

**U.S. DEPARTMENT OF EDUCATION**

Office of Innovation and Improvement  
Washington, DC 20202-5970



**Fiscal Year 2010**

**APPLICATION FOR GRANTS  
UNDER THE  
PROMISE NEIGHBORHOODS  
PROGRAM**

**(CFDA NUMBER: 84.215P)**

OMB No. 1894-0006

DATED MATERIAL – OPEN IMMEDIATELY

**CLOSING DATE: June 21, 2010**

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THE SECRETARY OF EDUCATION  
WASHINGTON, DC 20202

April 2010

Dear Applicant:

Thank you for your interest in Promise Neighborhoods, a new competitive grant program that will provide funds to eligible entities to design comprehensive approaches for addressing the needs of children in distressed, high-poverty communities. The program, building on the experiences of initiatives such as the Harlem Children's Zone, is the realization of President Obama's vision for the creation of high-quality projects that transform whole neighborhoods and improve educational and developmental outcomes for the children in those neighborhoods.

Setting the context for the program in July of 2007, then-Senator Obama said:

If poverty is a disease that infects an entire community in the form of unemployment and violence, failing schools and broken homes, then we can't just treat those symptoms in isolation. We have to heal that entire community. And we have to focus on what actually works.

Evidence shows that children who are from low-income families and grow up in high-poverty neighborhoods face academic and life challenges above and beyond those faced by children who are low-income and grow up in neighborhoods with low levels of poverty (Westat, 2001; Rumberger and Palardy, 2005). President Obama, the Department of Education, and Congress have responded to these findings by introducing Promise Neighborhoods as a comprehensive approach to addressing the interrelated adversities faced by students in schools in distressed communities.

In fiscal year 2010, the first year of the program, Congress appropriated \$10 million for Promise Neighborhoods. With these funds, the Department will award one-year planning grants for projects in up to 20 of the nation's most distressed neighborhoods. The grants will support the development of a continuum of cradle-through-college-to-career solutions designed to result in positive outcomes for all children within those neighborhoods. In fiscal year 2011 and beyond, contingent on the availability of funds, the Department plans to make additional planning grants while also providing grants for the implementation of Promise Neighborhoods projects.

I invite you to apply to take advantage of this incredible opportunity to improve the educational and developmental outcomes of children in our most distressed communities by transforming the neighborhoods in which they live. Through strong community leadership and support both inside and outside of education, the innovative and comprehensive approach of Promise Neighborhoods has the potential to make a significant difference for students and communities.

Sincerely,

/s/

Arne Duncan

# **I. THE PROMISE NEIGHBORHOODS GRANT COMPETITION**

4000-01-U

DEPARTMENT OF EDUCATION  
Office of Innovation and Improvement  
Overview Information

Promise Neighborhoods Program  
**Notice Inviting Applications for new awards for fiscal year (FY) 2010**  
Catalog of Federal Domestic Assistance (CFDA) Number: 84.215P.

Dates:

Applications Available: [INSERT DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Notice of Intent to Apply: May 21, 2010.

Date of Pre-Application Webinars: Friday, April 30, 2010 and Monday, May 5, 2010.

Deadline for Transmittal of Applications: June 21, 2010.

Deadline for Intergovernmental Review: August 20, 2010.

Full Text of Announcement

## **I. Funding Opportunity Description**

Purpose of Program: The Department of Education Appropriations Act, 2010 provided funds for Promise Neighborhoods under the legislative authority of the Fund for the Improvement of Education Program (FIE), title V, part D, subpart 1, sections 5411 through 5413 of the Elementary and Secondary Education Act of 1965, as amended (ESEA) (20 U.S.C. 7243-7243b). FIE supports nationally significant programs to improve the quality of elementary and secondary education at the State and local levels and help all children meet challenging State academic content and student academic achievement standards.

The purpose of Promise Neighborhoods is to improve significantly the educational and developmental outcomes of children in our most distressed communities, and to transform those communities by--

- 1) Supporting efforts to improve child outcomes and ensure that data on those outcomes are communicated and analyzed on an ongoing basis by leaders and members of the community;
- 2) Identifying and increasing the capacity of eligible entities (as defined in this notice) that are focused on achieving results and building a college-going culture (as defined in this notice) in the neighborhood;
- 3) Building a complete continuum of cradle-through-college-to-career solutions (continuum of solutions) (as defined in this notice), which has both academic programs and family and community supports (both as defined in this notice), with a strong school or schools at the center. Academic programs must include (a) high-quality early learning programs designed to improve outcomes in multiple domains of early learning (as defined in this notice); (b) programs, policies, and personnel for children in kindergarten through the 12<sup>th</sup> grade that are linked to improved academic outcomes; and (c) programs that prepare students for college and career success. Family and community supports must include programs to improve student health, safety, community stability, family and community engagement, and student access to 21<sup>st</sup> century learning tools. The continuum of solutions also must be linked and integrated seamlessly (as defined in this notice) so there are common outcomes, a focus on similar milestones, support during transitional time periods, and no time or resource gaps that create obstacles for students in making academic progress. The continuum also must be based on the best available evidence including, where available, strong or moderate evidence (as defined in this notice), and include programs, policies, practices, services, systems, and supports that result in improving educational and developmental outcomes for children from cradle through college to career;
- 4) Integrating programs and breaking down agency “silos” so that solutions are implemented effectively and efficiently across agencies;

- 5) Supporting the efforts of eligible entities, working with local governments, to build the infrastructure of policies, practices, systems, and resources needed to sustain and “scale up” proven, effective solutions across the broader region beyond the initial neighborhood; and
- 6) Learning about the overall impact of Promise Neighborhoods and about the relationship between particular strategies in Promise Neighborhoods and student outcomes, including a rigorous evaluation of the program.

Background: Children who are from low-income families and grow up in high-poverty neighborhoods face academic and life challenges above and beyond the challenges faced by children who are from low-income families who grow up in neighborhoods without a high concentration of poverty. A Federal evaluation of the reading and mathematics outcomes of elementary students in 71 schools in 18 districts and 7 States found that even when controlling for individual student poverty, there is a significant negative association between school-level poverty and student achievement.<sup>1</sup> The evaluation found that students have lower academic outcomes when a higher percentage of their same-school peers qualify for free and reduced-priced lunch (FRPL) compared to when a lower percentage of their same-school peers qualify for FRPL. Another study found that, even when controlling for a student’s own socioeconomic status, there is a significant negative association between individual student achievement growth during high school and the socioeconomic status of students in the school.<sup>2</sup> The compounding effects of neighborhood poverty continue later in life: A third study found that, for children with similar levels of family income, growing up in a neighborhood where the number of families in poverty was between 20 and 30 percent increased the chance of downward economic mobility--moving down the income ladder relative to their parents--by more than 50 percent compared with children who grew up in neighborhoods with under 10 percent of families in poverty.<sup>3</sup>

Because challenges in distressed communities with high concentrations of poverty are interrelated, the Department, through the Promise Neighborhoods Program, is taking a comprehensive approach to ensure that children have access to a continuum of cradle-through-college-to-career solutions designed to support academic achievement, healthy development, and college and career success.

To effectively improve outcomes for children in these distressed communities, schools, academic programs, and family and community supports must include several core features:

- (a) Organizations and schools implementing academic programs and family and community supports that have the capacity to collect, analyze, and use data to evaluate their efforts.
- (b) Academic programs, family and community supports, and schools that work together and closely integrate their efforts so that time and resource gaps that contribute to children missing academic and developmental milestones do not occur.
- (c) Academic programs and family and community supports that are managed, directly or indirectly, by a leader and an organization that can engage the community and are accountable for results.
- (d) Schools, academic programs, and family and community supports that are implemented by using a “place-based” approach that leverages investments by focusing resources in targeted places, drawing on the compounding effect of well-coordinated actions.<sup>4</sup>

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<sup>1</sup> Westat and Policy Studies Associate. The longitudinal evaluation of school change and performance (LESCP) in title I schools. Prepared for the U.S. Department of Education. Available January 2010 online at [http://www.policystudies.com/studies/school/lescp\\_vol2.pdf](http://www.policystudies.com/studies/school/lescp_vol2.pdf)

<sup>2</sup> Rumberger, Russell W., & Palardy, G. J. “Does segregation still matter? The impact of student composition on academic achievement in high school,” Teacher College Record, 107(9), Sept 2005.

<sup>3</sup> Sharkey, Patrick. “Neighborhoods and the Black-White Mobility Gap.” Economic Mobility Project: An Initiative of The Pew Charitable Trusts, 2009.

<sup>4</sup> Memorandum from the Office of Management and Budget (OMB).

Consistent with this approach, we believe that it is important for communities to develop a comprehensive neighborhood revitalization strategy that addresses each of the essential neighborhood assets (as defined in this notice), which include accessible developmental, commercial, recreational, physical, and social assets that are vital to transforming distressed neighborhoods into healthy and vibrant communities of opportunity. We believe that Promise Neighborhoods will be most successful when they are part of, and contributing to, a city's or region's broader neighborhood revitalization strategy. Because Promise Neighborhoods focuses on accessible, high-quality academic programs, effective schools, and family and community supports, which are all primarily developmental assets, the program is a Federal investment designed, in part, to support the implementation of a broader comprehensive neighborhood revitalization strategy. Only through the development of such comprehensive neighborhood revitalization plans, which embrace the coordinated use of programs and resources to effectively address the interrelated needs within a community, will the broader vision of neighborhood transformation occur.

Through this notice, the Department is establishing priorities and requirements, and inviting applications, for one-year grants that will support the development of a plan to implement a Promise Neighborhood. At the conclusion of the planning grant period, grantees should, at a minimum, have a feasible plan to implement a continuum of solutions with the potential to improve results for children in the community being served.

To be eligible for a planning grant, an eligible entity must operate a school or partner with at least one school, and coordinate with the school's local educational agency (LEA). The school or schools must be in a geographically defined area in which there are multiple signs of distress based on indicators of need (as defined in this notice) and other relevant indicators. Examples of signs of distress are low-performing schools (as defined in this notice); significant achievement gaps among the subgroups of students identified in section 1111(b)(3)(C)(xiii) of the ESEA; high dropout rates; significant levels of child poverty; high student mobility rates; high rates of crime, including violent crime; high rates of vacant or substandard homes; and prevalent indicators of poor health, such as asthma, poor nutrition, dental problems, obesity, or avoidable developmental delays (e.g., delays in cognitive, communication, adaptive, physical, and socio-emotional development).

As described in this notice, Promise Neighborhoods planning grantees will undertake the following activities during the planning year:

- (1) Conduct a comprehensive needs assessment of children along the cradle-through-college-to-career continuum that builds on the statement of need prepared to address the selection criteria in this notice, and includes the collection of data for the academic and family and community support indicators described in this notice for children in the geographic area<sup>5</sup> proposed to be served.
- (2) Conduct a segmentation analysis (as defined in this notice) of the needs in the neighborhood to better target solutions for the children in that neighborhood.
- (3) Develop a plan to deliver the continuum of solutions that addresses the challenges and gaps identified through the needs assessment and segmentation analysis.
- (4) Work with public and private agencies, organizations (including philanthropic organizations), and individuals to gather and leverage resources needed to support the financial sustainability of the plan. Planning grantees must demonstrate this financial sustainability by identifying the sources and amounts of current Federal, State, and local funds, including public and private funds, that can be used for the project.

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Developing Effective Place-Based Policies for the FY 2011 Budget. August, 11, 2009. Available online at [http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-28.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-28.pdf)

<sup>5</sup> For the purposes of this notice, the Department uses the terms "neighborhood" and "geographic area" interchangeably.

- (5) Identify strategies for building upon and leveraging high-quality academic programs and family and community supports; existing and anticipated Federal resources, including the American Recovery and Reinvestment Act of 2009 (ARRA); and existing and anticipated investments in neighborhood revitalization efforts and similar place-based initiatives funded by other Federal agencies such as the U.S. Departments of Housing and Urban Development, Health and Human Services, and Justice. Efforts funded by other Federal agencies include programs such as HOPE VI and Choice Neighborhoods, Health Centers, and the Byrne Criminal Justice Innovation and Weed and Seed Programs.

Note: The Departments of Health and Human Services, Housing and Urban Development, and Justice, along with the Department of Education, may establish incentives in future competitions for communities intending to implement more than one of these place-based initiatives.

- (6) Build community support for and involvement in the development of the plan, which includes establishing outcomes for children in the neighborhood that are communicated and analyzed on an ongoing basis by leaders and members of the community.
- (7) Obtain commitments from partners to work long-term to implement the plan, help ensure continued programmatic success of their plan, and develop a strategy to hold partners accountable for meeting performance goals and milestones.
- (8) Plan, build, adapt, or expand a comprehensive, longitudinal data management system, while abiding by Federal, State, and other privacy laws and requirements, for all academic and family and community support indicators, as described in this notice, as well as for additional indicators needed for the Promise Neighborhoods evaluation, such as demographic characteristics.
- (9) Work with a national evaluator for Promise Neighborhoods. Planning grantees must cooperate with the national evaluator to ensure their project design and data collection plan allows for a rigorous evaluation, using standard methodologies across Promise Neighborhoods sites, of the overall impact of the Promise Neighborhoods Program and the relationship between particular solutions pursued by the grantee and student outcomes.
- (10) Participate in a community of practice (as described in this notice).

The Department will monitor the grantees' progress toward completion of these activities. During the planning year, grantees must be able to demonstrate performance, or show significant progress toward completion, of activities (1)-(10), including by responding to the Department's questions and concerns regarding progress.

In subsequent years, contingent on the availability of funds, the Department intends to conduct competitions for Promise Neighborhoods implementation grants, as well as competitions for new Promise Neighborhoods planning grants. While all eligible entities will be able to apply for implementation grants, eligible entities that have effectively carried out the planning activities described in this notice, whether independently or with a Promise Neighborhoods planning grant, are likely to be well positioned with the plan, commitments, data, and organizational leadership and capacity necessary to develop a quality application for an implementation grant.

Applicants will be at different points of readiness, in terms of developing a plan, when they apply for a planning grant. For that reason, we are requiring applicants to demonstrate throughout the application their: (a) current organizational capacity to plan for and implement a Promise Neighborhood, including the expertise of their management team and partners; (b) prior experience in carrying out neighborhood revitalization or school improvement initiatives, placing emphasis on the applicant's performance and on the impact of its work; and (c) ability to ensure ongoing sustainability of Promise Neighborhood activities.



Because a diverse group of communities could benefit from Promise Neighborhoods, the Secretary establishes an absolute priority for applications that propose to serve one or more rural communities only (as defined in this notice) and an absolute priority for applications that propose to serve one or more Indian Tribes (as defined in this notice). Child poverty rates in rural areas are higher than in urban areas<sup>6</sup> and more than one fifth of the Nation's 2,000 "dropout factories," in which the graduation rate is less than 60 percent, are located in rural areas.<sup>7</sup> Our focus on rural communities is consistent with the Senate Appropriations Committee report on the FY 2010 Department of Education, Appropriations Act--S. REP. No. 111-66 at 192 (August 4, 2009). Compared to White students, American Indian students have lower academic outcomes and higher poverty rates.<sup>8</sup> Moreover, American Indian and Alaska Native students have a graduation rate of less than 50 percent nationally.<sup>9</sup>

The Secretary also recognizes that a broad set of solutions is required to improve academic and developmental outcomes for children and to transform communities. In that regard, the Secretary establishes an invitational priority to signal our interest in applicants addressing the unique needs of students with disabilities and students with limited English proficiency, and solutions related to increasing internet connectivity, improving civic engagement, and accessing the arts and humanities.

Priorities: We are establishing these priorities for the FY 2010 grant competition only, in accordance with section 437(d)(1) of the General Education Provisions Act (GEPA), 20 U.S.C. 1232(d)(1).

Absolute Priorities: These priorities are absolute priorities. Under 34 CFR 75.105(c)(3) we consider only applications that meet either Absolute Priority 1, Absolute Priority 2, or Absolute Priority 3.

Note: Applicants must indicate in their application whether they are applying under Absolute Priority 1, Absolute Priority 2, or Absolute Priority 3. An applicant that applies under Absolute Priority 2 but is not eligible for funding under Absolute Priority 2, or applies under Absolute Priority 3 but is not eligible for funding under Absolute Priority 3, may be considered for funding under Absolute Priority 1.

These priorities are:

Absolute Priority 1: Proposal to Develop a Promise Neighborhood Plan

To meet this priority, an applicant must submit a proposal for how it will plan to create a Promise Neighborhood. This proposal must--

1. Describe the geographically defined area to be served and the level of distress in that area based on indicators of need and other relevant indicators. Applicants may propose to serve multiple, non-contiguous geographically defined areas. In cases where target areas are not contiguous, the applicant must explain its rationale for including non-contiguous areas;
2. Describe how the applicant will plan to build a continuum of solutions (as defined in this notice) designed to significantly improve educational outcomes and to support the healthy development and well-being of children in the neighborhood. The plan to be developed by the applicant must ensure that children in the target school or schools described in paragraph 2(a)(i), 2(a)(ii), or 2(a)(iii) have access to a complete continuum of solutions. The applicant must explain how it will use its needs

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<sup>6</sup> American Community Survey, 2006.

<sup>7</sup> Balfanz, Robert, Letgers, N. Locating the Dropout Crisis: Which High Schools Produce the Nation's Dropouts? Johns Hopkins University, 2004.

<sup>8</sup> Institute for Education Sciences. Status and Trends in the Education of American Indians and Alaska Natives, 2008.

<sup>9</sup> The Civil Rights Project. The Dropout/Graduation Crisis Among American Indian and Alaska Native Students: Failure to Respond Places the Future of Native Peoples at Risk, 2010.

assessment and segmentation analysis to determine the children with the highest needs and ensure that they receive the appropriate services from the continuum of solutions. Each applicant will propose solutions, such as programs, policies, practices, services, systems, and supports that will result in improvements on the project indicators, as defined in this notice and described in paragraph 10 of this priority. There may be more than one solution for each project indicator, and a single solution may contribute to improvement on more than one project indicator. Applicants are not required to propose solutions for program indicators (as defined in this notice) that are not also project indicators (see paragraph 10 of this priority for an explanation of the difference between project indicators and program indicators).

Although the continuum of solutions must be designed to significantly improve outcomes for children in the neighborhood, applicants may also propose to plan for solutions for adults in the neighborhood that support student learning, such as family literacy programs. If an applicant proposes solutions for adults, the application must include an explanation of how the services for adults directly align with improved academic and family and community support outcomes for children. The core component of the applicant's proposed continuum of solutions must be a strategy, or a plan to develop a strategy, to--

- (a) (i) Significantly improve one or more persistently lowest-achieving schools (as defined in this notice) in the neighborhood by implementing one of the four school intervention models (turnaround model, restart model, school closure, or transformation model) described in Appendix C of the Race to the Top Notice Inviting Applications for New Awards for FY 2010, 74 FR 59836, 59866 (November 18, 2009);
- (ii) Significantly improve one or more low-performing schools in the neighborhood that is not also a persistently lowest-achieving school, by implementing ambitious, rigorous, and comprehensive interventions to assist, augment, or replace schools, which may include implementing one of the four school intervention models (turnaround model, restart model, school closure, or transformation model) described in Appendix C of the Race to the Top Notice Inviting Applications for New Awards for FY 2010, 74 FR 59836, 59866 (November (iii) 18, 2009), or may include another model of sufficient ambition, rigor, and comprehensiveness to significantly improve academic and other outcomes for students, with elements that include addressing the effectiveness of teachers and leaders and the school's use of time and resources, including increased learning time (as defined in the notice); or
- (iii) Support and sustain one or more effective schools (as defined in this notice) in the neighborhood by providing academic programs in a manner that significantly enhances and expands current efforts to improve the academic outcomes of the children in the neighborhood.

Note regarding school reform strategies: So as not to penalize an applicant from working with an LEA that has implemented rigorous reform strategies prior to the publication of this notice, an applicant is not required to propose a new reform strategy in place of an existing reform strategy in order to be eligible for a Promise Neighborhoods planning grant. For example, an LEA might have begun to implement improvement activities that meet many, but not all, of the elements of a transformation model of school intervention. In this case, the applicant could propose, as part of its Promise Neighborhood, to work with the LEA as the LEA continues with its reforms;

- (b) Ensure, as appropriate, that children in the neighborhood who do not attend the school or schools described in paragraph 2(a)(i), 2(a)(ii), or 2(a)(iii) have access to solutions designed to significantly improve educational and developmental outcomes. Examples of these solutions are--
    - (i) High-quality early learning programs designed to improve outcomes in multiple domains of early learning for young children;
    - (ii) After-school and other programs that provide increased learning time (as defined in the notice);
    - (iii) Supports to address barriers to student achievement, such as family and community supports;
    - (iv) For children in kindergarten through the 12<sup>th</sup> grade, instructional programs based on the best available evidence including, where available, strong or moderate evidence that the programs improve educational outcomes;
    - (v) Multiple pathways for students to earn regular high school diplomas (e.g., using schools that serve the needs of over-aged, under-credited, or other students with an exceptional need for flexibility regarding when they attend school or the additional supports they require; awarding credit based on demonstrated evidence of student competency; or offering dual-enrollment options); or
    - (vi) Other solutions based on the best available evidence including, where available, strong or moderate evidence that the solutions improve educational and developmental outcomes.
  - (c) To the extent feasible and appropriate, the plan to be developed by the applicant must leverage and integrate existing high-quality programs in the neighborhood into the continuum of solutions. An applicant must identify in its application the school or schools described in paragraph 2(a)(i), 2(a)(ii), or 2(a)(iii) of this priority. In cases where an eligible applicant operates a school or partners with a school that does not serve all students in the neighborhood, the applicant must partner with at least one additional school or schools that serves students in the neighborhood. In cases where an eligible applicant is a nonprofit organization that manages, operates, or partners with a private school in the neighborhood, and the school does not serve all students in the neighborhood, the applicant must partner with at least one additional public school or schools that serve students in the neighborhood.
  - (d) As part of the description of how the applicant will plan to build a continuum of solutions, an applicant must--
    - (i) Propose solutions based on the best available evidence including, where available, strong or moderate evidence that the applicant will plan to implement in the geographic area proposed to be served;
    - (ii) Describe the evidence supporting each proposed solution; and
    - (iii) Propose one or more partners that will participate in the implementation of each solution (in any case in which the applicant does not implement the solution directly);
3. Describe the applicant's organizational capacity to plan and implement a Promise Neighborhood, including the applicant's experience and lessons learned, in all of the following areas:
- (a) Working with the school or schools described in paragraph 2 of this priority; the LEA in which those schools are located; Federal, State, and local government leaders; and other service providers.

- (b) Serving the neighborhood and its residents. The application must include a description of the applicant's and partners' historical commitment and service to the neighborhood.
  - (c) Collecting, analyzing, and using data for decision-making and ongoing improvement.
  - (d) Creating formal and informal relationships, and generating community support to achieve results.
  - (e) Securing and integrating funding streams from multiple public and private sources.
  - (f) Implementing efforts similar or related to the proposed Promise Neighborhood. In the case of a newly created eligible entity, the applicant must describe the prior performance of its management team in developing and managing projects or programs similar to the proposed Promise Neighborhood;
4. Describe how the applicant will plan to sustain and "scale up" the proposed Promise Neighborhood across the broader region beyond the initial neighborhood over time. This must include a description of how the applicant will estimate during the planning phase the start-up and operating costs per child, including indirect and administrative costs, for each solution proposed in its application, and how the applicant will measure these costs during the implementation phase;
  5. Describe the commitment the applicant anticipates receiving from partners by--
    - (a) Providing a preliminary memorandum of understanding, signed by each organization or agency with which it would partner in planning and implementing the proposed Promise Neighborhood. The preliminary memorandum of understanding must describe--
      - (i) Each partner's financial and programmatic commitment;
      - (ii) How each partner's existing vision, theory of change (as defined in this notice), theory of action (as defined in this notice), and existing activities align with those of the proposed Promise Neighborhood; and
      - (iii) The governance structure of the proposed Promise Neighborhood, including how the eligible entity's governing board or advisory board is representative of the geographic area proposed to be served (as defined in this notice), and how residents of the geographic area would have an active role in the organization's decision-making; and
    - (b) Explaining how the applicant will plan to secure a commitment from local, State, and Federal government leaders to develop an infrastructure of policies, practices, systems, and resources that supports the continuum of solutions in the proposed Promise Neighborhood and "scales up" those elements of the continuum that are proven effective;
  6. Describe how the applicant will plan to track available sources and funding levels of Federal, State, and local funds that could be utilized in the project;
  7. Describe how the applicant will plan to identify Federal, State, or local policies, regulations, or other requirements that would impede the applicant in achieving its goals and report those impediments to the Department and other relevant agencies;
  8. Describe how the applicant will plan to use data to manage program implementation, inform decision-making, engage stakeholders, and measure success. The applicant must describe--
    - (a) Its proposal to plan, build, adapt, or expand a longitudinal data system that measures academic and family and community support indicators for all children in the neighborhood, disaggregated by the subgroups listed in section 1111(b)(3)(C)(xiii) of the ESEA;
    - (b) How the applicant will link the longitudinal data system to school-based, LEA, and State data systems; make the data accessible to program partners, researchers, and evaluators

- while abiding by Federal, State, and other privacy laws and requirements; and manage and maintain the system;
  - (c) How the applicant will use rapid-time (as defined in this notice) data both in the planning year and, once the Promise Neighborhood is implemented, for continuous program improvement; and
  - (d) How the applicant will document the planning process, including by describing lessons learned and best practices;
9. Describe the applicant’s commitment to work with the Department and with a national evaluator for Promise Neighborhoods to ensure that data collection and program design are consistent with plans to conduct a rigorous national evaluation of the Promise Neighborhoods Program during the implementation phase and of specific solutions and strategies pursued by individual grantees. This commitment must include, but need not be limited to--
- (a) Ensuring that the national evaluator has access to relevant program and project data sources (e.g., administrative data and program and project indicator data) through Memoranda of Understanding with appropriate entities;
  - (b) Developing, in consultation with the national evaluator, an evaluation strategy, including identifying a credible comparison group; and
  - (c) Developing, in consultation with the national evaluator, a plan for identifying and collecting reliable and valid baseline data for both program participants and a designated comparison group of non-participants;
10. Identify and describe the academic and family and community support indicators that the applicant will use in conducting the needs assessment during the planning year. Applicants must--
- (a) Collect data for the academic indicators listed in Table 1 and use them as both program and project indicators;
  - (b) Collect data for the family and community support indicators in Table 2 and use them as program indicators; and
  - (c) Collect data for unique family and community support indicators, developed by the applicant, that align with the goals and objectives of projects and use them as project indicators or use the indicators in Table 2 as project indicators.

Table 1. Academic Indicators and Results They are Intended to Measure

<b>INDICATOR</b>	<b>RESULT</b>
- # and % of children birth to five years old who have a place where they usually go, other than an emergency room, when they are sick or in need of advice about their health.	Children enter kindergarten ready to learn.
- # and % of three-year-olds and children in kindergarten who demonstrate at the beginning of the program or school year age-appropriate functioning across multiple domains of early learning (as defined in this notice) as determined using developmentally-appropriate early learning measures (as defined in this notice)	
- # & % of children, from birth to kindergarten entry, participating in center-based or formal home-based early learning settings or	

<b>INDICATOR</b>	<b>RESULT</b>
programs, which may include Early Head Start, Head Start, child care, or publicly-funded preschool	
- # & % of students at or above grade level according to State mathematics and English language arts assessments in at least the grades required by the ESEA (3 <sup>rd</sup> through 8 <sup>th</sup> and once in high school)	Students are proficient in core academic subjects.
- Attendance rate of students in 6 <sup>th</sup> , 7 <sup>th</sup> , 8 <sup>th</sup> , and 9 <sup>th</sup> grade	Students successfully transition from middle grades to high school.
- Graduation rate (as defined in this notice)	Youth graduate from high school.
- # & % of Promise Neighborhood students who graduate with a regular high school diploma, as defined in 34 CFR 200.19(b)(1) (iv), and obtain postsecondary degrees, vocational certificates, or other industry-recognized certifications or credentials without the need for remediation	High school graduates obtain a postsecondary degree, certification, or credential.

Table 2. Family and Community Support Indicators and Results They are Intended to Measure:

<b>INDICATOR</b>	<b>RESULT</b>
- # & % of children who participate in at least 60 minutes of moderate to vigorous physical activity daily and consume five or more servings of fruits and vegetables daily; or - possible second indicator, to be determined (TBD) by applicant	Students are healthy.
- # & % of students who feel safe at school and traveling to and from school, as measured by a school climate survey (as defined in this notice); or - possible second indicator, TBD by applicant	Students feel safe at school and in their community.
- Student mobility rate (as defined in this notice); or - possible second indicator, TBD by applicant	Students live in stable communities.
- # & % of students who say they have a caring adult in their home, school, and community or # & % of family members who attend parent-teacher conferences; or - possible second indicator TBD by applicant	Families and community members support learning in Promise Neighborhood schools.

INDICATOR	RESULT
- # & % of students who have school and home access (and % of the day they have access) to broadband internet (as defined in this notice) and a connected computing device; or - possible second indicator TBD by applicant	Students have access to 21 <sup>st</sup> century learning tools.

Note: The indicators in Tables 1 and 2 are not intended to limit an applicant from collecting and using data for additional indicators. Examples of additional indicators are--

- (i) The # and % of children who participate in high-quality learning activities during out-of-school hours;
- (ii) The # and % of suspensions or discipline referrals during the year;
- (iii) The share of housing stock in the geographically defined area that is rent-protected, publicly assisted, or targeted for redevelopment with local, State, or Federal funds;
- (iv) The # and % of children who are homeless or in foster care and who have an assigned adult advocate; and
- (v) The # and % of young children who are read to frequently by family members.

While the Department believes there are many programmatic benefits of collecting data on every child in the proposed neighborhood, if the applicant chooses to collect data on only a sample of the children in the neighborhood for some indicators, the applicant must describe in its application how a sample would be drawn that is representative of children in the neighborhood.

Absolute Priority 2: Promise Neighborhoods in Rural Communities.

The Secretary establishes a priority for applicants proposing to develop plans for implementing a Promise Neighborhood that (1) meet all the requirements in Absolute Priority 1; and (2) serve one or more rural communities only.

Absolute Priority 3: Promise Neighborhoods in Tribal Communities.

The Secretary establishes a priority for applications that (1) meet all requirements in Absolute Priority 1; (2) serve one or more Indian tribes; and (3) are submitted by either an eligible entity that partners with an Indian Tribe (as defined in this notice), or by an Indian Tribe that meets the definition of an eligible entity.

Invitational Priority: Under this competition we are particularly interested in applications that address the following priority. For FY 2010, this priority is an invitational priority. Under 34 CFR 75.105(c)(1) we do not give an application that meets this invitational priority a competitive or absolute preference over other applications.

This priority is: Invitational Priority: Unique Learning Needs, Quality Internet Connectivity, Civic Engagement, or Arts and Humanities.

The Secretary establishes a priority for applicants proposing to develop plans that include one or more practices, strategies, or programs designed to--

1. Address the unique learning needs of students with disabilities or students with limited English proficiency. This may include activities designed to improve academic outcomes; close achievement gaps identified in section 1111(b)(3)(C)(xiii) of the ESEA between students with disabilities as compared to nondisabled students, and between students with limited English proficiency and their English proficient peers; and increase college-and career-readiness, including increasing high school graduation rates for students with disabilities or students with limited English proficiency;

2. Ensure that almost all students in the geographic area proposed to be served have broadband internet access (as defined in this notice) at home and at school, a connected computing device, and the knowledge and skills to use broadband internet access effectively and a connected computing device to support schoolwork;
3. Include meaningful civic engagement opportunities in the geographic area proposed to be served. Examples of these opportunities are efforts to increase the participation of residents, including children and youth, in decisions that affect their community and may improve school performance; efforts to use the perspectives of residents in shaping and evaluating programs; and positive youth development activities such as service-learning (as defined in 42 U.S.C. 12511) programs for students and families that address specific challenges in the neighborhood; or
4. Include opportunities for children and youth to experience and participate actively in the arts and humanities in their community so as to broaden, enrich, and enliven the educational, cultural, and civic experiences available in the neighborhood. Applicants may propose to develop plans for offering these activities in school and out-of-school settings and at any time during the calendar year.

Definitions: We are establishing these definitions for the FY 2010 grant competition only in accordance with section 437(d)(1) of GEPA, 20 U.S.C. 1232(d)(1).\_

Academic programs means programs that include, but are not limited to--

- (a) High-quality early learning programs designed to improve outcomes in multiple domains of early learning for young children. Such programs must be specifically intended to align standards, practices, strategies, or activities across as broad an age range as birth through third grade so as to ensure that young children enter kindergarten and the early elementary school grades demonstrating age-appropriate functioning across the multiple domains;
- (b) For children in kindergarten through the 12<sup>th</sup> grade, programs, policies, and personnel that are linked to improved academic outcomes. The programs, policies, and personnel--
  - (i) Must include effective teachers and effective principals;
  - (ii) Must include strategies, practices, or programs that encourage and facilitate the evaluation, analysis, and use of student achievement, student growth, and other data by educators, families, and other stakeholders to inform decision-making;
  - (iii) Must include college- and career-ready standards, assessments, and practices, including a well-rounded curriculum, instructional practices, strategies, or programs in, at a minimum, core academic subjects as defined in section 9101(11) of the ESEA, that are aligned with high academic content and achievement standards and with high-quality assessments based on those standards; and
  - (iv) May include creating multiple pathways for students to earn regular high school diplomas (e.g., using schools that serve the needs of over-aged, under-credited, or other students with an exceptional need for flexibility regarding when they attend school or the additional supports they require; awarding credit based on demonstrated evidence of student competency; or offering dual-enrollment options).
- (c) Programs that prepare students for college and career success, which may include programs that--
  - (i) Create and support partnerships with community colleges, four-year colleges, or universities and that help instill a college-going culture in the neighborhood;
  - (ii) Provide dual-enrollment opportunities for secondary students to gain college credit while in high school;



- (iii) Provide, through relationships with businesses and other organizations, apprenticeship opportunities to students;
- (iv) Align curricula in the core academic subjects with requirements for industry-recognized certifications or credentials, particularly in high-growth sectors; and
- (v) Provide access to career and technical education programs so that individuals can attain the skills and industry-recognized certifications or credentials for success in their careers.

Broadband internet access means internet access sufficient to provide community members with the internet available when and where they need it and for the uses they require.

College-going culture means a local culture that includes an expectation that all students in the geographic area proposed to be served will have the academic preparation, financial resources, and other supports necessary to go to college or pursue other postsecondary training. That expectation is apparent in the attitudes, experiences, practices, beliefs, and values of individuals in the neighborhood.

Continuum of cradle-through-college-to-career solutions or continuum of solutions means solutions that--

- (a) Include programs, policies, practices, services, systems, and supports that result in improving educational and developmental outcomes for children from cradle through college to career;
- (b) Are based on the best available evidence, including, where available, strong or moderate evidence;
- (c) Are linked and integrated seamlessly (as defined in this notice); and
- (d) Include both academic programs and family and community supports.

Developmentally appropriate early learning measures means a range of assessment instruments that are used in ways consistent with the purposes for which they were designed and validated; appropriate for the ages and other characteristics of the children being assessed; designed and validated for use with children whose ages, cultures, languages spoken at home, socioeconomic status, abilities and disabilities, and other characteristics are similar to those of the children with whom the assessments will be used; and used in compliance with the measurement standards set forth by the American Educational Research Association (AERA), the American Psychological Association (APA), and the National Council for Measurement in Education (NCME) in the 1999 Standards for Educational and Psychological Testing.

Effective school means a school that has--

- (a) Significantly closed the achievement gaps between subgroups of students (as identified in section 1111(b)(3)(C)(xiii) of the ESEA) within the school or district; or
- (b) (i) Demonstrated success in significantly increasing student academic achievement in the school for all subgroups of students (as identified in section 1111(b)(3)(C)(xiii) of the ESEA) in the school; and  
(ii) Made significant improvements in other areas, such as graduation rates (as defined in this notice) or recruitment and placement of effective teachers and effective principals.

Eligible entity means an entity that--

- (a) Is representative of the geographic area proposed to be served (as defined in this notice);
- (b) Is one of the following:
  - (i) A nonprofit organization that meets the definition of a nonprofit under 34 CFR 77.1(c), which may include a faith-based nonprofit organization;

- (ii) An institution of higher education as defined by section 101(a) of the Higher Education Act of 1965, as amended; or
- (iii) A charter school as defined by section 5210(1) of the ESEA; and
- (c) Currently provides at least one of the solutions from the applicant’s proposed continuum of solutions in the geographic area proposed to be served.

Note: An eligible entity proposing to plan to “scale up” existing activities beyond the geographic area that the eligible entity is currently serving must partner with at least one organization or entity that provides at least one of the solutions from the applicant’s proposed continuum of solutions in the geographic area proposed to be served.

Family and community supports means--

- (a) Student health programs, such as mental health and physical health programs (e.g., home visiting programs; Early Head Start; programs to improve nutrition and fitness, reduce childhood obesity, and create healthier communities);
- (b) Safety programs, such as programs in school and out of school to prevent, control, and reduce crime, violence, drug and alcohol use, and gang activity; programs that address classroom and school-wide behavior and conduct, such as Positive Behavioral Interventions and Supports; programs to prevent child abuse and neglect; programs to prevent truancy and reduce and prevent bullying and harassment; and programs to improve the physical and emotional security of the school setting as perceived, experienced, and created by students, staff, and families;
- (c) Community stability programs, such as programs that--
  - (i) Increase the stability of families in communities by expanding access to quality, affordable housing, providing legal support to help families secure clear legal title to their homes, and providing housing counseling or housing placement services;
  - (ii) Provide employment opportunities and training to improve job skills and readiness in order to decrease unemployment, with a goal of increasing family stability;
  - (iii) Improve families’ awareness of, access to, and use of a range of social services, if possible at a single location;
  - (iv) Provide unbiased, outcome-focused, and comprehensive financial education, inside and outside the classroom and at every life stage;
  - (v) Increase access to traditional financial institutions (e.g., banks and credit unions) rather than alternative financial institutions (e.g., check cashers and payday lenders);
  - (vi) Help families increase their financial assets and savings; and
  - (vii) Help families access transportation to education and employment opportunities;
- (d) Family and community engagement programs, such as family literacy programs and programs that provide training and opportunities for family members and other members of the community to support student learning and establish high expectations for academic achievement; mentorship programs that create positive relationships between children and adults; and programs that provide for the use of such community resources as libraries, museums, and local businesses to support improved student academic outcomes; and
- (e) 21<sup>st</sup> century learning tools, such as technology (e.g., computers and mobile phones) used by students in the classroom and in the community to support their education. This includes programs that help students use the tools to develop knowledge and skills in such areas as reading and writing, mathematics, research, critical thinking, communication, creativity, innovation, and entrepreneurship.

Graduation rate means the four-year or extended-year adjusted cohort graduation rate as defined by 34 CFR 200.19(b)(1).

Note: This definition is not meant to prevent a grantee from also collecting information about the reasons why students do not graduate from the target high school, e.g., dropping out or moving outside of the school district for non-academic or academic reasons.

Increased learning time means using a longer school day, week, or year to significantly increase the total number of school hours. It is used to redesign the school's program in a manner that includes additional time for (a) instruction in core academic subjects as defined in section 9101 of the ESEA; (b) instruction in other subjects and enrichment activities that contribute to a well-rounded education, including, for example, physical education, service learning, and experiential and work-based learning opportunities that are provided by partnering, as appropriate, with other organizations; and (c) teachers to collaborate, plan, and engage in professional development within and across grades and subjects.

Indian Tribe means any Indian or Alaska Native tribe, band, nation, pueblo, village or community that the Secretary of the Interior acknowledges to exist as an Indian tribe, 25 U.S.C. 479a and 479a-1.

Indicators of need means currently available data that describe--

- (a) Academic need, which means--
  - (i) All or a portion of the neighborhood includes or is within the attendance zone of a low-performing school that is a high school, especially one in which the graduation rate (as defined in this notice) is less than 60 percent or a school that can be characterized as low-performing based on another proxy indicator, such as students' on-time progression from grade to grade; and
  - (ii) Other indicators, such as significant achievement gaps between subgroups of students (as identified in section 1111(b)(3)(C)(xiii) of the ESEA) within a school or LEA, high teacher and principal turnover, or high student absenteeism; and
- (b) Family and community support need, which means--
  - (i) Percentages of children with preventable chronic health conditions (e.g., asthma, poor nutrition, dental problems, obesity) or avoidable developmental delays;
  - (ii) Immunization rates;
  - (iii) Rates of crime, including violent crime;
  - (iv) Student mobility rates;
  - (v) Teenage birth rates;
  - (vi) Percentage of children in single-parent or no-parent families;
  - (vii) Rates of vacant or substandard homes, including distressed public and assisted housing; or
  - (i) Percentage of the residents living at or below the Federal poverty threshold.

Linked and integrated seamlessly, with respect to the continuum of solutions, means solutions that have common outcomes, focus on similar milestones, support transitional time periods (e.g., the beginning of kindergarten, the middle grades, or graduation from high school) along the cradle-through-college-to-career continuum, and address time and resource gaps that create obstacles for students in making academic progress.

Low-performing schools means schools receiving assistance through Title I that are in corrective action or restructuring in the State, as determined under section 1116 of the ESEA, and the secondary schools (both

middle and high schools) in the State that are equally as low-achieving as these Title I schools and are eligible for, but do not receive, Title I funds.

Moderate evidence means evidence from previous studies with designs that can support causal conclusions (i.e., studies with high internal validity) but have limited generalizability (i.e., moderate external validity) or from studies with high external validity but moderate internal validity.

Multiple domains of early learning means physical well-being and motor development; social and emotional development; approaches to learning, which refers to the inclinations, dispositions, or styles, rather than skills, that reflect ways that children become involved in learning and develop their inclinations to pursue learning; language development, including emergent literacy; and cognition and general knowledge, which refers to thinking and problem-solving as well as knowledge about particular objects and the way the world works. Cognition and general knowledge include mathematical and scientific knowledge, abstract thought, and imagination.

Neighborhood assets means--

- (a) Developmental assets that allow residents to attain the skills needed to be successful in all aspects of daily life (e.g., educational institutions, early learning centers, and health resources);
- (b) Commercial assets that are associated with production, employment, transactions, and sales (e.g., labor force and retail establishments);
- (c) Recreational assets that create value in a neighborhood beyond work and education (e.g., parks, open space, community gardens, and arts organizations);
- (d) Physical assets that are associated with the built environment and physical infrastructure (e.g., housing, commercial buildings, and roads); and
- (e) Social assets that establish well-functioning social interactions (e.g., public safety and community engagement).

Persistently lowest-achieving school means, as determined by the State--

- (a) Any school receiving assistance through Title I that is in improvement, corrective action, or restructuring and that--
  - (i) Is among the lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring or the lowest-achieving five Title I schools in improvement, corrective action, or restructuring in the State, whichever number of schools is greater; or
  - (ii) Is a high school that has had a graduation rate that is less than 60 percent over a number of years; and
- (b) Any secondary school that is eligible for, but does not receive, Title I funds that--
  - (i) Is among the lowest-achieving five percent of secondary schools or the lowest-achieving five secondary schools in the State that are eligible for, but do not receive, Title I funds, whichever number of schools is greater; or
  - (ii) Is a high school that has had a graduation rate that is less than 60 percent over a number of years.

Program indicators are indicators that the Department will use only for research and evaluation purposes and for which an applicant is not required to propose solutions.

Project indicators are indicators for which an applicant proposes solutions intended to result in progress on the indicators. \_

Public officials means elected officials (e.g., council members, aldermen and women, commissioners, State legislators, Congressional representatives, members of the school board), appointed public officials (e.g., members of a planning or zoning commission, or of any other regulatory or advisory board or commission), or individuals who are not necessarily public officials, but who have been appointed by a public official to serve on the Promise Neighborhoods governing board or advisory board.

Rapid-time, in reference to reporting and availability of locally-collected data, means that data are available quickly enough to inform current lessons, instruction, and related academic programs and family and community supports.

Representative of the geographic area proposed to be served means that residents of the geographic area proposed to be served have an active role in decision-making and that at least one-third of the eligible entity's governing board or advisory board is made up of--

- (a) Residents who live in the geographic area proposed to be served;
- (b) Residents of the city or county in which the neighborhood is located but who live outside the geographic area proposed to be served, and who are low-income (which means earning less than 80 percent of the area's median income as published by the Department of Housing and Urban Development);
- (c) Public officials (as defined in this notice) who serve the geographic area proposed to be served (although not more than one-half of the governing board or advisory board may be made up of public officials); or
- (d) Some combination of individuals from the three groups listed in paragraphs (a), (b), and (c) of this definition.

Rural community means a community that is served by an LEA that is currently eligible under the Small Rural School Achievement (SRSA) program or the Rural and Low-Income School (RLIS) program authorized under Title VI, Part B of the ESEA. Applicants may determine whether a particular LEA is eligible for these programs by referring to information on the following Department Web sites. For the SRSA program: [www.ed.gov/programs/reapsrsa/eligible09/index.html](http://www.ed.gov/programs/reapsrsa/eligible09/index.html). For the RLIS program: [www.ed.gov/programs/reaprlisp/eligible09/index.html](http://www.ed.gov/programs/reaprlisp/eligible09/index.html).

School climate survey means an evaluation tool that measures the extent to which the school setting promotes or inhibits academic performance by collecting perception data from individuals, which could include students, staff, or families.

Segmentation analysis means the process of grouping and analyzing data from children and families in the geographic area proposed to be served according to indicators of need (as defined in this notice) or other relevant indicators.

Note: The analysis is intended to allow grantees to differentiate and more effectively target interventions based on what they learn about the needs of different populations in the geographic area.

Strong evidence means evidence from studies with designs that can support causal conclusions (i.e., studies with high internal validity), and studies that, in total, include enough of the range of participants and settings to support scaling up to the State, regional, or national level (i.e., studies with high external validity).

Student achievement means--

- (a) For tested grades and subjects:
  - (i) A student's score on the State's assessments under the ESEA; and, as appropriate,
  - (ii) Other measures of student learning, such as those described in paragraph (b) of this definition, provided they are rigorous and comparable across classrooms.
- (b) For non-tested grades and subjects: alternative measures of student learning and performance, such as student scores on pre-tests and end-of-course tests; student performance on English language proficiency assessments; and other measures of student achievement that are rigorous and comparable across classrooms.

Student growth means the change in achievement data for an individual student between two or more points in time. Growth may also include other measures that are rigorous and comparable across classrooms.

Student mobility rate is calculated by dividing the total number of new student entries and withdrawals at a school, from the day after the first official enrollment number is collected through the end of the academic year, by the first official enrollment number of the academic year.

Note: This definition is not meant to limit a grantee from also collecting information about why students enter or withdraw from the school, e.g., transferring to charter schools, moving outside of the school district for non-academic or academic reasons.

Theory of action means an organization's strategy regarding how, considering its capacity and resources, it will take the necessary steps and measures to accomplish its desired results.

Theory of change means an organization's beliefs about how its inputs, and early and intermediate outcomes, relate to accomplishing its long-term desired results.

Waiver of Proposed Rulemaking: Under the Administrative Procedure Act (5 U.S.C. 553), the Department generally offers interested parties the opportunity to comment on proposed priorities, definitions, requirements, and selection criteria. Section 437(d)(1) of GEPA, however, allows the Secretary to exempt from rulemaking requirements and regulations governing the first grant competition under a new or substantially revised program authority. This is the first grant competition for Promise Neighborhoods planning grants and, therefore, qualifies for this exemption. In order to ensure timely grant awards, the Secretary has decided to forgo public comment on the priorities, definitions, requirements, and selection criteria under section 437(d)(1) of GEPA. These priorities, definitions, requirements, and selection criteria will apply to the FY 2010 grant competition only.

Program Authority: 20 U.S.C. 7243-7243b.

Applicable Regulations: The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99.

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

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

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$10,000,000.

Estimated Range of Awards: \$400,000-\$500,000.

Estimated Average Size of Awards: \$450,000.

Maximum Award: \$500,000. The Department does not intend to award any grant with a budget exceeding \$500,000.

Estimated Number of Awards: 20.

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

Project Period: Up to 12 months.

## III. Eligibility Information

1. Eligible Applicants: An eligible applicant is an eligible entity (as defined in this notice) that operates a school or partners, in coordination with the school's LEA, with at least one school in the geographic area proposed to be served in which there are multiple signs of distress based on indicators of need and other relevant indicators. For purposes of Absolute Priority 3, an eligible applicant is an eligible entity that partners with an Indian Tribe, or is an Indian Tribe that meets the definition of an eligible entity. To be eligible under Absolute Priority 3, an applicant must also operate a school or partner, in coordination with the school's LEA, with at least one school in the geographic area proposed to be served. All eligible applicants may also partner with such entities as an LEA; Federal, State, and local government leaders; and providers of family and community supports. Partnering with such entities is strongly encouraged but is not required.
2. Cost-Sharing or Matching: To be eligible for an award, an applicant must demonstrate that it has established a commitment from one or more entities in the public or private sector, which may include philanthropic organizations, to provide financial assistance, and that the entities will provide matching funds for the planning process. An applicant must obtain matching funds, excluding other Federal funds, or in-kind donations for the planning process equal to at least 50 percent of its grant award, except that an applicant proposing a project that meets Absolute Priority 2: Promise Neighborhoods in Rural Communities or Absolute Priority 3: Promise Neighborhoods in Tribal Communities must obtain matching funds or in-kind donations equal to at least 25 percent of the grant award. Each applicant must demonstrate a commitment of matching funds in its application. In addition, the applicant must specify the source of the cost or contribution and in the case of a third-party in-kind contribution, a description of how the value was determined for the donated or contributed goods or service. Applicants must demonstrate the match commitment by including letters in their applications explaining the type and quantity of the match commitment, including original signatures from the executives of organizations or agencies providing the match. The Secretary may consider decreasing the matching requirement in the most exceptional circumstances, on a case-by-case basis. An applicant that is unable to meet the matching requirement must include in its application a request to the Secretary to reduce the matching level requirement, including the amount of the requested reduction and a statement of the basis for the request. An applicant should review the Department's cost-sharing and cost-matching regulations, which include specific limitations in 34 CFR 74.23 applicable to non-profit organizations and institutions of higher education and 34 CFR 80.24 applicable to State, local, and Indian tribal governments, and the Office of Management and Budget

(OMB) cost principles for entity types regarding donations, capital assets, depreciations and allowable costs. These circulars are available on OMB's Web site at <http://www.whitehouse.gov/omb/circulars/index.html>.

#### **IV. Application and Submission Information**

1. Address to Request Application Package: Larkin Tackett, U.S. Department of Education, 400 Maryland Avenue, SW., room 4W338, LBJ, Washington, DC 20202-5970. Telephone: (202) 453-6615 or by e-mail: [promiseneighborhoods@ed.gov](mailto:promiseneighborhoods@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 accessible 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 competition. Notice of Intent to Apply: The Department will be able to develop a more efficient process for reviewing grant applications if it has a better understanding of the number of entities that intend to apply for funding under this competition. Therefore, the Secretary strongly encourages each potential applicant to notify the Department by completing and emailing the form on the Department's Web site. The Department may publish on the Department's Web site a list of applicants who submit an intent to apply. This e-mail notification should be sent to [pintent@ed.gov](mailto:pintent@ed.gov) with "PN Intent to Apply" in the subject heading. Applicants that fail to provide this e-mail notification may still apply for funding.

Page Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application.

You must limit the application narrative (Part III) to the equivalent of no more than 40 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.
- 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 cover sheet; Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; or the one-page abstract, the resumes, the memorandum of understanding, or the match commitment. However, the page limit does apply to all of the application narrative section (Part III).

3. Submission Dates and Times:

Applications Available: [INSERT DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Notice of Intent to Apply: May 21, 2010.



Date of Pre-Application Webinars: Friday, April 30, 2010 and Monday, May 5, 2010. These pre-application webinars are designed to provide technical assistance to interested applicants for Promise Neighborhoods planning grants. Detailed information regarding the pre-application workshop location and times will be available through the Department of Education Web site at [www.ed.gov/programs/promise/index.html](http://www.ed.gov/programs/promise/index.html).

Deadline for Transmittal of Applications: June 21, 2010.

Applications for grants under this program must be submitted electronically using the Electronic Grant Application System (e-Application) accessible through the Department's e-Grants site. For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 7. Other Submission Requirements of 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 of this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

Deadline for Intergovernmental Review: August 20, 2010.

4. Intergovernmental Review: This program is subject to 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 competition.

5. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Participation in a Community of Practice: Grantees will be required to participate in, organize, or facilitate, as appropriate, communities of practice for Promise Neighborhoods. A community of practice is a group of grantees that agrees to interact regularly to solve a persistent problem or improve practice in an area that is important to them and the success of their project. Establishment of communities of practice under Promise Neighborhoods will enable grantees to meet, discuss, and collaborate with each other regarding grantee projects.

7. 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 Promise Neighborhoods Program--CFDA Number 84.215P must be submitted electronically using e-Application, accessible through the Department's e-Grants web site at: <http://e-grants.ed.gov>.

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.

While completing your electronic application, you will be entering data online that will be saved into a database. You may not e-mail an electronic copy of a grant application to us.

Please note the following:

- You must complete the electronic submission of your grant application by 4:30:00 p.m., Washington, DC time, on the application deadline date. E-Application will not accept an application for this program after 4:30:00 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.
- The hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until 8:00 p.m. Sunday, Washington, DC time. Please note that, because of maintenance, the system is unavailable between 8:00 p.m. on Sundays and 6:00 a.m. on Mondays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time. Any modifications to these hours are posted on the e-Grants Web site.
- 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: the 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. 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.
- Prior to submitting your electronic application, you may wish to print a copy of it for your records.
- After you electronically submit your application, you will receive an automatic acknowledgment that will include a PR/Award number (an identifying number unique to your application).
- Within three working days after submitting your electronic application, fax a signed copy of the SF 424 to the Application Control Center after following these steps:
  - (1) Print SF 424 from e-Application.
  - (2) The applicant's Authorizing Representative must sign this form.
  - (3) Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the SF 424.
  - (4) Fax the signed SF 424 to the Application Control Center at (202) 245-6272.
  - We may request that you provide us original signatures on other forms at a later date.

Application Deadline Date Extension in Case of e-Application Unavailability: If you are prevented from electronically submitting your application on the application deadline date because e-Application is unavailable, we will grant you an extension of one business day to enable you to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if--

- (1) You are a registered user of e-Application and you have initiated an electronic application for this competition; and
- (2) (a) E-Application is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or

(b) E-Application is unavailable for any period of time between 3:30 p.m. and 4:30:00 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgment of any system unavailability, you may contact either (1) the person listed elsewhere in this notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930. If e-Application is unavailable due to technical problems with the system and, therefore, the application deadline is extended, an e-mail will be sent to all registered users who have initiated an e-Application. Extensions referred to in this section apply only to the unavailability of e-Application.

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 e-Application because—

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to e-Application;

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 prevents 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: Larkin Tackett, U.S. Department of Education, 400 Maryland Avenue, SW., room 4W338, Washington, DC 20202. FAX: (202) 401-4123.

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 following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 215P)  
LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

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

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

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

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

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

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

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 215P)  
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 grant 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**

1. Selection Criteria: We are establishing selection criteria for the FY 2010 grant competition only in accordance with section 437(d)(1) of GEPA, 20 U.S.C. 1232(d)(1). For these selection criteria, we rely in large part on the criteria in 34 CFR 75.210, with some modifications to tailor the criteria to this program.

The maximum score for all the selection criteria is 100 points. The maximum score for each criterion is indicated in parentheses with the criterion. The selection criteria are as follows:

- 1) Need for project (up to 10 points).
  - a) The Secretary considers the need for the proposed project.
  - b) In determining the need for the proposed project, the Secretary considers--
    - i) The magnitude or severity of the problems to be addressed by the proposed project as described by indicators of need and other relevant indicators;
    - ii) The extent to which the geographically defined area has been described; and

- iii) The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities will be identified and addressed by the proposed project.
- 2) Significance (up to 10 points).
- a) The Secretary considers the significance of the proposed project.
  - b) In determining the significance of the proposed project, the Secretary considers—
    - i) The likelihood that the proposed project will result in long-term systems change or improvement;
    - ii) The extent to which the proposed project is likely to build local capacity to provide, improve, or expand services that address the needs of the target population;
    - iii) The extent to which the proposed project involves the development or demonstration of promising new strategies that build on, or are alternatives to, existing strategies; and
    - iv) The potential to sustain and apply the model of the proposed project or strategies, including, as appropriate, the potential for implementation of the model in a variety of settings.
- 3) Quality of the project design (up to 20 points).
- a) The Secretary considers the quality of the design of the proposed project.
  - b) In determining the quality of the design of the proposed project, the Secretary considers the following factors:
    - i) The extent to which the applicant describes how it will plan to build a continuum of solutions designed to significantly improve the academic and family and community support indicators in this notice;
    - ii) The extent to which the continuum of solutions includes a strategy, or a plan to develop a strategy, that will lead to significant improvements in one or more schools described in paragraph 2 of Absolute Priority 1;
    - iii) The extent to which the applicant describes strategies for using data to manage program implementation, inform decision-making, engage stakeholders, and measure success;
    - iv) The extent to which the applicant identifies and describes academic and family and community support indicators to be used for the needs assessment during the planning year;
    - v) The extent to which the applicant demonstrates a commitment to work with the Department and with a national evaluator for Promise Neighborhoods to ensure that data collection and program design are consistent with plans to conduct a rigorous national evaluation of the Promise Neighborhoods Program during the implementation phase and of specific solutions and strategies pursued by individual grantees; and
    - vi) The extent to which the proposed project will be coordinated with similar or related efforts, and with other appropriate community, State, and Federal resources.
- 4) Quality of project services (up to 15 points).
- a) The Secretary considers the quality of the services to be provided by the proposed project.
  - b) In determining the quality of the project services, the Secretary considers—
    - i) The extent to which the applicant describes proposed solutions to be provided by the proposed project that are based on the best available evidence including, where available, strong or moderate evidence;
    - ii) The likelihood that the services to be provided by the proposed project will lead to improvements in the achievement of students as measured against rigorous academic standards; and

- iii) The extent to which the applicant explains how the needs assessment and segmentation analysis will be used to determine that children with the highest needs receive appropriate services to meet academic and developmental outcomes.
- 5) Quality of project personnel (up to 25 points).
  - a) The Secretary considers the quality of the project personnel who will carry out the proposed project.
  - b) In determining the quality of the project personnel, the Secretary considers the qualifications, including relevant training and experience, of the applicant, including the project director, and the prior performance of the applicant on efforts similar or related to the proposed Promise Neighborhood.
  - c) Relevant experience includes the applicant’s experience in and lessons learned by—
    - i) Working with the school or schools described in paragraph 2 of Absolute Priority 1;
    - ii) Serving the neighborhood and its residents;
    - iii) Collecting, analyzing, and using data for decision-making and ongoing improvement;
    - iv) Creating formal and informal relationships, and generating community support to achieve results; and
    - v) Securing and integrating funding streams from multiple public and private sources.
- 6) Quality of the management plan (up to 20 points).
  - a) The Secretary considers the quality of the management plan for the proposed project.
  - b) In determining the quality of the management plan of the proposed project, the Secretary considers--
    - i) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks;
    - ii) The extent to which the memorandum of understanding described in paragraph 5 of Absolute Priority 1 describes each partner’s financial and programmatic commitment; how each partner’s existing vision, theory of action, and theory of change, and existing activities align with those of the proposed Promise Neighborhood; and the governance structure of the proposed Promise Neighborhood;
    - iii) How the applicant will ensure that a diversity of perspectives are brought to bear in the operation of the proposed project, including those of families, school staff, the business community, a variety of disciplinary and professional fields, recipients or beneficiaries of services, or others, as appropriate; and
    - iv) The potential for continued support of the project after Federal funding ends, including, as appropriate, the demonstrated commitment of appropriate entities to sustain and “scale up” the proposed Promise Neighborhood.

To facilitate the review of the application, the Department strongly recommends that applicants include a table of contents for their project narrative and address each of the selection criteria and priorities from Absolute Priority 1 in the order in which they are described in Table 3. After addressing the selection criteria, applicants may address the invitational priority included in the proposal to plan.

Table 3. Recommended Organization of Project Narrative

SELECTION CRITERIA	ABSOLUTE PRIORITY ONE REQUIREMENT
Need for project (up to 10 points)	1. Description of the neighborhood and level of distress
Quality of project design (up to 20 points)	2. Description of how the applicant will plan to build the continuum; 8. Description of how the applicant will plan to use data;
Quality of project services (up to 15 points)	9. Description of commitment to work with national evaluator; and 10. Description of indicators to be used for needs assessment
Quality of project personnel (up to 25 points)	3. Description of the applicant’s organizational capacity to plan and implement a Promise Neighborhood
Quality of management plan (up to 20 points)	4. Description of how the applicant will plan to sustain and “scale up” the proposed Promise Neighborhood; and 5. Description of commitment the applicant anticipates receiving from partners, including the preliminary memorandum of understanding described in paragraph 5(a)
Significance (up to 10 points)	6. Description of how the applicant will plan to track available sources and funding levels of Federal, State, and local funds that could be utilized in the project; and 7. Description of how the applicant will identify Federal, State, or local policies, regulations, or other requirements that would impede the applicant in achieving its goals

Note: It may also be appropriate for an applicant to address a requirement under more than one selection criterion.

2. **Review and Selection Process:** The Department will screen applications submitted in accordance with the requirements in this notice, and will determine which applications are eligible to be read based on whether they have met eligibility and other statutory and regulatory requirements.

For the grant reviews, the Department will use independent reviewers from various backgrounds and professions including: Pre-kindergarten-12 teachers and principals, college and university educators, researchers and evaluators, social entrepreneurs, strategy consultants, grant makers and managers, community development practitioners (in areas such as health or safety), and others with education expertise. The Department will thoroughly screen all reviewers for conflicts of interest to ensure a fair and competitive review process.

Reviewers will read, prepare a written evaluation, and score the applications assigned to their panel, using the selection criteria provided in this notice.

For applications addressing Absolute Priority 1, Absolute Priority 2, and Absolute Priority 3, the Secretary prepares a rank order of applications for each absolute priority based solely on the evaluation of their quality according to the selection criteria. In accordance with 34 CFR 75.217(d), the Secretary will make final awards after considering the rank ordering and other information including an applicant's performance and use of funds and compliance history under a previous award under any Department program. In making awards under any future competitions, the Secretary will consider an applicant's past performance.

## 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 of 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. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to [www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html).

4. Performance Measures: The Secretary has established one performance indicator: the percentage of planning grantees that produce a high-quality plan as measured by their receiving at least 90 percent of the total possible points in the competition for FY 2011 implementation grants. All grantees will be required to submit a final performance report documenting their contribution in assisting the Department in measuring the performance of the program against this indicator, as well as other information requested by the Department.

## VII. Agency Contact

For Further Information Contact: Larkin Tackett, U.S. Department of Education, 400 Maryland Avenue, SW., room 4W338, Washington, DC 20202-5970. Telephone: (202) 453-6615 or by e-mail: [promiseneighborhoods@ed.gov](mailto:promiseneighborhoods@ed.gov).

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

## VIII. Other Information

Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or computer diskette) on request to the program contact person listed under For Further Information Contact in section VII of this notice.

Electronic Access to This Document: You can 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.

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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James H. Shelton III,  
Assistant Deputy Secretary for  
Innovation and Improvement.



## II. THE APPLICATION

### Overview of the Application Process

The following is a brief overview of the application process for the Promise Neighborhoods program:

#### I. Getting Started

All interested applicants should first thoroughly review the Notice Inviting Applications (the notice) for FY 2010 published in the Federal Register. The notice will orient applicants with the Promise Neighborhoods Program by providing the following information:

- Background information and purpose of the program;
- Eligibility requirements;
- Absolute and Invitational Priorities;
- Selection Criteria and assigned points;
- Key definitions; and
- Instructions on how to electronically submit the application.

Applicants should pay close attention to the Selection Criteria as applications will be evaluated and scored against these criteria.

#### II. Completing and Submitting Your Application

A complete application consists of the following components:

- Abstract Narrative;
- Project Narrative;
- Budget Narrative;
- Appendices
  - Applicant Eligibility Checklist;
  - Resumes of Key Personnel;
  - Memorandum of Understanding;
  - Documentation of match **or** waiver request for match, if applicable; and
  - Nonprofit status verification or charter school status verification, if applicable.
- Required Forms:
  - Standard Forms, and
  - Assurances and Certifications.

Each component is discussed in detail in the subsequent pages of this application package. Once the application is complete, it must be submitted electronically using the e-Application system. A detailed discussion of e-Application may also be found in the subsequent pages of this application package. Applicants are encouraged to familiarize themselves with this system and to submit their applications early. All Promise Neighborhoods applications must be received on or before **June 21, 2010**.

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

Please note that U.S. Department of Education grant application deadlines are 4:30:00 P.M. Washington, DC time. Late applications will not be accepted. 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.

#### III. Addressing Your Questions

The Department will host pre-application webinars designed to help interested applicants with the application process. Interested applicants are encouraged to participate in those webinars and may also send their questions to [promiseneighborhoods@ed.gov](mailto:promiseneighborhoods@ed.gov). You may also check the Promise Neighborhoods website for more information, including regularly updated FAQs, at [www.ed.gov/programs/promise/index.html](http://www.ed.gov/programs/promise/index.html). Please note that although we are unable to address specific proposed project questions, we will make every effort to be as responsive to your inquiries as possible.

## A. Application Narrative Instructions

### Instructions for ED Abstract Narrative

The abstract is to be attached to the “ED Abstract Attachment Form” in the application package in e-Application.

The abstract narrative must include the name and address of your organization and the name, phone number, and e-mail address of the contact person for this project and the project title (if applicable). We also strongly encourage you to include the following information in your abstract:

- o A brief description of the geographically defined area to be served and whether it includes only one or more rural communities only or includes one or more Indian tribes (both as defined in the notice);
- o A brief description of the school or schools described in paragraph 2(a)(i), 2(a)(ii), or 2(a)(iii) of the notice;
- o A brief summary of the applicant’s capacity and experience implementing efforts similar or related to the proposed Promise Neighborhood;
- o A list of partner entities described in the memorandum of understanding and with which the applicant will partner in planning the proposed Promise Neighborhood; and
- o A brief explanation of whether the applicant will develop and use any locally-defined community support project indicators.

The abstract narrative should not exceed one page (single-spaced and using Times New Roman, Courier, Courier New, or Arial font) and should use language that will be understood by a range of audiences.

## Instructions for Project Narrative

The project narrative is to be attached to the “Project Narrative Attachment Form” in the application package in e-Application.

Before preparing the project narrative and responding to the requirements of the absolute priority, **applicants should carefully review the Federal Register notice** for specific guidance and requirements. Note that applications will be reviewed according to the specific selection criteria and the absolute priorities specified in the notice.

The project narrative is where you, the applicant, address the selection criteria included in the notice for Promise Neighborhoods. To facilitate the review of the application, we strongly recommend that you include a table of contents for the project narrative and address each of the selection criteria in the order in which they are described in Table 1 – Recommended Organization of Project Narrative. Following the selection criteria, you may address the invitational priority included in your proposal to plan.

Note: In addressing the selection criteria, the project narrative should also address the absolute priority 1 requirements (#1-#10) identified in Section I of the Federal Register within each selection criterion as mapped in Table 1 – Recommended Organization of Project Narrative.

Please limit the project narrative to 40 pages, double-spaced, and number the pages consecutively. Please provide any charts, graphs, citations, or examples within the 40 pages of the projective narrative. Refer to section IV—Application and Submission Information of the notice for additional application submission requirements and section I—Funding Opportunity Description for detailed information regarding the absolute and invitational priorities for this Promise Neighborhoods competition.

**Table 1. Recommended Organization of Project Narrative<sup>10</sup>**

<b>Selection Criteria</b>	<b>Absolute Priority Requirement</b>
Need for the project (up to 10 points)	1. Description of the neighborhood and level of distress
Quality of project design (up to 20 points)	2. Description of how the applicant will plan to build the continuum;
Quality of project services (up to 15 points)	8. Description of how the applicant will plan to use data; 9. Description of commitment to work with national evaluator; and 10. Description of indicators to be used for needs assessment
Quality of project personnel (25 points)	3. Description of the applicant’s organizational capacity to plan and implement a Promise Neighborhood
Quality of management plan (20 points)	4. Description of how the applicant will plan to sustain and “scale up” the proposed Promise Neighborhood; and 5. Description of commitment the applicant anticipates receiving from partners, including Memorandum of Understanding described in paragraph 5(a) of Absolute Priority 1
Significance (10 points)	6. Description of how the applicant will plan to track available sources and funding levels of Federal, State, and local funds that could be utilized in the project; and 7. Description of how the applicant will identify Federal, State, or local policies, regulations, or other requirements that would impede the applicant in achieving its goals
<b>Invitational Priority</b>	
<b>Unique Learning Needs, Quality Internet Connectivity, Civic Engagement, or Arts and Humanities</b>	

<sup>10</sup> This table is identical to Table 3 in the notice.

## **Instructions for Budget Narrative**

Budget narratives are to be attached to the “Budget Narrative Attachment Form” in the application package in e-Application.

Before preparing the budget narrative, **applicants should review the Federal Register notice.**

Provide an itemized budget breakdown narrative for each budget category listed in Sections A and B of the ED 524 form. If applicable to this program, provide the rate and base on which fringe benefits are calculated.

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office or other relevant staff. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

Provide other budget explanations or comments deemed necessary.

## Instructions for Appendix

Eligible applicants should attach all appendices to the Appendix Attachment Form.

Eligible applicants are encouraged to follow the instructions below when uploading information to the Appendix Attachment Form:

- Appendix A:** Applicant Eligibility Checklist
- Appendix B:** Resumes of Key Personnel
- Appendix C:** Memorandum of Understanding. Please limit the Memorandum of Understanding to 10 pages, double-spaced, and number the pages consecutively.
- Appendix D:** Documentation of match or waiver request for match, if applicable
- Appendix E:** Nonprofit status verification or charter school status verification
- Appendix F:** Other, if applicable

\*e-Applications allows for one document only to be uploaded per Appendix form. If you have several documents to upload (i.e. resumes) you are encouraged to merge them into one Word, pdf, or rtf document before uploading.

## B. Required Forms

### 1. STANDARD FORMS AND INSTRUCTIONS

#### Application for Federal Assistance SF-424

<p><b>*1. Type of Submission:</b></p> <p><input type="checkbox"/> Preapplication</p> <p><input checked="" type="checkbox"/> Application</p> <p><input type="checkbox"/> Changed/Corrected Application</p>	<p><b>*2. Type of Application</b>      * If Revision, select appropriate letter(s)</p> <p><input checked="" type="checkbox"/> New</p> <p><input type="checkbox"/> Continuation      *Other (Specify) _____</p> <p><input type="checkbox"/> Revision</p>
<p>3. Date Received :                      4. Applicant Identifier:</p>	
<p>5a. Federal Entity Identifier:</p>	<p>*5b. Federal Award Identifier:</p> <p>N/A</p>
<p><b>State Use Only:</b></p>	
<p>6. Date Received by State:</p>	<p>7. State Application Identifier:</p>
<p><b>8. APPLICANT INFORMATION:</b></p>	
<p>*a. Legal Name:</p>	
<p>*b. Employer/Taxpayer Identification Number (EIN/TIN):</p>	<p>*c. Organizational DUNS:</p>
<p><b>d. Address:</b></p>	
<p>*Street 1: _____</p> <p>Street 2: _____</p> <p>*City: _____</p> <p>County: _____</p> <p>*State: _____</p> <p>Province: _____</p> <p>*Country: _____</p> <p>*Zip / Postal Code _____</p>	
<p><b>e. Organizational Unit:</b></p>	
<p>Department Name:</p>	<p>Division Name:</p>
<p><b>f. Name and contact information of person to be contacted on matters involving this application:</b></p>	
<p>Prefix: _____      *First Name: _____</p> <p>Middle Name: _____</p> <p>*Last Name: _____</p> <p>Suffix: _____</p>	
<p>Title:</p>	
<p>Organizational Affiliation:</p>	
<p>*Telephone Number:</p>	<p>Fax Number:</p>
<p>*Email:</p>	

**Application for Federal Assistance SF-424**  
Version 02

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

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\*Other (Specify)

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

**U.S. Department of Education**

**11. Catalog of Federal Domestic Assistance Number:**

84.215 P \_\_\_\_\_

CFDA Title:

Funds for the Improvement of Education \_\_\_\_\_

**\*12 Funding Opportunity Number:**

84.215P

\*Title:

FIE \_\_\_\_\_

**13. Competition Identification Number:**

N/A \_\_\_\_\_

Title:

\_\_\_\_\_ N/A \_\_\_\_\_

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

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



**\*Applicant Federal Debt Delinquency Explanation**

The following should contain an explanation if the Applicant organization is delinquent of any Federal Debt.

**Instructions for 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.

#	Entry:	#	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 - 3 characters District Number, e.g., CA-005 for California 5 <sup>th</sup> district, CA-012 for California 12 <sup>th</sup> district, NC-103 for North Carolina's 103 <sup>rd</sup> district.
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.		<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>
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions: a. <b>Legal Name:</b> (Required): Enter 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.	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.
	c. <b>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.		
	d. <b>Address:</b> Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).	19.	<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.
	e. <b>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.		
	f. <b>Name and contact information of person to be contacted on matters involving the 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.	20.	<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. If yes, include an explanation on the continuation sheet.
9.	<b>Type of Applicant:</b> (Required) Select up to three applicant type(s) in accordance with agency instructions.	21.	<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.  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.)

Department of Education Supplemental Information for SF 424

SUPPLEMENTAL INFORMATION  
REQUIRED FOR  
DEPARTMENT OF EDUCATION

1. **Project Director:**

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

Address:

\* Street1:

Street2:

\* City:

County:

\* State  \* Zip Code:  \* Country:

\* Phone Number (give area code)

Fax Number (give area code)

Email Address:

2. **Applicant Experience:**

Novice Applicant  Yes  No  Not applicable to this program

3. **Human Subjects Research:**

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

Yes  No

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

Yes Provide Exemption(s) #:

No Provide Assurance #, if available:

**Please attach an explanation Narrative:**

Add Attachment

Delete Attachment

View Attachment

OMB Control No. 1894-0007

## Supplemental Information Instructions 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 C.F.R. 75.225 and included on the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.” By checking “Yes” the applicant certifies that it meets these novice applicant requirements. Check “No” if you do not meet the requirements for novice applicants.

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

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

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

**3a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”

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

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

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

**Paperwork Burden Statement.** *According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 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 for SF 424

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

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

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

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

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

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

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

##### **—Research**

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

##### **—Human Subject**

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

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

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

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

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



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

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

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

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

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

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

### A. Exempt Research Narrative.

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

### B. Nonexempt Research Narrative.

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

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

Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

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

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

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

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

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

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

***Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the U.S. Department of Education, Protection of Human Subjects Coordinator, Office of the Chief Financial Officer, LBJ Building, 400 Maryland Avenue, SW, Washington, D.C. 20202-4250, telephone: (202) 260-3353, and on the U.S. Department of Education’s Protection of Human Subjects in Research Web Site: <http://www.ed.gov/about/offices/list/ocfo/humansub.html>***

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







U.S. DEPARTMENT OF EDUCATION  
BUDGET INFORMATION  
NON-CONSTRUCTION PROGRAMS ED 524

**ED SF 524 Budget Form**  
OMB Control Number: 1894-0008  
Expiration Date: 02/28/2011

Name of Institution/Organization

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

**SECTION A - BUDGET SUMMARY**

U.S. DEPARTMENT OF EDUCATION FUNDS

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

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

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

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

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

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

Approving Federal agency: \_\_\_ ED \_\_\_ Other (please specify): \_\_\_\_\_ The Indirect Cost Rate is \_\_\_\_\_%

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

Is included in your approved Indirect Cost Rate Agreement? or  Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is \_\_\_\_\_%

## Instructions for ED SF-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/applforms/applforms.html>.

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

4. Provide other explanations or comments you deem necessary.

### **Paperwork Burden Statement**

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

**Disclosure of Lobbying Activities (SF-LLL)**

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

<p><b>1. Type of Federal Action:</b>  a. contract  ___b.___ b. grant  c. cooperative agreement  d. loan  e. loan guarantee  f. loan insurance</p>	<p><b>2. Status of Federal Action:</b>  a. bid/offer/application  ___b.___ b. initial award  c. post-award</p>	<p><b>3. Report Type:</b>  ___a.___ a. initial filing  b. material change</p> <p><b>For material change only:</b>  Year _____ quarter _____  Date of last report _____</p>
<p><b>4. Name and Address of Reporting Entity:</b>  ___ Prime ___ Subawardee  Tier _____, if Known:</p> <p><b>Congressional District, if known:</b></p>		<p><b>5. If Reporting Entity in No. 4 is Subawardee,</b>  Enter Name and Address of Prime:</p> <p><b>Congressional District, if known:</b></p>
<p><b>6. Federal Department/Agency:</b></p>	<p><b>7. Federal Program Name/Description:</b></p> <p>CFDA Number, if applicable: ___84.215P___</p>	
<p><b>8. Federal Action Number, if known:</b></p>	<p><b>9. Award Amount, if known:</b>  \$</p>	
<p><b>10. a. Name and Address of Lobbying Registrant</b>  <i>(if individual, last name, first name, MI):</i></p>	<p><b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i>  <i>(last name, first name, MI):</i></p>	
<p><b>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b></p>	<p><b>Signature:</b> _____</p> <p><b>Print Name:</b> _____</p> <p><b>Title:</b> _____</p> <p><b>Telephone No.:</b> _____ <b>Date:</b> _____</p>	
<p><b>Federal Use Only</b></p>	<p><b>Authorized for Local Reproduction</b>  <b>Standard Form - LLL (Rev. 7-97)</b></p>	

## **Instructions for 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
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 2050









## 2. Assurances and Certifications

### Certification Regarding Lobbying

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

* APPLICANT'S ORGANIZATION	
<input type="text"/>	
* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
Prefix: <input type="text"/>	First Name: <input type="text"/> Middle Name: <input type="text"/>
* Last Name: <input type="text"/>	Suffix: <input type="text"/>
<input type="text"/>	
* Title:	
* SIGNATURE: <input type="text"/>	* DATE: <input type="text"/>





## Survey Ensuring Equal Opportunity for Applicants

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

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

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

Applicant's (Organization's) Name: \_\_\_\_\_  
 Applicant's D-U-N-S Number: \_\_\_\_\_  
 Federal Program: \_\_\_\_\_ CFDA Number: \_\_\_\_\_

Yes                      No

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

Yes                       No

2. Is the applicant a faith-based organization?

Yes                       No

3. Is the applicant a secular organization?

Yes                       No

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

Yes                       No

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

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

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

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

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

## Survey Instructions on Ensuring Equal Opportunity for Applicants

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

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

### **Paperwork Burden Statement**

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

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

## GEPA Statement

OMB Control No. 1894-0005 (Exp. 01/31/2011)

### NOTICE TO ALL APPLICANTS

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

#### To Whom Does This Provision Apply?

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

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

#### What Does This Provision Require?

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

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

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

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

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

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

OMB Approval No. 0348-0040

### Assurances – Non-Construction Programs

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

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

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

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

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

of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management

program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).



- 12 Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
- 13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
- 14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
- 15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm

blooded animals held for research, teaching, or other activities supported by this award of assistance.

- 16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
- 17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
- 18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

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

### III. SUBMITTING YOUR COMPLETED APPLICATION

#### E-Application Submission Procedures

#### IMPORTANT – PLEASE READ FIRST

**U.S. Department of Education**  
***e-Application Submission Procedures and Tips for Applicants***  
**<http://e-grants.ed.gov>**

To facilitate your use of e-Application, this document includes important application preparation and submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education. Please read and follow these step-by-step directions to create and submit your application.

#### ATTENTION

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

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

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

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


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

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

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

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

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

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

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

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

**NOTE:** For more detailed information on submitting an e-Application, please see the **User Guide**. In addition, please try practicing with our e-Application Demo site by clicking on the Demo button found on

the upper left corner of the e-Application Home Page. Both the User Guide and Demo can be found at <http://e-grants.ed.gov>.

### Other Submission Tips

- 1) **SUBMIT EARLY – We strongly recommend that you do not wait until the last day to submit your application.** The time it takes to upload the narratives for your application will vary depending on a number of factors including the size of the files and the speed of your Internet connection. If you try to submit your application after 4:30:00 on the deadline date, the e-Application system will not accept it.
- 2) If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date.

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

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

### Attaching Files – Additional Tips

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

1. Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to a lower version of Word before uploading. Also, do not upload any password protected files to your application.
2. When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend you keep your file names to less than 50 characters. In addition, applicants should avoid including special characters in their file names (for example, %, \*, /, etc.) Both of these conditions (lengthy file names and/or special characters including in the file names) could result in difficulties opening and processing a submitted application.
3. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. Please note that each file attachment in e-Application has a file size limitation which is anywhere from 2 to 8 MB and the limitation

will be indicated on the individual screen when you upload a file. For reference, however, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the size of your attachments before uploading them into e-Application.

### **Instructions for D-U-N-S Number**

**All applicants must have a D-U-N-S number in order to apply for federal funds.**

The DUNS number used on the application must be the same number that the applicant's organization used to register with e-Application. If the numbers are not the same, e-Application will reject the application.

NOTE: Check with your fiscal office to see if your institution has an assigned D-U-N-S before contacting Dun & Bradstreet.

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

[http://www.dnb.com/US/duns\\_update/index.html](http://www.dnb.com/US/duns_update/index.html)

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

**Dun & Bradstreet, a global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide.** For live help Monday-Friday 8am-6pm (EST) dial 1-888-814-1435.

Note: Electronic submission via e-Application must use the D-U-N-S number your organization used when it registered in the Central Contractor Registry.

When filling out the SF 424, you must use the same DUNS number that your organization used when it registered with the Central Contractor Registry, or Grants.gov will reject the application.

Complete the SF 424 first; the information provided on the SF 424 will populate fields in other application package forms.

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## **IV. ADDITIONAL INFORMATION**

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### **Executive Order 12372**

#### Intergovernmental Review of Federal Programs

This program is subject to the requirement of the Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79. The objective of the Executive Order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance. Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372.

You may locate the name and contact information of State Single Points of Contact at:

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

## **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1894-0006. The time required to complete this information collection is estimated to average 60 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection.

If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Promise Neighborhoods, Office of Innovation and Improvement, U.S. Department of Education, 400 Maryland Avenue, S.W., Room 4W338, Washington, D.C. 20202-5970.





## V. CHECKLISTS

### **Application Checklist**

Use This Checklist While Preparing Your Application Package (optional):

All items listed on this checklist are required.

#### Application Narratives

Abstract Narrative (use the ED Abstract Form)

Program Narrative (use the Program Narrative Form)

Budget Narrative (use Budget Narrative Attachment Form)

#### Appendix

Applicant Eligibility Checklist

Resumes of Key Personnel

Memorandum of Understanding

Documentation of match **or** waiver request for match, if applicable

Nonprofit status verification or Charter School status verification

Other, if applicable

#### Standard Forms

Application for Federal Assistance - (SF 424)

Department of Education Supplemental Information for SF 424

ED Budget Form SF 524

#### Assurances and Certifications

Certification Regarding Lobbying

Disclosure of Lobbying Activities

Survey Ensuring Equal Opportunities for Applicants

Assurances – Non-Construction Programs

<b>Applicant Eligibility Checklist (required)</b>	
(1)	<p>(1) <b>The eligible applicant must be an eligible entity that meets the following requirements</b> (check one box for I and II below).</p> <p><b>I. The organization must fall under one of these three categories:</b></p> <p>(A) <input type="checkbox"/> (A) A nonprofit organization that meets the definition of a nonprofit under 34 CFR 77.1(c), which may include a faith-based nonprofit organization</p> <p style="text-align: center;"><b>OR</b></p> <p>(B) <input type="checkbox"/> (B) An institution of higher education as defined by section 101(a) of the Higher Education Act of 1965, as amended</p> <p style="text-align: center;"><b>OR</b></p> <p>(C) <input type="checkbox"/> (C) A charter school as defined by section 5210(1) of the ESEA</p> <p><b>II. At least 1/3 of the governing board or advisory board must be made up of either:</b></p> <p>(A) <input type="checkbox"/> (A) Residents who live in the geographic area proposed to be served</p> <p style="text-align: center;"><b>OR</b></p> <p>(B) <input type="checkbox"/> (B) Residents of the city or county who are low-income (which means earning less than 80 percent of the area’s median income)</p> <p style="text-align: center;"><b>OR</b></p> <p>(C) <input type="checkbox"/> (C) Public officials who serve the geographic area proposed to be served</p> <p style="text-align: center;"><b>OR</b></p> <p>(D) <input type="checkbox"/> (D) Some combination of individuals from these three groups</p>
(2) <input type="checkbox"/>	(2) <b>No more than ½ of the governing or advisory board may be made up of public officials</b>
(3) <input type="checkbox"/>	(3) <b>The eligible applicant must operate or partner with at least one school in a geographic area proposed to be served in coordination with the school’s local education agency (LEA).</b>
(4) <input type="checkbox"/>	(4) <b>The applicant currently provides at least one of the solutions from the applicant’s continuum of solutions in the geographic area proposed to be served.</b>
	<i>**This box only applies to newly created eligible entities:</i>
(5)	(5) <b>Newly created entities must describe in their applications each of the following</b> (both must be checked):
(A) <input type="checkbox"/>	(A) How the applicant meets all requirements of (1) – (4) above
	<b>AND</b>
(B) <input type="checkbox"/>	(B) The prior performance of organizations managed by the new eligible entity’s management team on efforts similar or related to the proposed Promise Neighborhood