

**UNITED STATES DEPARTMENT OF EDUCATION  
UNITED STATES DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**FY2014**

**Preschool Development Grants –Expansion Grants  
Application for Initial Funding**

**CFDA Number: 84.419B**



**Dated Material - Open Immediately**

**Closing Date: October 14, 2014**

**U.S. Department of Education  
Washington, DC 20202**

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**APPLICATION FOR INITIAL FUNDING UNDER  
PRESCHOOL DEVELOPMENT GRANTS--EXPANSION GRANTS  
COMPETITION**

**TABLE OF CONTENTS**

<b>Dear Colleague Letter</b> .....	1
<b>Part I: Application Introduction</b> .....	2
Purpose of Program .....	2
Application Requirements.....	6
Absolute and Competitive Preference Priorities.....	7
Selection Criteria .....	11
<b>Part II: Application Preparation and Submission Instructions</b> .....	19
Application Transmittal Instructions .....	19
Submitting Applications with Adobe Reader Software .....	22
Grants.gov Submission Procedures and Tips for Applicants .....	23
Submission Problems – What should you do? .....	24
Attaching Files – Additional Tips .....	26
Electronic Application Format .....	28
Contents of an Application .....	32
Electronic Application Submission Checklist .....	32
Part 1: Preliminary Documents .....	34
<a href="#">Part 2:</a> ED Abstract Form.....	41
Part 3: Project Narrative Attachment Form .....	42
Part 4: Budget Information and Budget Narrative.....	43
<a href="#">Part 5:</a> Other Attachment Forms....	53
Part 6: Assurances and Certifications.....	67
<b>Part III: Legal and Regulatory Information, Definitions and Requirements</b> .....	70

Program Definitions.....	70
Program Requirements .....	76
Reporting and Accountability .....	78
Contracting for Services.....	79
Scoring Rubric.....	80
Notice Inviting Applications .....	89



UNITED STATES DEPARTMENT OF EDUCATION  
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Dear Colleague:

We are pleased to present the application for the new Preschool Development Grants--Expansion Grants competition. Thank you to the over 600 individuals and organizations that provided input to the Departments on the new competition. These grants will help States develop or enhance their capacity to deliver high-quality preschool programs for our most vulnerable families and their children -- in cities, towns, districts, rural and tribal areas, as well as other diverse communities with high levels of need.

This effort builds on President Obama's comprehensive early learning agenda, investing in and strengthening early learning and development for our nation's youngest children. These investments, including the Early Head Start - Child Care Partnership grants announced earlier this year, help prevent educational gaps before they start and help ensure our children's success in school and in life.

Preschool Development Grants--Expansion Grants will support States that have robust State preschool programs or that have been awarded a Race to the Top--Early Learning Challenge grant. These grants will be awarded to States to implement and sustain high-quality preschool programs that reach and serve additional children from low- to moderate-income families in two or more high-need communities. States will also be able to use a portion of their funds to make preschool program infrastructure and quality improvements needed to deliver high-quality preschool programs. The States eligible to apply for a Preschool Development Grant--Expansion Grant are Arkansas, California, Colorado, Connecticut, Delaware, District of Columbia, Florida, Georgia, Illinois, Iowa, Kansas, Kentucky, Louisiana, Maine, Maryland, Massachusetts, Michigan, Minnesota, Nebraska, New Jersey, New Mexico, New York, North Carolina, Ohio, Oklahoma, Oregon, Pennsylvania, Rhode Island, South Carolina, Tennessee, Texas, Vermont, Virginia, Washington, West Virginia, and Wisconsin.

We sincerely hope that each of these States, working with its local communities, will take advantage of this historic opportunity and participate in the Preschool Development Grants--Expansion Grants competition. Quality early education is an investment in our collective future, contributing to our country's long-term economic success. Such opportunity can be a game-changer for our children, our most critical national resource.

Sincerely,

/s/  
Deborah S. Delisle  
Assistant Secretary of Elementary  
and Secondary Education,  
U.S. Department of Education.

/s/  
Mark Greenberg  
Assistant Secretary for  
Children and Families,  
U.S. Department of Health and  
Human Services

## Part I. APPLICATION INTRODUCTION

### Purpose of Program

The purpose of the Preschool Development Grants program, which is jointly administered by the Departments of Education and Health and Human Services (Departments), is to support State and local efforts to build, develop, and expand High-Quality Preschool Programs<sup>1</sup> so that more children from low- and moderate-income families enter kindergarten ready to succeed in school and in life. All States, the District of Columbia, and Puerto Rico are eligible to apply for either a Preschool Development Grants--Development Grant or a Preschool Development Grants--Expansion Grant.

Preschool Development Grants--Expansion Grants will support States that have robust State Preschool Programs or that have been awarded a Race to the Top--Early Learning Challenge grant. These grants will be awarded to States to implement and sustain High-Quality Preschool Programs that reach and serve additional Eligible Children in two or more High-Need Communities. States will also be able to use a portion of their funds to make preschool program infrastructure and quality improvements needed to deliver High-Quality Preschool Programs. The States eligible to apply for a Preschool Development Grants--Expansion Grant are Arkansas, California, Colorado, Connecticut, Delaware, District of Columbia, Florida, Georgia, Illinois, Iowa, Kansas, Kentucky, Louisiana, Maine, Maryland, Massachusetts, Michigan, Minnesota, Nebraska, New Jersey, New Mexico, New York, North Carolina, Ohio, Oklahoma, Oregon, Pennsylvania, Rhode Island, South Carolina, Tennessee, Texas, Vermont, Virginia, Washington, West Virginia, and Wisconsin.

Preschool Development Grants--Development Grants will support States with either small or no State Preschool Programs. These grants will be awarded to States to develop or enhance preschool program infrastructure and capacity to deliver High-Quality Preschool Programs. These States will be expected to implement and sustain High-Quality Preschool Programs to reach and serve additional Eligible Children in one or more High-Need Communities. The States eligible to apply for a Preschool Development Grants--Development Grant are Alabama, Alaska, Arizona, Hawaii, Idaho, Indiana, Mississippi, Missouri, Montana, Nevada, New Hampshire, North Dakota, Puerto Rico, South Dakota, Utah, and Wyoming.

### Application Deadline

The deadline for submitting an application is **Tuesday, October 14, at 4:30:00 PM, Washington, DC time**. Applicants are expected to review the *Federal Register* notice inviting applications and the instructions provided in this application package for additional information on meeting this deadline. Written requests for a waiver of the electronic submission requirement must be mailed or faxed to the Department no later than September 30, 2014.

### Eligibility Requirements

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<sup>1</sup> Defined terms are used throughout the notice and are indicated by capitalization.

To be eligible to compete for funding under this program a State must--

- (a) Serve 10 percent or more of four-year-old children in a State Preschool Program;<sup>2</sup> or
- (b) Have received an award under a Race to the Top – Early Learning Challenge competition.

**Therefore, only the States of Arkansas, California, Colorado, Connecticut, Delaware, District of Columbia, Florida, Georgia, Illinois, Iowa, Kansas, Kentucky, Louisiana, Maine, Maryland, Massachusetts, Michigan, Minnesota, Nebraska, New Jersey, New Mexico, New York, North Carolina, Ohio, Oklahoma, Oregon, Pennsylvania, Rhode Island, South Carolina, Tennessee, Texas, Vermont, Virginia, Washington, West Virginia, and Wisconsin are eligible to apply for Preschool Development Grants--Expansion Grants.**

## **Budget Requirements**

To support States in planning their budgets, the Departments have developed the following annual budget caps for each State eligible for a Preschool Development Grants--Expansion Grant. We will not consider for funding an application from a State that proposes a budget in any year that exceeds the applicable cap set for that State. The Departments developed the following categories by ranking every State eligible for a Preschool Development Grants--Expansion Grant according to its relative share of Eligible Children who could be served by Preschool Development Grants--Expansion Grants and then identifying the natural breaks in the rank order. Then, based on population of Eligible Children,<sup>3</sup> budget caps were developed for each category.

Category 1--up to \$35M--California;

Category 2--up to \$30M--Texas;

Category 3--up to \$25M--Florida, New York;

Category 4--up to \$20M--Georgia, Illinois, Michigan, North Carolina, Ohio, and Pennsylvania;

Category 5--up to \$17.5M--New Jersey, South Carolina, Tennessee, Virginia, and Washington;

Category 6--up to \$15M--Arkansas, Colorado, Kansas, Kentucky, Louisiana, Maryland, Massachusetts, Minnesota, Oklahoma, Oregon, and Wisconsin;

Category 7--up to \$12.5M--Connecticut, Iowa, Maine, Nebraska, New Mexico, and West Virginia;

Category 8--up to \$10M--Delaware, District of Columbia, Rhode Island, and Vermont.

## **Background for this Competition**

Strong and consistent evidence demonstrates that participation in high-quality early learning programs can lead to both short- and long-term positive outcomes for all children, but especially

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<sup>2</sup> Based on current data from: Barnett, W.S., Carolan, M.E, Squires, J.H., and Clarke-Brown, K. (May 2014). State of Preschool 2013: First Look (NCES 2014-078). U.S. Department of Education. Washington, DC: National Center for Education Statistics. Available at: <http://nces.ed.gov/pubsearch>.

<sup>3</sup> <http://www2.ed.gov/programs/preschooldevelopmentgrants/4-year-old-poverty-status-2012.pdf>.

children from low-income families.<sup>4</sup> Research has shown the multiple benefits of attending preschool programs that are of high-quality, including increased school readiness, lower rates of grade retention and special education placements, improved high school graduation rates, reduced interaction with law enforcement, and higher rates of college attendance and completion.<sup>5</sup>

We also know that children from low-income families, on average, start kindergarten 12 to 14 months behind their peers in pre-reading and language skills.<sup>6</sup> Results from the “Early Childhood Longitudinal Study, Kindergarten Class of 2010–11,” indicate that children’s performance in reading and math were lowest for kindergartners in households with incomes below the Federal Poverty Line and highest for those in households with incomes at or above 200 percent of the Federal Poverty Line.<sup>7</sup> Increasing access to High-Quality Preschool Programs, particularly for at-risk children from low-income families, can help close, or even prevent, these achievement gaps prior to kindergarten entry.

The Consolidated Appropriations Act, 2014 (Pub. L. 113-76) provided \$250 million for competitive grants to States for improving early childhood care and education, and help States develop, enhance, and expand preschool programs that are of high-quality. Of this amount, the Departments expect to dedicate approximately \$160 million to Preschool Development Grants--Expansion Grants and \$80 million to Preschool Development Grants - Development Grants. As explained more fully in the notice, we are waiving notice-and-comment rulemaking for these competitions to ensure timely awards. However, the Departments welcomed comments from the public on the priorities, requirements, definitions, and selection criteria for this funding opportunity through a dedicated Web site and a public hearing. In all, the Departments received over 600 individual comments to consider as we drafted the notice to be consistent with the language in the Consolidated Appropriations Act, 2014, and accompanying report.<sup>8</sup>

The Departments will make Preschool Development Grants--Expansion Grants on a competitive basis to States to (1) implement and sustain High-Quality Preschool Programs that reach and serve additional Eligible Children in two or more High-Need Communities; and (2) enhance preschool program infrastructure and capacity to deliver High-Quality Preschool Programs. For Preschool Development Grants--Expansion Grants, States may allocate up to five percent of the

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4 Yoshikawa, H., Weiland, C., Brooks-Gunn, J., Burchinal, M., Espinosa, L., Gormley, W., Ludwig, J.O., Magnuson, K.A., Phillips, D.A., & Zaslow, M.J. (2013). Investing in Our Future: The Evidence Base on Preschool Education. New York: Foundation for Child Development and Ann Arbor, MI: Society for Research in Child Development. Available at: <http://fcd-us.org/sites/default/files/Evidence%20Base%20on%20Preschool%20Education%20FINAL.pdf>.

5 Barnett, W. S. (2008). Preschool Education and Its Lasting Effects: Research and Policy Implications. Boulder and Tempe: Education and the Public Interest Center & Education Policy Research Unit. Available at: <http://nieer.org/resources/research/PreschoolLastingEffects.pdf>.

6 Committee on Integrating the Science of Early Childhood Development (2000). From Neurons to Neighborhoods: The Science of Early Childhood Development. Jack P. Shonkoff and Deborah A. Phillips, eds. Board on Children, Youth, and Families, Commission on Behavioral and Social Sciences and Education. Washington, DC: National Academy Press.

7 Mulligan, G.M., Hastedt, S., and McCarroll, J.C. (July, 2012). First-Time Kindergartners in 2010-11: First Findings From the Kindergarten Rounds of the Early Childhood Longitudinal Study, Kindergarten Class of 2010-11 (ECLS-K:2011) (NCES 2012-049). U.S. Department of Education. Washington, DC: National Center for Education Statistics. Available at: <http://nces.ed.gov/pubsearch/>.

8 <http://www2.ed.gov/programs/preschooldevelopmentgrants/resources.html>.



total Federal funds over the grant period for State-level infrastructure. The remainder of the Federal funds must be subgranted to Early Learning Providers in two or more High-Need Communities.

We intend High-Quality Preschool Programs to be delivered through a mixed-delivery system of providers that includes schools, licensed child care centers, Head Start programs, and community-based organizations. Preschool programs funded by the Preschool Development Grants program must meet program quality standards, including, at a minimum, the elements outlined in the definition of a “High-Quality Preschool Program,” such as high staff qualifications, low child-staff ratios and small class sizes, a Full-Day program, and Comprehensive Services for children. Though encouraged, other preschool programs within the State will not be required to meet these same criteria.

A State’s application must include an ambitious and achievable plan covering a project period of up to four years. Depending on the availability of funds, the Departments will make continuation awards for years two, three, and four of the project period. The State’s ambitious and achievable plan must describe, among other things, how the State will expand access to High-Quality Preschool Programs to children at or below 200 percent of the Federal Poverty Line; the applicant’s strategy for ensuring the creation of, as appropriate, new State Preschool Program slots and the improvement of existing State Preschool Program slots as described in Selection Criterion (D)(4)(b); the reasons for selecting each High-Need Community; a system for monitoring programs for continuous improvement; how Local Educational Agencies and other Early Learning Providers will establish and maintain strong partnerships; how High-Quality Preschool Programs supported under this grant will be aligned with programs and systems that serve children from birth through third grade; and how the State will maintain High-Quality Preschool Programs for children after the grant period.

## **Program Authority**

Sections 14005 and 14006 of the ARRA, as amended by section 1832(b) of division B of the Department of Defense and Full-Year Continuing Appropriations Act, 2011 (Pub. L. 112–10), the Department of Education Appropriations Act, 2012 (title III of division F of Pub. L. 112–74, the Consolidated Appropriations Act, 2012), and the Department of Education Appropriations Act, 2014 (title III of division H of Pub. L. 113-76, the Consolidated Appropriations Act, 2014).

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 86, 97, 98, and 99. (b) The Education Department debarment and suspension regulations in 2 CFR part 3485.

More information on this program is available on the program website

## **Application Requirements**

*Each application must meet the following requirements*

The following requirements apply to all applications submitted under this competition:

(a) The State's application must be signed by the Governor or an authorized representative and an authorized representative from the Lead Agency.

(b) The application must include a letter of support from an operational State Advisory Council on Early Childhood Education and Care that meets the requirements described in section 642B(b) of the Head Start Act (42 U.S.C. 9837(b)) and in paragraph (l) of the Program Requirements. If the State does not have an operational State Advisory Council, the application must include a letter of support from a similar State council on early childhood education and care established by the State's legislature or assigned the duties of the State Advisory Council on Early Childhood Education and Care by the State's Governor that meets the requirements described in section 642B(b) of the Head Start Act (42 U.S.C. 9837(b)) and in paragraph (l) of the Program Requirements. The letter must describe the council's level of support and, if applicable, participation in the grant.

(c) The State must include a budget narrative that details how it will use Federal grant funds awarded under this competition, and, if applicable, funds from other Federal, State, private, and local sources, to achieve--

(1) The goals outlined in its ambitious and achievable plan; and

(2) Its ambitious and achievable targets for increasing the number and percentage of Eligible Children who are enrolled in High-Quality Preschool Programs through, as applicable, newly created and improved State Preschool Program slots as described in selection criterion (D)(4)(b).

(d) The State must complete the Excel spreadsheets that are provided on the Preschool Development Grants Website at [www.ed.gov/programs/preschooldevelopmentgrants](http://www.ed.gov/programs/preschooldevelopmentgrants) and upload to the Other Attachments Form in Grants.gov as explained in Part 5 of the application.

(e) The State must provide, for each selection criterion or priority in the notice that solicits an ambitious and achievable plan, a description of the following elements, at a minimum--

(1) The key goals of the plan;

(2) The key activities to be undertaken; the rationale for the activities; and, if applicable, where in the State the activities will be initially implemented, and where and how they will be scaled up over time;

(3) A realistic timeline, including key milestones, for implementing each key activity;

(4) The party or parties responsible for implementing each activity and other key personnel assigned to each activity;

(5) Appropriate financial resources to support successful implementation and sustainment of the plan;

(6) The information requested as supporting evidence, if any, together with any additional information the State believes will be helpful to peer reviewers in judging the credibility of the plan;

(7) The information requested in the performance measures, where applicable; and

(8) How the State will address the needs of Eligible Children, including those who may be in need of additional supports, such as children who have disabilities or developmental delays; who are English learners; who reside on "Indian lands" as that term is defined by section 8013(7) of the Elementary and Secondary Education Act of 1965, as amended ([20 U.S.C. 6301 et seq.](#)) (ESEA); who are migrant; who are "homeless," as defined in subtitle VII-B of the McKinney-Vento Homeless Assistance Act (42 U.S.C. §11434a(2)) (McKinney-Vento Act); whose families

are involved in the child welfare system; who reside in rural areas; who are from military families; and other children as identified by the State, if applicable.

(f) The State must provide a letter of support or preliminary binding agreement, such as a preliminary memorandum of understanding (MOU), from each Subgrantee attesting to the Subgrantee's participation (a model MOU is provided in Part 5 of this application).

## **Technical Assistance Planning Webinar for Prospective Applicants**

To assist States in preparing the application and to respond to questions, ED and HHS intend to broadcast a Technical Assistance Planning Webinar to review the priorities, requirements, and selection criteria for this competition. The purpose of the webinar will be to allow individuals responsible for developing applications to review with Federal program staff the priorities, requirements, and selection criteria for this competition and to ask questions about the Preschool Development Grants--Expansion Grants competition. We strongly encourage all interested State applicants to participate in the Webinar. For those who cannot attend the live Webinar, a link to the Webinar will be available on the Preschool Development Grants website at [www.ed.gov/programs/preschooldevelopmentgrants](http://www.ed.gov/programs/preschooldevelopmentgrants)

## **Absolute and Competitive Preference Priorities**

The priorities below were established in the notice published in the *Federal Register*.

### **Absolute Priority**

A State must address the absolute priority in its application in order to receive an award. For FY 2014 and any subsequent year in which the Departments make awards from any list of unfunded applicants resulting from this competition, the Departments will consider only applications that, consistent with 34 CFR 75.105 (c)(3), meet Absolute Priority 1, and either Absolute Priority 2 or Absolute Priority 3. States do not write directly to the absolute priority; instead, reviewers determine if the priority is met after evaluating a State's response to all of the Selection Criteria. We consider for funding only applications that meet the absolute priority. A State meets the absolute priority if a majority of reviewers determines that the State has met the absolute priority.

These priorities are:

#### Absolute Priority 1: Increasing Access to High-Quality Preschool Programs in High-Need Communities.

To meet this priority, the State must demonstrate in its application how it will increase access to High-Quality Preschool Programs for Eligible Children by having an ambitious and achievable plan to--

- (1) Begin serving Eligible Children no later than in year one of the grant period;
- (2) Subgrant at least 95 percent of its Federal grant funds received over the grant period to one or more Subgrantees to implement and sustain voluntary, High-Quality Preschool Programs for Eligible Children in two or more High-Need Communities in the State; and

- (3) Use no more than five percent of its Federal grant funds received during the grant period for State-level infrastructure and quality improvements, such as those described in selection criterion (C)(1).

Absolute Priority 2: Race to the Top--Early Learning Challenge States.

To meet this priority, an applicant must have received an award under a Race to the Top--Early Learning Challenge competition.

Note: These States are California, Colorado, Delaware, Georgia, Illinois, Kentucky, Maryland, Massachusetts, Michigan, Minnesota, New Jersey, New Mexico, North Carolina, Ohio, Pennsylvania, Rhode Island, Oregon, Vermont, Washington, and Wisconsin.

Absolute Priority 3: Non-Race to The Top--Early Learning Challenge States with More Robust State Preschool Programs.

To meet this priority, the applicant must not have received an award under a Race to the Top--Early Learning Challenge competition and serve 10 percent or more of four-year-old children in a State Preschool Program.

Note: These States are Arkansas, Connecticut, District of Columbia, Florida, Iowa, Kansas, Louisiana, Maine, Nebraska, New York, Oklahoma, South Carolina, Tennessee, Texas, Virginia, and West Virginia<sup>9</sup>

## **Competitive Preference Priorities**

These priorities are competitive preference priorities. Under 34 CFR 75.105(c)(2)(i) we award up to an additional 10 points to an application that meets Competitive Preference Priority 1 and up to an additional 10 points for an application that meets Competitive Preference Priority 2, depending on how well the application meets these competitive preference priorities. We also award an additional 10 points for an application that meets Competitive Preference Priority 3. An application can receive a maximum of 30 competitive preference priority points.

These priorities are:

Competitive Preference Priority 1: Contributing Matching Funds (up to 10 points).

Background: An applicant is not required to contribute non-Federal matching funds to support its ambitious and achievable plan. However, we will give competitive preference to applicants who address this priority and will award more points to applicants that commit to a larger matching contribution. Successful applicants that do not obtain or expend the matching funds they committed to in their applications may be subject to enforcement proceedings, including withholding of funds or denial of a continuation award.

Priority: To receive a competitive preference under this priority, the State must describe and submit appropriate evidence of a credible plan for obtaining and using non-Federal matching

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<sup>9</sup> Based on current data from: Barnett, W.S., Carolan, M.E., Squires, J.H., and Clarke-Brown, K. (May 2014). State of Preschool 2013: First Look (NCES 2014-078). U.S. Department of Education. Washington, DC: National Center for Education Statistics. Available at: <http://nces.ed.gov/pubsearch>.

funds to support the implementation of its ambitious and achievable plan during the grant period. Matching funds may be comprised of State, local, and philanthropic funds and may also include increased State funding appropriated beginning in the State fiscal year prior to the first year of the grant period. Points will be awarded based on the following scale if the plan is determined to be credible:

Percentage non-Federal match of the State's four-year total award	Competitive preference points
50% or more	10
40-49%	8
30-39%	6
20-29%	4
10-19%	2
0-9%	0

Competitive Preference Priority 2: Supporting a Continuum of Early Learning and Development (up to 10 points).

Background: The integration of High-Quality Preschool Programs within a broader continuum of comprehensive high-quality supports and services helps to create smooth transitions for children and families to ensure continuous and consistent high-quality early learning opportunities critical to children's success. Transition services play a vital role, particularly in the transitions from infant and toddler services to preschool services, and services under part C of the [Individuals with Disabilities Education Act](#) (IDEA) (20 U.S.C. 1400 et seq.) to services under section 619 of part B of IDEA. States can support children and families through cross-sector partnerships and by leveraging resources from existing State and local agencies that provide early childhood services, including part C and section 619 of part B of IDEA, Early Head Start and Head Start, home visiting, child care, preschool programs, family supports (e.g., those that strengthen and stabilize families) and engagement resources, adult education, and housing, health, and mental health services.

Priority: To receive a competitive preference under this priority, the State must describe an ambitious and achievable plan that addresses the creation of a more seamless progression of supports and interventions from birth through third grade, such as high-quality infant and toddler care, home visitation, Full-Day kindergarten, and before- and after-care services for, at a minimum, a defined cohort of Eligible Children and their families within each High-Need Community served by each Subgrantee.

Competitive Preference Priority 3: Creating New High-Quality State Preschool Program Slots (0 or 10 points).

Background: Many States have taken note of the short- and long-term benefits of early education and have launched efforts to expand the availability of State Preschool Programs. As of 2013, 40 States and the District of Columbia have at least one State Preschool Program in

place.<sup>10</sup> Nevertheless, only about 28 percent of America's four-year-olds were enrolled in a State Preschool Program in the 2012-2013 school year.<sup>11</sup> The high costs of private preschool programs and the lack of State Preschool Programs narrow options for families, and especially so for low-income families. In 2011, four-year-olds under 200 percent of poverty were 16 percentage-points less likely than their higher-income peers (above 200 percent) to attend any preschool program, whether public or private.<sup>12</sup>

**Priority:** To receive a competitive preference under this priority, the State must demonstrate how it will use at least 50 percent of its Federal grant award to create new State Preschool Program slots that will increase the overall number of new slots in State Preschool Programs that meet the definition of High-Quality Preschool Programs.

## Selection Criteria

*The selection criteria for this program are set forth in sections (A)-(G). We also identify for each selection criterion any evidence that applicants must submit that is not already identified in the selection criterion. We will use the following selection criteria to evaluate applications submitted under the Preschool Development Grants--Expansion Grant competition. The maximum score for all the selection criteria and competitive preference priorities is 230 points. The maximum score for each selection criterion is indicated in parentheses. The reviewers will utilize the scoring rubric located in this application when evaluating applications under the selection criteria:*

***States must address in their application all of the selection criteria.***

### A. Executive Summary (10 points).

The extent to which the State includes an ambitious and achievable plan for expanding access to High-Quality Preschool Programs that clearly articulates how the plans proposed under each criterion in this section, when taken together, will--

- (1) Build on the State's progress to date as demonstrated in selection criterion (B);
- (2) Provide voluntary, High-Quality Preschool Programs for Eligible Children through subgrants to each Subgrantee in two or more High-Need Communities;
- (3) Increase the number and percentage of Eligible Children served in High-Quality Preschool Programs during each year of the grant period through the creation of new, and the improvement of existing State Preschool Program slots, as applicable;
- (4) Have all the characteristics specified in the definition of High-Quality Preschool Programs;
- (5) Set expectations for the school readiness of children upon kindergarten entry;
- (6) Be supported by a broad group of stakeholders, including Early Learning Intermediary Organizations and, if applicable, State and local early learning councils; and

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10 Based on current data from: Barnett, W.S., Carolan, M.E, Squires, J.H., and Clarke-Brown, K. (May 2014). State of Preschool 2013: First Look (NCES 2014-078). U.S. Department of Education. Washington, DC: National Center for Education Statistics. Available at: <http://nces.ed.gov/pubsearch>.

11 Ibid.

12 U.S. Department of Health and Human Services ASPE tabulations from the Current Population Survey, available at: [http://aspe.hhs.gov/hsp/14/EarlyCareEducation/rb\\_ece.cfm#\\_Toc373832432](http://aspe.hhs.gov/hsp/14/EarlyCareEducation/rb_ece.cfm#_Toc373832432)

(7) Allocate funds between--

(a) Activities to build or enhance State Preschool Program infrastructure using no more than five percent of its Federal grant funds received over the grant period on State-level infrastructure including, but not limited to, monitoring and evaluation and other quality-enhancing activities that improve the delivery of High-Quality Preschool Programs to Eligible Children; and

(b) Subgrants to Early Learning Providers to implement voluntary, High-Quality Preschool Programs for Eligible Children in one or more High-Need Communities, including how it will--

(i) Provide High-Quality Preschool Programs to Eligible Children no later than the end of year one of the grant period;

(ii) Subgrant at least 95 percent of its Federal grant funds to its Subgrantee or Subgrantees over the grant period; and

(iii) Support each Subgrantee in culturally and linguistically appropriate outreach and communication efforts in order to ensure that all families, including those who are isolated or otherwise hard to reach, are informed of the opportunity and encouraged to enroll their children in available programs.

Evidence for selection criterion (A):

- (A)(3) and (A)(7) Information contained in Table A for the number of Eligible Children to be served each year of the grant and the number and percentage of State Preschool Program slots (See Table A in the application package).
- (A)(4) Documentation of the structural elements in the definition of High-Quality Preschool Program.
- (A)(5) Set of expectations for school readiness.
- (A)(6) Letters of support from stakeholders, including Early Learning Intermediary Organizations and, if applicable, State and local early learning councils.
- Any other supporting evidence the State believes will be helpful to peer reviewers.

B. Commitment to State Preschool Programs (20 points).

The extent to which the State has demonstrated its commitment to develop or enhance the State Preschool Program infrastructure and its capacity to both deliver and increase access to High-Quality Preschool Programs for Eligible Children, as evidenced by--

(1) State Early Learning and Development Standards (2 points);

(2) The State's financial investment, if any, and the estimated number and percentage of children, including if known, the estimated number and percentage of Eligible Children, served in State Preschool Programs over the last four years (6 points);

(3) Enacted and pending legislation, policies, or practices that demonstrate the State's current and future commitment to increasing access to High-Quality Preschool Programs for Eligible Children (4 points);

(4) The quality of existing State Preschool Programs, as evidenced by policies and program data that demonstrate the State's commitment to the components of a High-Quality Preschool Program; compliance with Program Standards; and support for program monitoring and improvement, which may be accomplished through the use of a TQRIS (4 points);

(5) The State's coordination of preschool programs and services, in partnership with its Early Learning Advisory Council, with other State and Federal resources that may be used to serve preschool-aged children, including, if applicable, programs and services supported by title I of the ESEA, part C and section 619 of part B of IDEA, subtitle VII-B of the McKinney-Vento Act,

the [Head Start Act \(42 U.S.C. 9831 et seq.\)](#), and the [Child Care and Development Block Grant Act of 1990 \(42 U.S.C. 9858 et seq.\)](#) (2 points); and

(6) The State's role in promoting coordination of preschool programs and services at the State and local levels with other sectors that support the early learning and development of children, including child health, mental health, family support, nutrition, child welfare, and adult education and training sectors (2 points).

Evidence for selection criterion (B):

- (B)(1) Executive summary or brief description of the State's Early Learning and Development Standards, including how the definition is met.
- (B)(2) Completed table that describes the State's financial investment and number of children served in State Preschool Programs (See Table B in the application package).
- (B)(3) Evidence of enacted and pending legislation, policies, or practices.
- Any other supporting evidence the State believes will be helpful to peer reviewers.

C. Ensuring Quality in Preschool Programs (30 points).

The extent to which the State has an ambitious and achievable plan to ensure program quality, including a description of how the State will (8 points)--

(1) Use no more than five percent of the funds received over the grant period for State Preschool Program infrastructure and quality improvements at the State level through activities such as--

- (a) Enhancing or expanding Early Learning and Development Standards;
- (b) Implementing Program Standards consistent with a High-Quality Preschool Program;
- (c) Supporting programs in meeting the needs of children with disabilities and English learners, including in workforce development;
- (d) Conducting a needs assessment to determine the current availability of High-Quality Preschool Programs, including private and faith-based providers and Head Start programs;
- (e) Establishing or upgrading preschool teacher education and licensure requirements;
- (f) Improving teacher and administrator early education training programs and professional development;
- (g) Implementing a Statewide Longitudinal Data System to link preschool and elementary and secondary school data;
- (h) Implementing a Comprehensive Early Learning Assessment System;
- (i) Building preschool programs' capacity to engage parents in decisions about their children's education and development, help families build protective factors, and help parents support their children's learning at home;
- (j) Building State- and community-level support for High-Quality Preschool Programs through systemic linkages to other early learning programs and resources to support families, such as child health, mental health, family support, nutrition, child welfare, and adult education and training sectors; and
- (k) Other activities that would support the delivery of High-Quality Preschool Programs to Eligible Children.

(2) Implement a system for monitoring and supporting continuous improvement for each Subgrantee to ensure that each Subgrantee is providing High-Quality Preschool Programs (which may be accomplished through the use of leveraging a TQRIS and other existing monitoring systems), including the extent to which the State (10 points)--



(a) Has the capacity to measure preschool quality, including parent satisfaction measures, and provide performance feedback to inform and drive State and local continuous program improvement efforts;

(b) Is using a Statewide Longitudinal Data System that is able to track student progress from preschool through third grade; and

(c) Clearly specifies the measureable outcomes, including school readiness, to be achieved by the program.

(3) Measure the outcomes of participating children across the five Essential Domains of School Readiness during the first few months of their admission into kindergarten using an assessment or assessments, such as a Kindergarten Entry Assessment, to achieve the purposes for which the assessment was developed and that conform with the recommendations of the National Research Council report on early childhood assessments (12 points).<sup>13</sup>

Evidence for selection criterion (C):

- (C)(2)(a) Evidence of a monitoring protocol used to drive continuous program improvement.
- (C)(2)(c) Evidence of State targets with measurable outcomes, including school readiness achieved by the program.
- Any other supporting evidence the State believes will be helpful to peer reviewers.

D. Expanding High-Quality Preschool Programs in Each High-Need Community (60 points).

The extent to which the State articulates an ambitious and achievable plan for expanding High-Quality Preschool Programs in two or more High-Need Communities, including a description of how--

(1) The State has selected each Subgrantee and each High-Need Community that will be served, including a description of each High-Need Community and its geographic diversity, such as whether the community is located in a rural or tribal area, and whether it is located in a federally designated Promise Zone<sup>14</sup> (8 or 6 points).

Note: Applicants that have federally designated Promise Zones in their States as of July 31, 2014 must propose to serve and coordinate with a High-Need Community located in that Promise Zone in order to be eligible for up to the full 8 points under sub-criterion (D)(1). If they do not propose to serve and coordinate with a High-Need Community in that Promise Zone, they are eligible for up to 6 points under this sub-criterion. Applicants that do not have federally designated Promise Zones in their State are eligible for up to the full 8 points under this sub-criterion.

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<sup>13</sup> One example of these reports is referenced here. National Research Council (2008). Early Childhood Assessment: Why, What, and How. Committee on Developmental Outcomes and Assessments for Young Children, C.E. Snow and S.B. Van Hemel, Editors. Board on Children, Youth, and Families, Board on Testing and Assessment, Division of Behavioral and Social Sciences and Education. Washington, DC: The National Academies Press. Available at: [www.nap.edu/catalog.php?record\\_id=12446](http://www.nap.edu/catalog.php?record_id=12446).

<sup>14</sup> The first five Promise Zones are located in San Antonio, Texas (Eastside Neighborhood); Philadelphia, Pennsylvania (West Philadelphia); Los Angeles, California (Neighborhoods of Pico Union, Westlake, Koreatown, Hollywood, and East Hollywood); Southeastern Kentucky (Kentucky Highlands); and the Choctaw Nation of Oklahoma. For additional information on Promise Zones, see [www.whitehouse.gov/the-press-office/2014/01/08/fact-sheet-president-obama-s-promise-zones-initiative](http://www.whitehouse.gov/the-press-office/2014/01/08/fact-sheet-president-obama-s-promise-zones-initiative).

(2) Each High-Need Community is currently underserved, including the number and percentage of four-year-olds in State Preschool Programs and other publically funded preschool programs (8 points).

(3) The State conducted outreach, including consultation with tribes, if applicable, to potential Subgrantees and the process used in selecting each Subgrantee (4 points).

(4) The State will subgrant at least 95 percent of its Federal grant award over the grant period to its Subgrantee or Subgrantees to implement and sustain voluntary, High-Quality Preschool Programs in two or more High-Need Communities, and--

(a) Set ambitious and achievable annual targets for the number and percentage of additional Eligible Children to be served during each year of the grant period through, as applicable, the (16 points); and

(b) Incorporate in their plan (12 points):

(i) Ambitious expansion of the number of new slots in State Preschool Programs that meet the definition of High-Quality Preschool Program; and

(ii) Ambitious improvement of existing State Preschool Program slots to bring them to the level of a High-Quality Preschool Program by extending programs from half-day to Full-Day; limiting class size and decreasing child to staff ratios; employing and compensating a teacher with a bachelor's degree; or providing Comprehensive Services.

Note: Applicants may receive up to the full 12 points if they address only (D)(4)(b)(i) or (D)(4)(ii) or if they address both (D)(4)(i) and (ii);

(5) The State, in coordination with each Subgrantee, intends to sustain High-Quality Preschool Programs after the grant period, including any non-Federal support that the State or each Subgrantee commits to contribute (12 points).

Evidence for selection criterion (D):

- A letter of support or preliminary binding agreement, such as a preliminary MOU, from each Subgrantee attesting to the Subgrantee's participation.
- Table (D)(4) and Table A. (See Tables (D)(4) and A in Excel spreadsheets)
- Any other supporting evidence the State believes will be helpful to peer reviewers.

E. Collaborating with Each Subgrantee and Ensuring Strong Partnerships (50 points).

The extent to which the State has an ambitious and achievable plan to ensure that each Subgrantee is effectively implementing High-Quality Preschool Programs, including a description of--

(1) The roles and responsibilities of the State and Subgrantee in implementing the project plan (2 points).

(2) How the State plans to implement High-Quality Preschool Programs, including the organizational capacity and existing infrastructure of the Subgrantee to provide High-Quality Preschool Programs, either directly or indirectly through an Early Learning Provider or Providers, and coordinate the delivery of High-Quality Preschool Programs (6 points).

(3) How the State will ensure that each Subgrantee minimizes local administrative costs (2 points).

(4) How the State and Subgrantee will monitor the Early Learning Providers to ensure they are delivering High-Quality Preschool Programs (4 points).

(5) How the State and the Subgrantee will coordinate plans related to assessments, data sharing, instructional tools, family engagement, cross-sector and comprehensive services efforts, professional development, and workforce and leadership development (4 points).

(6) How the State and Subgrantee will coordinate, but not supplant, the delivery of High-Quality Preschool Programs funded under this grant with existing services for preschool-aged children including, if applicable, State Preschool Programs and programs and services supported through title I of the ESEA, part C and section 619 of part B of IDEA, subtitle VII-B of the McKinney-Vento Act, the Head Start Act, and the Child Care and Development Block Grant Act (6 points).

(7) How the Subgrantee will integrate, to the extent practicable, High-Quality Preschool Programs for Eligible Children within economically diverse, inclusive settings, including those that serve children from families with incomes above 200 percent of the Federal Poverty Line (6 points).

(8) How the Subgrantee will deliver High-Quality Preschool Programs to Eligible Children, including Eligible Children who may be in need of additional supports, such as those who have disabilities or developmental delays; who are English learners; who reside on "Indian lands" as that term is defined by section 8013(7) of the ESEA; who are migrant; who are "homeless," as defined in subtitle VII-B of the McKinney-Vento Act; who are in the child welfare system; who reside in rural or tribal areas; who are from military families; and other children as identified by the State (6 points).

(9) How the State will ensure the Subgrantee implements culturally and linguistically responsive outreach and communication efforts to enroll children from families with Eligible Children, including isolated or hard-to-reach families; helps families build protective factors; and engages parents and families (e.g., builds capacity to support children's learning and development) as decision-makers in their children's education (4 points).

(10) How the State will ensure strong partnerships between each Subgrantee and LEAs or other Early Learning Providers, as appropriate, including a description of how the State will ensure that each Subgrantee (10 points)--

(a) Partners with LEAs or other Early Learning Providers, as appropriate, to carry out activities that provide children and their families with successful transitions from preschool into kindergarten; and

(b) Coordinates and collaborates with LEAs or other Early Learning Providers, as appropriate, in--

(i) Providing opportunities for early educators to participate in professional development on early learning and kindergarten standards, assessments, curricula, and culturally and linguistically responsive strategies to help families build protective factors, build parents' capacity to support their children's learning and development, and engage parents as decision-makers in their children's education;

(ii) Providing family engagement, support, nutrition, and other Comprehensive Services and coordinating with other community partners to ensure families' access to needed supports;

(iii) Supporting full inclusion of Eligible Children with disabilities and developmental delays to ensure access to and full participation in the High-Quality Preschool Program;

(iv) Supporting the inclusion of children who may be in need of additional supports, such as children who are English learners; who reside on "Indian lands" as that term is defined by section 8013(7) of the ESEA; who are migrant; who are "homeless," as defined in subtitle VII-B of the

McKinney-Vento Act; who are in the child welfare system; who reside in rural areas; who are from military families; and other children as identified by the State;

(v) Ensuring that High-Quality Preschool Programs have age-appropriate facilities to meet the needs of Eligible Children;

(vi) Developing and implementing a systematic procedure for sharing data and other records consistent with Federal and State law; and

(vii) Utilizing community-based learning resources, such as libraries, arts and arts education programs, and family literacy programs.

Evidence for selection criterion (E):

- Any supporting evidence the State believes will be helpful to peer reviewers.

F. Alignment within a Birth through Third Grade Continuum (20 points).

The extent to which the State has an ambitious and achievable plan to align High-Quality Preschool Programs supported by this grant with programs and systems that serve children from birth through third grade to, among other things, improve transitions for children across this continuum.

(1) For birth through age-five programs, these activities include--

(a) Coordinating with other early education and care programs and child care family service providers supported through Federal, State, and local resources to build a strong continuum of learning for children from birth through age five and their families that expands families' choices, facilitates or improves their access to programs and supports in their own communities, and engages all families with Eligible Children, including isolated or hard-to-reach families that might not otherwise participate; and

(b) Ensuring that the provision of High-Quality Preschool Programs will not lead to a diminution of other services or increased cost to families for programs serving children from birth through age five; and

(2) For kindergarten through third grade, these activities may include—

(a) Ensuring that Eligible Children are well-prepared for kindergarten;

(b) Sustaining the educational and developmental gains of Eligible Children by—

(i) Promoting collaboration between preschool and kindergarten teachers;

(ii) Expanding access to Full-Day kindergarten; and(iii) Increasing the percentage of children who are able to read and do math at grade level by the end of third grade; and(c) Sustaining a high level of parent and family engagement as children move from High-Quality Preschool Programs into the early elementary school years;

(a) Taking steps, or building upon the steps it has taken, to align, at a minimum--

(i) Child learning standards and expectations;

(ii) Teacher preparation, credentials, and workforce competencies;

(iii) Comprehensive Early Learning Assessment Systems;

(iv) Data systems; and

(v) Family engagement strategies.

Evidence for selection criterion (F):

- Any supporting evidence the State believes will be helpful to peer reviewers.

G. Budget and Sustainability (10 points).

The extent to which the budget narrative and budget tables demonstrate that the State will--

(1) Use the funds from this grant and any matching contributions to serve the number of children described in its ambitious and achievable plan for each year, including using the funds for the projected per child costs for new and improved State Preschool Program slots that are reasonable and sufficient, and that the projected per child costs for new and improved State Preschool Program slots are reasonable and sufficient to ensure High-Quality Preschool Programs;

(2) Coordinate the use of existing funds from Federal sources that support early learning and development, such as title I of the ESEA, part C and section 619 of part B of IDEA, subtitle VII-B of the McKinney-Vento Act, the Head Start Act, and the Child Care and Development Block Grant Act of 1990, and State, private, local, foundation, or other private funding sources for activities and services that help expand High-Quality Preschool Programs; and

(3) Sustain the High-Quality Preschool Programs supported by this grant after the grant period ends to ensure that the number and percentage of Eligible Children with access to High-Quality Preschool Programs in the State will be maintained or expanded, including to additional High-Need Communities.

Evidence for selection criterion (G):

- Budget narrative and budget tables included in the Excel Spreadsheets
- Any other supporting evidence the State believes will be helpful to peer reviewers.

## **PART II: APPLICATION PREPARATION AND SUBMISSION INSTRUCTIONS**

### **Application Transmittal Instructions**

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

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

**Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30:00 p.m., Washington, DC time, on Tuesday, October 14, 2014.**

Except as otherwise noted in Federal Register notice for this competition, we will not consider your application if it is date and time stamped by the Grants.gov system later than 4:30:00 p.m., Washington, DC time, on the application deadline date.

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

**Please note the following:** You must attach any narrative sections of your application as files in a .pdf (Portable Document) format. **If you upload a file type other than a .pdf file, or submit a password-protected file, we will not review that material. The only exception to this requirement is that the State must complete the Excel spreadsheets that are provided on the Preschool Development Grants Website at [www.ed.gov/programs/preschooldevelopmentgrants](http://www.ed.gov/programs/preschooldevelopmentgrants). These spreadsheets will be uploaded to the Other Attachments Form explained in Part 5 of this application.**

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

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

Submission of Paper Applications by Mail:

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

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.419B)  
LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

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

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

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

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

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

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

Submission of Paper Applications by Hand Delivery:

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

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.419B)  
550 12th Street, SW.  
Washington, DC 20202-4260

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

Note for Mail or Hand Delivery of Paper Applications:

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

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