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.
5. Please note—your Budget Narrative must be included in the 30-page limit.

### **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. 20202-8544. 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.



## INSTRUCTIONS FOR BUDGET SUMMARY FORM AND ITEMIZED LINE ITEM BUDGET

**NOTE:** Applicants to the URR program must submit (1) a budget information form to categorize requested funds (ED Form 524, Section A & B), **and** (2) a detailed line item budget with narrative justification.

**The budget summary** is to be included on the “Budget Information- Non-Construction Program” (ED Form 524). The applicant must complete both Sections A & B.

**Both the detailed line item budget AND the accompanying budget narrative for each year funding being requested** should be included in “Budget Narrative Attachment Form”, which requests information on the applicant’s financial plan for carrying out the project.

It is suggested that applicants organize their budgets using either two columns or categories to include funding streams as follows: 1) federal funds (URR program) requested; 2) funding from other public or private United States sources. Applicants should describe how all costs support project activities.

For each line item, provide detailed costs and narrative justification to support your request. Please check all figures and combined totals and compare the line item budget figures to those on the ED Form 524 for both Sections A & B.

Among the costs that may be supported with grant funds are:

1. **Personnel:** Enter only the project personnel salaries and wages. [Fees and expenses for consultants should be included on line 8 – “Other”.] The budget should include the total commitment of time and the total salary to be charged to the project for each key staff person. A breakdown of project personnel should include: position titles, specific time commitments to project for each staff person in days/months or in percentage, and other relevant information.
2. **Fringe Benefits:** Enter the amount of fringe benefits. The Center’s normal fringe benefit contribution may be charged to the project. Leave this blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect costs. In the budget, include an explanation and appropriate justification if the Center’s normal fringe benefit contribution exceeds 20 percent of salaries.
3. **Travel:** Provide the costs for project personnel. [Consultants’ travel should be included on line 8 – “Other”] Indicate the number of people traveling, whether they are faculty or administrative personnel, their destination, and a breakdown of travel costs. Transportation costs should not exceed economy airfare. Per diem costs are allowable for project-related travel, in accordance with OMB Circular A-21, J.48c.

4. Equipment: Provide the cost for property charged to the grant having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.
5. Supplies: Supply costs include materials necessary for conducting, developing, or implementing the project, such as library resources, conference materials, software, computers, general office supplies, and equipment that is less than \$5000 per unit.
6. Contractual: Includes the costs for contractors/consultants/evaluators and other individuals or companies that provide project services to the applicant for a fee or on an hourly or daily basis. Applicants may also include professional services fees for conference speakers, auditors, etc.. travel expenses for non-project personnel; and per diem for non-project personnel. Provide a detailed breakdown of the costs, such as the number of days for the per diem being requested; number of days and costs for consultant or evaluator services. Please note that professional services fees should not exceed amounts permitted under comparable institutional policies.
7. Construction: Please contact the program officer to secure prior approval for any construction or renovation costs. Museum installation costs should be listed in line number 8 "Other." Please contact the program officer to ensure that costs are allowable.
8. Other: Other miscellaneous costs may be requested in this category. Examples of allowable costs include: printing costs for newsletters and publications; quantity and cost for printing; ground transportation costs, etc.
9. Total Direct Costs: Enter the total direct costs (items 1-8) being requested.
10. Indirect Costs: If you are charging indirect costs to the URR grant, please be certain to provide the information requested in questions (1), (2), and (3) at the bottom of the Budget Summary form.
11. Training Stipends: Not applicable. Leave blank.
12. Total Costs: Enter the total that the applicant is requesting under the URR program (items 9-11)

Please note that you must attach a Budget Narrative, which will not count toward your 30 page narrative limit.

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

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

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

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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

## **SURVEY INSTRUCTIONS ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS**

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

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

### **Paperwork Burden Statement**

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

OMB No. 1890-0014 Exp. 02/28/09

## APPLICATION CHECKLIST

Before you submit the application package, please review the following list to ensure that you have attached all required materials/files in the prescribed format.

Part I: Application for Federal Assistance – SF 424  
Department of Education Supplemental Information Form for SF 424

**NOTE: Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although this form accepts attachments, the Department of Education will only review materials/files attached to the attachment forms listed above.**

Part II: Department of Education Budget Summary Form – ED 524  
Sections A & B

Part III: Department of Education Abstract Form (Please do not forget to develop and attach a one (1) page Abstract.

The Table of Contents (which will not count against application page limits).

Project Narrative Attachment Form.

Please note that we will require that the Project Narrative not exceed the 30-page limit. However, this does not include the Abstract, the Table of Contents, the Budget Narrative plus the Other Attachments.

Budget Narrative Attachment Form

Again, please note that the Budget Narrative is not included in the 30 page Narrative limit.

**Note:** Section C ED 524 (The Center's Itemized Line Item Budget) is attached here. Be sure to asterisk budget items that relate to the announced Invitational Priorities for FY 2008.

Other Attachments Form (Again, please note that the Other Attachments are not included in the 30 page Narrative limit).

Other Attachments may include documents like:

- Key personnel curricula vitae/resumes

- Position descriptions
- Project timeline chart
- Letters of commitment from project partners

**Attachments must be submitted in one of the following file types:  
.DOC, .RTF, or .PDF format.**

Part IV: Assurances, Certifications, and Survey Forms

- GEPA Section 427
- Assurances – Non-Construction Programs (SF424B)
- Grants.gov Lobbying Form
- Survey of Ensuring Equal Opportunity for Applicants
- Disclosure of Lobbying Activities (SF-LLL)

## 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 **1840-0068**. The time required to complete this information collection is estimated to average 39 hours for the project director 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. 20202-8544. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Underground Railroad Educational and Cultural Program, U.S. Department of Education, 1990 K Street, N.W., 6<sup>th</sup> Floor, Washington, D.C. 20202-8544.