

Submitting Applications with Adobe Reader Software

The Department of Education, working with Grants.gov, is currently moving from using PureEdge software to using Adobe Reader software exclusively and applications submitted to Grants.gov for the Department will be posted using Adobe forms. Applicants will no longer need to use the PureEdge software to create or submit an application.

Please note: The compatible version of Adobe Reader is **required** for viewing, editing and submitting a complete grant application package for the Department through Grants.gov. Applicants should confirm the compatibility of their Adobe Reader version **before** downloading the application. To ensure applicants have a version of Adobe Reader on their computer that is compatible with Grants.gov, applicants are encouraged to use the test package provided by Grants.gov that can be accessed at <http://www.grants.gov/web/grants/support/technical-support/troubleshooting/verifying-adobe-reader.html#> .

Important issues to consider:

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

For your convenience, the latest version of Adobe Reader is available for free download at <http://www.grants.gov/web/grants/support/technical-support/software/adobe-reader-compatibility.html>.

We strongly recommend that you review the information on computer and operating system compatibility with Adobe available at <http://www.grants.gov/web/grants/support/technical-support/software/adobe-reader-compatibility.html> **before** downloading, completing or submitting your application.

Applicants are reminded that they should submit their application a day or two in advance of the closing date as detailed in the Federal Register Notice. If you have any questions regarding this

matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726

Grants.gov Submission Procedures and Tips for Applicants

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

ATTENTION – Adobe Forms and PDF Files Required

Applications submitted to Grants.gov for the Department will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 10.1.14). Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov at this link: [compatibility table](#). We strongly recommend that you review these details on www.Grants.gov before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Also, applicants are required to upload their attachments in .pdf format only. **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. These spreadsheets will be uploaded to the Other Attachments Form explained in Part 5 of this application.** (See details below under “Attaching Files – Additional Tips.”) If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

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

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

- 2) **SUBMIT EARLY** – **We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded.** The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to

resubmit successfully to Grants.gov before 4:30:00 p.m. Washington, DC time on the deadline date.

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

*Please note that the Central Contractor Registry (CCR) was replaced by the System for Award Management (SAM) effective July 30, 2012.

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov received your application submission on time and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m. Washington, DC time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned. Once the Department receives your application from Grants.gov, an Agency Tracking Number (PR/award number) will be assigned to your application and will be available for viewing on Grants.gov’s Track My Application link.

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

<http://www.grants.gov/web/grants/applicants/applicant-faqs/tracking-an-application.html>.

For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Error Messages document at <http://www.grants.gov/web/grants/support/technical-support/troubleshooting/encountering-error-messages.html>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

Submission Problems – What should you do?

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or <http://www.grants.gov/web/grants/about/contact-us.html>, or access the Grants.gov Self-Service web portal at: <https://grants-portal.psc.gov/Welcome.aspx?pt=Grants>

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

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

Helpful Hints When Working with Grants.gov

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

Please go to <http://www.grants.gov/web/grants/about/contact-us.html> for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov <http://www.grants.gov/web/grants/applicants/applicant-resources.html>.

Dial-Up Internet Connections

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

MAC Users

For MAC compatibility information, review the Operating System Platform Compatibility Table at the following Grants.gov link:

<http://www.grants.gov/web/grants/support/technical-support/recommended-software.html>. **If electronic submission is required and you are concerned about your ability to submit electronically as a non-windows user, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

Attaching Files – Additional Tips

Please note the following tips related to attaching files to your application, especially the requirement that applicants **only include read-only, non-modifiable .PDF files** in their application:

- 1) Ensure that you attach ***.PDF files only*** for any attachments to your application, and they must be in a **read-only, non-modifiable format**. PDF files are the only Department approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are not .PDF files or are password protected files will not be read. If you need assistance converting your files to a .pdf format, please refer to the following Grants.gov webpage with links to conversion programs under the heading of additional resources:
<http://www.grants.gov/web/grants/support/technical-support/software/pdf-conversion-software.html>.

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. These spreadsheets will be uploaded to the Other Attachments Form explained in Part 5 of this application.

- 2) Ensure that you attach ***.PDF files only*** for any attachments to your application, and they must be in a **read-only, non-modifiable format**. PDF files are the only Department approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are not .PDF files or are password protected files will not be read. If you need assistance converting your files to a .pdf format, please refer to the following Grants.gov webpage with links to conversion programs under the heading of additional resources:
<http://www.grants.gov/web/grants/support/technical-support/software/pdf-conversion-software.html>
- 3) Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
- 4) When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded files must be less than 50 characters in the file name, contain no spaces, no special characters (example: -, &, *, %, /, #, \) including periods (.), blank spaces and accent marks. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.
- 5) Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant

application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

Electronic Application Format

Before you begin work on your Preschool Development Grants--Development Grants application, it may be helpful to understand the parts of the application. Each of these is described below.

- Requirements:
 - *Eligibility requirements* specify what applicants must have in place in order to compete for a grant. Staff from the Education Department (ED) and the Department of Health and Human Services (HHS) will make the eligibility determination.
 - *Application requirements* list the elements that must be included in a complete application.
 - *Program requirements* specify what applicants must do if they win a grant (*e.g.*, reporting, participating in technical assistance activities, publishing findings).
- *Definitions* set forth the meaning of critical terms in the notice; defined terms are indicated by initial capitalization.
- Priorities:
 - An *absolute priority* is a priority that all applicants must address fully in order to win; these will be assessed by peer reviewers as either “yes” or “no.” If an applicant does not meet the competition’s absolute priority, it will not be awarded a grant.
 - A *competitive preference priority* is one that earns the applicant extra, or “competitive preference,” points.
- *Selection criteria* are the focal point of the application and the peer review. Applicants write narrative responses to these criteria, and reviewers judge their responses. Selection criteria in this competition may be supplemented by evidence, including data tables and additional information the State believes will be helpful to peer reviewers. Additionally, evidence includes completed tables, such as Table A, in which applicants set targets for the outcomes they expect to deliver under the grant.
- Finally, *scoring rubrics* list the maximum number of points that can be earned for each selection criterion and competitive priority; in addition, they include other instructions that reviewers will follow when judging applications. All rubrics that will be provided to reviewers are included in this application, for the applicant’s information.

Page Length Recommendations

We recommend that you limit your total page count (that is, the narrative responses to all selection criteria) to no more than 75 pages of State-authored text, and that you limit your appendices to no more than an additional 125 pages. For all responses, we request that the following standards be used:

- A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Number each page.

- Set the line spacing for the narratives to 1.5 spacing, and use a 12 point Times New Roman font.

We strongly request that you follow the recommended page limits, although the Secretaries will consider applications of greater length.

Writing Application Responses

Selection Criteria

Each selection criterion may have multiple parts: the narrative, evidence (often including data tables), and performance measures. Not all selection criteria contain all of these pieces.

- **Narrative:** All selection criteria include a narrative section. This is where you write your response to the criterion. Please type your narrative in the text box provided in this application.
- **Evidence:** Some selection criteria ask you to provide specific evidence; this is indicated in the application. You may provide additional evidence for any criterion if you think it will help reviewers evaluate your application. Keep in mind that too much additional information could have the effect of distracting the reviewers from what is critical.

Note: You must provide the evidence as part of your narrative response to the selection criterion, or include it as an attachment in the Appendix. If you put it in an Appendix, you must provide a clear reference to the Appendix within your narrative.

Tables: Many selection criteria ask you to provide specific evidence, including baseline data and annual targets for key outcomes the State will deliver over the term of the grant, in data tables; these tables are included in the application immediately following the narrative. The tables provide you with a framework for presenting information and provide reviewers with a consistent way to look at this information. You must complete the tables as part of your response. Feel free to provide additional data, in the form of graphs, tables, or diagrams, if it will help reviewers understand critical facts about your State. You may use the narrative to explain and describe the significance of the data as it relates to your State Plan.

Note: Some of the tables, ask you to set targets around key outcomes you expect to achieve during the grant. These tables generally include baseline data and annual targets, and they are included in the application immediately following the narrative. In addition, you may provide additional performance measures, baseline data, and targets for any criteria you choose. Peer reviewers will consider, as part of their evaluation of a State's application, the extent to which the State has set "ambitious and achievable" annual targets; the State will be held accountable for achieving these targets, should it win a grant. If your State does not have data that are requested in the data tables or in the baseline performance measures, indicate "not available" in the table. Use your narrative to provide any additional explanation that may be necessary to make your point.

- **Ambitious and achievable plan:** Many selection criteria ask you to describe an “ambitious and achievable plan.” This is an anchor term for applicants to understand and reviewers to use in guiding their scoring. In determining the quality of a State’s plan for a given selection criterion or competitive preference priority, reviewers will assess the extent to which the plan is ambitious and achievable, including whether it is feasible and has a high probability of successful implementation and contains the following components--
 - (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 ESEA; who are migrant; who are “homeless,” as defined in subtitle VII-B of the McKinney-Vento Act; who are involved in the child welfare system; who reside in rural areas; who are from military families; and any other children identified by the State.

Appendix

Your application will include an Appendix. The Appendix must begin with a complete Table of Contents that provides reviewers with easy access to any attachment they are looking for. Each attachment in the Appendix must be described in the narrative associated with the relevant selection criterion, together with a rationale for how its inclusion supports the State Plan. Please also include in the narrative a cross-reference to the attachment’s location in the Appendix.

Note: We recommend that you limit your Appendices to no more than 125.

The deadline for submission of your Preschool Development Grants--Development Grants application through Grants.gov is Tuesday, October 14, 2014 at 4:30:00 PM Washington, DC time.

Review and Selection Process

The Departments will screen applications that are received by the deadline for transmittal of applications and will determine which States are eligible based on whether they have met the eligibility requirements; the Departments will not consider further those applicants deemed ineligible.

The Departments intend to use a peer review process with panels of three reviewers per application. Review panels will be created based on the number of applications received. All applicants will receive their reviewers' comments and scores.

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

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

We intend to post all submitted applications (both successful and unsuccessful) on ED's Web site, together with the final scores each application received. We will post each reviewer's final scores and comments on reviewed applications, with the names of reviewers redacted.

Contents of an Application

Electronic Application Submission Checklist

It is recommended that your electronic application be organized in the following manner and include the following parts in order to expedite the review process. Instructions for all parts and forms of the application are found either on the following pages of the application package or individually for each form on Grants.gov.

Review your electronic application to ensure you have completed the following forms and sections:

Part 1: Preliminary Documents

- Application for Federal Assistance (form SF 424)
- ED Supplemental Information for SF 424

Part 2: ED Abstract Form

- Project Abstract

Part 3: Project Narrative Attachment Form

- Application Narrative, Including:
 - Response to Selection Criteria and Sub-criteria
 - Response to Competitive Preference Priorities

Part 4: Budget Information and Narrative

- ED Budget Information Non-Construction Programs (ED Form 524)
- Budget Narrative Attachment Form (ED Form 524, Section C)

Part 5: Other Attachments Form

- Application Assurances and Certifications
- Accountability, Transparency, and Reporting Assurances
- Excel Spreadsheets: (these Excel Spreadsheets MUST be downloaded from the Preschool Development Grants Website at www.programs/preschooldevelopmentgrants and then uploaded to this Section in Grants.gov)
 1. Table A
 2. Table B
 3. Competitive Priority 1 Table
 4. Table (D)(4)
 5. Budget Table
- Indirect Cost Rate Agreement (if charging indirect costs): Applicants proposing to charge any indirect costs to the grant must include this, or identify the temporary or provisional rate.
- Letters of Support (if applicable)
- Preliminary Memorandum of Understanding, Preliminary Binding Agreement, or Letters of Support from any identified Subgrantee (if applicable)
- Appendix with Table of Contents

Part 6: Standard Assurances and Certifications

- Assurances for Non-Construction Programs (SF 424B Form)
- Disclosure of Lobbying Activities (Standard Form LLL)
- Grants.gov Lobbying Form
- General Education Provisions Act (GEPA) Requirements – Section 427 (ED GEPA427 form)

Part 1: Preliminary Documents

- Application for Federal Assistance (Form SF 424)
- ED Supplemental Information for SF 424

These forms require basic identifying information about the applicant and the application. Please provide all requested applicant information (including name, address, e-mail address and DUNS number).

When applying electronically via Grants.gov, you will need to ensure that the DUNS number you enter on your application is the same as the DUNS number your organization used when it registered with the System for Award Management.

Applicants are advised to complete the Application for Federal Assistance (Form SF 424) first. Grants.gov will automatically insert the correct CFDA and program name automatically wherever needed on other forms.

Note: Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although this form accepts attachments, the Department will only review materials/files attached in accordance with the instructions provided within this application.

INSTRUCTIONS FOR THE SF-424

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

Item	Entry:	Item:	Entry:
1.	Type of Submission: (Required) Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> • Pre-application • Application • Changed/Corrected Application – Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date. 	10.	Name Of Federal Agency: (Required) Enter the name of the federal agency from which assistance is being requested with this application.
		11.	Catalog Of Federal Domestic Assistance Number/Title: 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.	Type of Application: (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • 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. <p>A. Increase Award D. Decrease Duration B. Decrease Award E. Other (specify) C. Increase Duration</p>	12.	Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	Competition Identification Number/Title: Enter the competition identification number and title of the competition under which assistance is requested, if applicable.
		14.	Areas Affected By Project: This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.
3.	Date Received: Leave this field blank. This date will be assigned by the Federal agency.	15.	Descriptive Title of Applicant’s Project: (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.
4.	Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or the applicant’s control number if applicable.		
5a.	Federal Entity Identifier: Enter the number assigned to your organization by the federal agency, if any.	16.	Congressional Districts Of: 16a. (Required) Enter the applicant’s congressional district. 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina’s 103 district. If all congressional districts in a state are affected, enter “all” for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.
5b.	Federal Award Identifier: For new applications, enter NA. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.		
6.	Date Received by State: Leave this field blank. This date will be assigned by the state, if applicable.		
7.	State Application Identifier: Leave this field blank. This identifier will be assigned by the state, if applicable.		
8.	Applicant Information: Enter the following in accordance with agency instructions:		
	a. Legal Name: (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting www.Grants.gov .	17.	Proposed Project Start and End Dates: (Required) Enter the proposed start date and end date of the project.
	b. Employer/Taxpayer Number (EIN/TIN): (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.	Estimated Funding: (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.

Item	Entry:	Item:	Entry:																								
	c. Organizational DUNS: (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 www.Grants.gov .	19.	Is Application Subject to Review by State Under Executive Order 12372 Process? (Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.																								
	d. Address: Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).	20.	Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.																								
	e. Organizational Unit: Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.	21.	Authorized Representative: To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)																								
	f. Name and contact information of person to be contacted on matters involving this application: Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.																										
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.																										
	<table border="0"> <tr> <td>A. State Government</td> <td>M. Nonprofit</td> </tr> <tr> <td>B. County Government</td> <td>N. Private Institution of Higher Education</td> </tr> <tr> <td>C. City or Township Government</td> <td>O. Individual</td> </tr> <tr> <td>D. Special District Government</td> <td>P. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td>E. Regional Organization</td> <td>Q. Small Business</td> </tr> <tr> <td>F. U.S. Territory or Possession</td> <td>R. Hispanic-serving Institution</td> </tr> <tr> <td>G. Independent School District</td> <td>S. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td>H. Public/State Controlled Institution of Higher Education</td> <td>T. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td>I. Indian/Native American Tribal Government (Federally Recognized)</td> <td>U. Alaska Native and Native Hawaiian Serving Institutions</td> </tr> <tr> <td>J. Indian/Native American Tribal Government (Other than Federally Recognized)</td> <td>V. Non-US Entity</td> </tr> <tr> <td>K. Indian/Native American Tribally Designated Organization</td> <td>W. Other (specify)</td> </tr> <tr> <td>L. Public/Indian Housing Authority</td> <td></td> </tr> </table>	A. State Government	M. Nonprofit	B. County Government	N. Private Institution of Higher Education	C. City or Township Government	O. Individual	D. Special District Government	P. For-Profit Organization (Other than Small Business)	E. Regional Organization	Q. Small Business	F. U.S. Territory or Possession	R. Hispanic-serving Institution	G. Independent School District	S. Historically Black Colleges and Universities (HBCUs)	H. Public/State Controlled Institution of Higher Education	T. Tribally Controlled Colleges and Universities (TCCUs)	I. Indian/Native American Tribal Government (Federally Recognized)	U. Alaska Native and Native Hawaiian Serving Institutions	J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Non-US Entity	K. Indian/Native American Tribally Designated Organization	W. Other (specify)	L. Public/Indian Housing Authority			
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[U.S Department of Education note: As of spring, 2010, the FON discussed in Block 12 of the instructions can be found via the following URL: http://www.grants.gov/applicants/find_grant_opportunities.jsp.]

**Instructions for U.S. Department of Education
Supplemental Information for the 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. Items marked with an asterisk (*) are mandatory.

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

This novice applicant information will be used by ED to: 1) determine the amount and type of technical assistance that a novice might need, if funded, and 2) determine novice applicant eligibility in discretionary grant competitions that give special consideration to novice applications. Certain ED discretionary grant programs give special consideration to novice applications, either by establishing a special competition for novice applicants or by giving competitive preference to novice applicants under the procedures in 34 CFR 75.105(c)(2). If special consideration is being given to novice applications under a particular discretionary grant competition, the application notice for the competition published in the Federal Register will specify this information

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

3a. 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.

3a. 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 U.S. Department of Education Supplemental Information for SF-424.”)

3b. 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. Check 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 U.S. Department of Education Supplemental Information for the SF-424.”

3b. 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 attached page entitled “Definitions for U.S. Department of Education Supplemental Information for the SF-424.”

3b. Human Subjects Assurance Number. If the applicant has an approved Federal Wide Assurance (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. (A list of current FWAs is available at: <http://ohrp.cit.nih.gov/search/asearch.asp#ASUR>) 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.

3c. If applicable, please attach your “Exempt Research” or “Nonexempt Research” narrative to your submission of the U.S Department of Education Supplemental Information for the SF-424 form as instructed in item II, “Instructions for Exempt and Nonexempt Human Subjects Research Narratives” in the attached page entitled “Definitions for U.S. Department of Education Supplemental Information for the SF-424.”

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.

No covered human subjects research can be conducted until the study has ED clearance for protection of human subjects in research.

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 1894-0007. 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. 20202-0170. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Office of Early Learning, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

Definitions for U.S. Department of Education Supplemental Information for the SF-424

Definitions:

Novice Applicant (See 34 CFR 75.225)

For discretionary grant programs, 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. 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 **directly or indirectly** linked to that individual, 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. ***If an educational practice is being introduced to the site and is not widely used for similar populations, it is not covered by this exemption.***

(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. ***[This exemption applies only to retrospective studies using data collected before the initiation of the research.]***

(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. ***[The standards of this exemption are rarely met because it was designed to apply only to specific research conducted by HHS at the time the regulations were established. We will strictly construe this exemption because it was not intended to apply to ED research.]***

(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.b. of the U.S. Department of Education Supplemental Information for the SF 424, the applicant must attach a human subjects “exempt research” or “nonexempt research” narrative to the U.S. Department of Education Supplemental Information for the SF-424 form. 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.b. and designated exemption numbers(s), attach the “exempt research” narrative to the U.S. Department of Education Supplemental Information for the SF-424. 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.b. you must attach the “nonexempt research” narrative to the U.S. Department of Education Supplemental Information for the SF-424. 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 Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4331, telephone: (202) 245-8090, 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 SF-424 in the upper right corner of the form (if applicable)

Part 2: ED Abstract Form

This section should be attached as a single document to the ED Abstract Form in accordance with the instructions found on [Grants.gov](https://www.grants.gov) and should be organized in the following manner and include the following parts in order to expedite the review process.

Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (read-only, non-modifiable .pdf files). Also, do not upload any password-protected files to your application.

Please note that [Grants.gov](https://www.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.

☐ Project Abstract

The project abstract should not exceed **two** pages following the guidelines for pages of the Project Narrative (i.e., 1.5 spacing, Times New Roman font no smaller than 11.0 point). The project abstract should include a concise description of the project and should include the following information:

- Heading with the name of the proposed project and the applicant's name
- Overview of the proposed project
- Project objectives and activities
- Proposed project outcomes
- Names of other organizations (including Subgrantees) the applicant proposes to work in collaboration with under the grant

Note: [Grants.gov](https://www.grants.gov) may indicate that the project abstract may not exceed one page; however, an abstract of more than one page may be uploaded.

Part 3: Project Narrative Attachment Form

*This section should be attached as a **single** document to the Project Narrative Attachment Form in accordance with the instructions found on [Grants.gov](https://www.grants.gov) and should be organized in the following manner and include the following parts in order to expedite the review process.*

Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (read-only, non-modifiable .pdf files). Also, do not upload any password-protected files to your application.

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.

Table of Contents

The Table of Contents shows where and how the important sections of your proposal are organized and should not exceed **one** 1.5 spaced page.

Application Narrative

The application narrative responds to the selection criteria found in this application package and should follow the order of the selection criteria. Please respond to each selection criterion in order as they appear and separate your response to each selection criterion with a clear heading.

Absolute Priority

Applicants should address the absolute priority across the entire application and should not address it separately. It will be assessed by reviewers after they have fully reviewed and evaluated the entire application, to ensure that the application has met the priority. If an application has not met the priority, it will be eliminated from the competition. A State meets the absolute priority if a majority of reviewers determines that the State has met the absolute priority.

Competitive Preference Priorities

Applicants may choose whether to address the competitive preference priorities. Additional points will be awarded to an application to the extent that reviewers determine it has met a competitive preference priority. Applicants earn points under the competitive preference priorities in a manner similar to how they earn points under the selection criteria.

If you choose to respond to a particular competitive preference priority, provide a clear heading and your narrative response after your responses to the selection criteria. Additionally, if you choose to respond to Competitive Preference Priority 1, Contributing Matching Funds, complete Competitive Preference Priority 1 Table (provided in the Excel spreadsheets) and attach it as an “other attachment” to your application.

Applicants must adhere to the following guidelines:

- A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- 1.5 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 be not accepted.

Note: The page limit does not apply to the cover sheet; the budget section, including the narrative budget justification; the assurances and certifications; or the letters of support. However, the page limit does apply to all of the application narrative section.

Part 4: Budget Information and Budget Narrative

NOTE: Specific budget information (Excel Spreadsheets) is required to be submitted as part of this application; however, that information is located in Part 5 – Other Attachments Form on the Grants.gov application. Please note that in order to submit your application on the Grants.gov system, you must complete Budget Table Part I, even though it will not be reviewed. Enter 0 or N/A into all fields on Budget Table Part I.

Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (read-only, non-modifiable .pdf files). Also, do not upload any password-protected files to your application.

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.

This section requires an **itemized budget breakdown** for each project year and the **basis for estimating the costs** of personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs and any other projected expenditures. Be sure to complete an itemized budget breakdown and narrative for each year of the proposed project..

The Budget Narrative provides an opportunity for the applicant to identify the nature and amount of the proposed expenditures. The applicant should provide sufficient detail to enable reviewers and project staff to understand how requested funds will be used, how much will be expended, and the relationship between the requested funds and project activities and outcomes.

Important Notes

- Applicants are encouraged to review OMB Circular A-21, *Cost Principles for Educational Institutions* (codified at 2 CFR 220); OMB Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments* (codified at 2 CFR 225); or OMB Circular A-122, *Cost Principles for Nonprofit Organizations* (codified at 2 CFR 230) in preparing their budget and budget narrative.
- OMB Circular A-21 may be found at the following link:
http://www.whitehouse.gov/omb/circulars/a021/a21_2004.html
- OMB Circular A-87 may be found at the following link:
http://www.whitehouse.gov/omb/circulars/a087/a87_2004.html
- OMB Circular A-122 may be found at the following link:
http://www.whitehouse.gov/omb/circulars/a122/a122_2004.html

Suggested Guidelines for the Budget Narrative

In accordance with 34 CFR 75.232, Department of Education staff perform a cost analysis of the each recommended project to ensure that costs relate to the activities and objectives of the project, are reasonable, allowable and allocable. We may delete or reduce costs from the budget during this review.

To facilitate the review of your Budget Narrative, we encourage each applicant to include the following information for each year of the project:

1. Personnel

- Provide the title and duties of each position to be compensated under this project.
- Provide the salary for each position under this project.
- Provide the amounts of time, such as hours or percentage of time to be expended by each position under this project.
- Explain the importance of each position to the success of the project.
- Provide the basis for cost estimates or computations.

2. Fringe Benefits

- Give the fringe benefit percentages of all personnel included under Personnel.
- Provide the rate and base on which fringe benefits are calculated.

3. Travel

- Explain the purpose of the travel, how it relates to project success, how it aligns with the project goals and objectives and which program participants or staff will participate.
- Submit an estimate for the number of trips, points of origin and destination, and purpose of travel.
- Submit an itemized estimate of transportation and/or subsistence costs for each trip.
- Provide the basis for cost estimates or computations.

4. Equipment

- Indicate the estimated unit cost for each item to be purchased.
- Identify each type of equipment.
- Provide adequate justification of the need for items of equipment to be purchased.
- Explain the purpose of the equipment, and how it relates to project success.
- Provide the basis for cost estimates or computations.

5. Supplies

- Provide an itemized estimate of materials and supplies by nature of expense or general category (e.g., instructional materials, office supplies, etc.).
- Explain the purpose of the supplies and how they relate to project success.
- Provide the basis for cost estimates or computations.

6. Contractual

- Provide the purpose and relation to project success.
- Describe the products to be acquired, and/or the professional services to be provided.

- Provide a brief justification for the use of the contractors selected.
- Identify the name(s) of the contracting party, including consultants, if available.
- Provide the cost per contractor.
- Provide the amount of time that the project will be working with the contractor(s).
- For professional services contracts, provide the amounts of time to be devoted to the project, including the costs to be charged to this proposed grant award.
- Provide a brief statement that you have followed the procedures for procurement under 34 CFR Parts 74.40 - 74.48 and Part 80.36.
- Provide the basis for cost estimates or computations.

7. Construction

- Not applicable.

8. Other

- List and identify items by major type or category (e.g., communications, printing, postage, equipment rental, etc.).
- Provide the cost per item (printing = \$500, postage = \$750).
- Provide the purpose for the expenditures and relation to project success.
- Provide the basis for cost estimates or computations.

9. Total Direct Costs

- The amount that is the sum of expenditures, per budget category, of lines 1-8.

10. Indirect Costs

- Identify indirect cost rate (if the applicant will charge indirect costs to the grant)
- Note: remember to provide a copy of the most recent approved indirect cost agreement in the Other Attachments form section of the application.

11. Training Stipends

12. Total Costs

- Sum total of direct costs, indirect costs, and stipends.
- Please provide total costs for each year of the project as well as grand total cost for the entire project (up to 48 months).

BUDGET INSTRUCTIONS

(Evidence for selection criterion (G))

In the following budget section, the State is responding to selection criterion (H). The State should use its budgets and budget narratives to provide a detailed description of how it plans to use Federal Preschool Development grant funds and funds from other sources (Federal, State, private, and local) to support projects under the State's plan. States' budget tables and narratives, when taken together, should also address the specific elements of selection criterion, including by describing how the State will effectively and efficiently use funding from this grant to achieve the outcomes in the State's plan and do so in a manner that

- (1) Is adequate to support the activities described in the State's plan;
- (2) Includes costs that are reasonable and necessary in relation to the objectives, design, and significance of the activities described in the State's plan and the number and percent of children to be served; and
- (3) Details the amount of funds budgeted for Subgrantees or other partners, and the specific activities to be implemented with these funds consistent with the State's plan, and demonstrates that a significant amount of funding will be devoted to the local implementation of the State's plan.

The budget narratives should be of sufficient scope and detail for the Departments to determine if the costs are necessary, reasonable, and allowable. For further guidance on Federal cost principles, an applicant may wish to consult OMB Circular A-87. (See www.whitehouse.gov/omb/circulars).

We expect the State to provide a sample budget by category for each Subgrantee that rolls up into the total statewide budget. We further expect these budgets to reflect the work associated with fully implementing the State's plan described under the selection criteria and Competitive Preference Priorities and describe each Subgrantees budgetary role in carrying out the State's plan.

For purposes of the budget, we expect that the State will link its proposed plan to "projects" that the State believes are necessary in order to implement its plans. The State might choose to design some projects that address only one criterion's plan, while other projects might address several similarly-focused criteria as one group. For example, the State might choose to have one "management project" focused on one or more criteria.

Some projects may be done entirely by the Lead Agency, or by one Subgrantee, while others may be done by multiple Subgrantees in collaboration with one another.

The following information must be included in the State's budget:

- I. Budget Summaries: In this section, the State provides overall budget summary information by budget category, Subgrantee, and project.

- a. Budget Summary by Budget Category. This is the cover sheet for the budget. (See Budget Table I.) States should complete this table as the final step in their budgeting process, and include this table as the first page of the State's budget.
- II. Budget Narrative: In this section, describe the overall structure of the State's budget for implementing the State's plan, including
- a. For each project:
 - The designation of the selection criterion or competitive preference priority the project addresses;
 - An explanation of how the project will be organized and managed in order to ensure the implementation of the State's plans described in the selection criteria or competitive preference priorities; and
 - b. Any information pertinent to understanding the proposed budget for each project.

BUDGET PART I –TABLE

Budget Table Part I: Budget Summary by Budget Category--*The State must include the budget totals for each budget category for each year of the grant.*

NOTE: Specific budget information (Excel Spreadsheets) is required to be submitted as part of this application; however, that information is located in Part 5 – Other Attachments Form on the Grants.gov application. Please note that in order to submit your application on the Grants.gov system, you must complete Budget Table Part I, even though it will not be reviewed. Enter 0 or N/A into all fields on Budget Table Part I.

BUDGET PART II –NARRATIVE

Suggested Guidelines for the Budget Narrative

In accordance with 34 CFR 75.232, Department of Education staff perform a cost analysis of the each recommended project to ensure that costs relate to the activities and objectives of the project, are reasonable, allowable and allocable. We may delete or reduce costs from the budget during this review.

To facilitate the review of your Budget Narrative, we encourage each applicant to include the following information for each year of the project:

1) Personnel

Provide:

- The title and role of each position to be compensated under this grant.
- The salary for each position.
- The amount of time, such as hours or percentage of time, to be expended by each position.
- Any additional basis for cost estimates or computations.

Explain:

- The importance of each position to the success of specific. If curriculum vitae, an organizational chart, or other supporting information will be helpful to reviewers, attach in the Appendix and describe its location.

2) Fringe Benefits

Provide:

- The fringe benefit percentages for all personnel.
- The basis for cost estimates or computations.

3) Travel

Provide:

- An estimate of the number of trips.
- An estimate of transportation and/or subsistence costs for each trip.
- Any additional basis for cost estimates or computations.

Explain:

- The purpose of the travel, how it relates to project goals, and how it will contribute to project success.

4) Equipment

Provide:

- The type of equipment to be purchased.
- The estimated unit cost for each item to be purchased.
- The definition of equipment used by the State.
- Any additional basis for cost estimates or computations.

Explain:

- The justification of the need for the items of equipment to be purchased.

5) Supplies

Provide:

- An estimate of materials and supplies needed, by nature of expense or general category (*e.g.*, instructional materials, office supplies).
- The basis for cost estimates or computations.

6) Contractual

Provide:

- The products to be acquired and/or the professional services to be provided.
- The estimated cost per expected procurement.
- For professional services contracts, the amounts of time to be devoted to the project, including the costs to be charged to this proposed grant award.
- A brief statement that the State has followed the procedures for procurement under 34 CFR Parts 74.40 - 74.48 and Part 80.36.
- Any additional basis for cost estimates or computations.

Explain:

- The purpose and relation to the State Plan or specific project.

Note: Because grantees must use appropriate procurement procedures to select contractors, applicants should not include information in their grant applications about specific contractors that may be used to provide services or goods for the proposed project if a grant is awarded.

7) Training Stipends

Provide:

- Descriptions of training stipends to be provided, consistent with the “note” above.
- The cost estimates and basis for these estimates.

Explain:

- The purpose of the training.

Note:

- The training stipend line item only pertains to costs associated with long-term training programs and college or university coursework that results in a credential or degree, not workshops or short-term training supported by this program.
- Salary stipends paid to teachers and other early learning personnel for participating in short-term professional development should be reported in Personnel (line 1).

8) Other

Provide:

- Other items by major type or category.
- The cost per item (printing = \$500, postage = \$750).
- Any additional basis for cost estimates or computations.

Explain:

- The purpose of the expenditures.

9) Total Direct Costs

Provide:

- The sum of expenditures, across all budget categories in lines 1-8, for each year of the budget.

10) Indirect Costs

Provide:

- Identify and apply the indirect cost rate. (See the section that follows, Budget: Indirect Cost Information.)

11) Funds to be distributed to Subgrantees through MOUs, interagency agreements, contracts, or other mechanisms authorized by State procurement laws.

Provide:

- The specific activities to be done by Subgrantees, if appropriate.
- The estimated cost of each activity if appropriate.
- The approximate number of Subgrantees or other partners involved in each activity if appropriate.
- The total cost of each activity if appropriate.
- Any additional basis for cost estimates or computations.

12) Funds set aside for participation in grantee technical assistance

Provide:

- The amount per year set aside for technical assistance.

Note: The State must participate in grantee technical assistance activities facilitated by ED or HHS, individually or in collaboration with other State grantees, to share effective program practices and solutions and collaboratively solve problems, and must set aside a minimum of \$25,000 annually from its grant funds for this purpose.

13) Total Funds Requested

Provide:

- The sum of expenditures in lines 9-12, for each year of the budget.

14) Other Funds Allocated to the State's plan

Provide:

- A description of the sources of other funds, such as Federal, State, local and private funds the State is using to support the projects in the State's plan.
- Any financial contributions being made by private entities such as foundations.

Explain:

- Each funding source, the activities being funded and their relation to the State's plan or specific project, and any requirements placed on the use of funds or timing of the activity.

15) Total Budget

Provide:

- The sum of expenditures in lines 13 and 14, for each year of the budget

Continuation Awards

Grants awarded under this competition may be for 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 in accordance with section 75.253 of EDGAR (34 CFR 75.253). Consistent with this provision, the Departments will determine the extent to which a grantee has made "substantial progress toward meeting the objectives in its approved application," which will include a review of a grantee's progress in meeting the targets and projected outcomes in its approved application, and whether the grantee has expended funds in a manner that is consistent with its approved application and budget. To ensure that continuation funds will be used only for high-quality and effective projects, in determining whether or not to

award continuation grants, the Departments will also consider the extent to which the grantee is achieving the intended outcomes of the grant and progress in areas demonstrates the following:

(a) The development, enhancement, or expansion of High-Quality Preschool Programs in each designated High-Need Community to be served by each Subgrantee, including in the improvement of the State Preschool Program's infrastructure, and in the development of community partnerships, needed to ensure the delivery of High-Quality Preschool Programs to participating Eligible Children and their families and the culturally and linguistically appropriate outreach activities and procedures needed to encourage and maintain enrollment of children in isolated or otherwise hard-to-reach families in the designated communities;

(b) Holding each Subgrantee accountable for fully adhering to all the program quality components that are part of the definition of a High-Quality Preschool Program;

(c) Coordination of Federal and State funds and programs to support a coherent approach to effective High-Quality Preschool Programs and supporting and engaging parents;

(d) Providing high-quality technical assistance to each Subgrantee and implementing a rigorous monitoring process to ensure the delivery of High-Quality Preschool Programs;

(e) Collecting, analyzing, and using high-quality and timely data, especially on Subgrantee program quality, including data regarding program outcomes, family engagement, school readiness of Eligible Children in High-Quality Preschool Programs, and student progress through third grade;

(f) Improvement on the program performance measures, to the extent such data are available;

(g) Holding each Subgrantee accountable for engaging and supporting parents, helping them build protective factors, facilitating families' links to services in their community, enhancing their capacity to support their children's education and development, and involving parents in decisions about their children's education; and

(h) If applicable, obtaining and expending matching contributions as described in its application.

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

Part 5: Other Attachments Form

Attach one or more documents to the Other Attachments Form in accordance with the instructions found on Grants.gov. You may provide all of the required information in a single document, or in multiple documents.

Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (read-only, non-modifiable .pdf files). Also, do not upload any password-protected files to your application.

Please note that 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.

- Application Assurances and Certifications
- Accountability, Transparency, and Reporting Assurances
- Excel Spreadsheets: (these Excel Spreadsheets MUST be downloaded from the Preschool Development Grants Website at www.programs/preschooldevelopmentgrants and then [uploaded to this Section in Grants.gov](#))
 - o Table A
 - o Table B
 - o Competitive Priority 1 Table
 - o Table (D)(4)
 - o Budget Table
- Indirect Cost Rate Agreement (if charging indirect costs): Applicants proposing to charge any indirect costs to the grant must include this, or identify the temporary or provisional rate.
- Letters of Support (if applicable)
- Preliminary Memorandum of Understanding, Preliminary Binding Agreement or Letters of Support from any identified Subgrantee (if applicable)
- Appendix with Table of Contents

Copy this form as a separate word document and save as a PDF document and then upload to grants.gov under Part 5: Other Attachments Form

These forms require basic identifying information about the applicant and the application. Please provide all requested applicant information (including name, address, e-mail address and DUNS number).

APPLICATION ASSURANCES AND CERTIFICATIONS

Preschool Development Grants --Development Grants Competition

(CFDA No. 84.419A)

Legal Name of Applicant (Office of the Governor):	Applicant's Mailing Address:
Employer Identification Number:	Organizational DUNS:
Lead Agency: Contact Name: <i>(Single point of contact for communication)</i>	Lead Agency Contact Phone: Lead Agency Contact Email Address:
<p>Required Applicant Signatures <i>(Must include signatures from an authorized representative of each Subgrantee. Insert additional signature blocks as needed below. To simplify the process, signatories may sign on separate Application Assurance forms.):</i></p> <p>To the best of my knowledge and belief, all of the information and data in this application are true and correct. I further certify that I have read the application, am fully committed to it, and will support its implementation:</p>	
Governor or Authorized Representative of the Governor (Printed Name):	Telephone:
Signature of Governor or Authorized Representative of the Governor:	Date:
Lead Agency Authorized Representative (Printed Name):	Agency Name:
Signature of Lead Agency Authorized Representative:	Date:

**Copy this form as a separate word document and save as a PDF document and then upload to grants.gov under Part 5: Other Attachments Form
Accountability, Transparency, and Reporting Assurances**

The Governor or his/her authorized representative assures that the State will comply with all applicable assurances in OMB Standard Forms 424B and D (Assurances for Non-Construction and Construction Programs), including the assurances relating to the legal authority to apply for assistance; access to records; conflict of interest; merit systems; nondiscrimination; Hatch Act provisions; labor standards, including Davis-Bacon prevailing wages; flood hazards; historic preservation; protection of human subjects; animal welfare; lead-based paint; Single Audit Act;

and the general agreement to comply with all applicable Federal laws, executive orders, and regulations.

- With respect to the certification regarding lobbying in Department Form 80-0013, no 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 the making or renewal of Federal grants under this program; the State will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," when required (34 C.F.R. Part 82, Appendix B); and the State will require the full certification, as set forth in 34 C.F.R. Part 82, Appendix A, in the award documents for all subawards at all tiers.
- The State and other entities will comply with the following provisions of the Education Department General Administrative Regulations (EDGAR), as applicable: 34 CFR Part 74 -- Administration of Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; 34 CFR Part 76 -- State-Administered Programs, including the construction requirements in section 75.600 through 75.617 that are incorporated by reference in section 76.600; 34 CFR Part 77 -- Definitions that Apply to Department Regulations; 34 CFR Part 80 -- Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, including the procurement provisions; 34 CFR Part 81 -- General Education Provisions Act—Enforcement; 34 CFR Part 82 -- New Restrictions on Lobbying; and with the debarment and suspension regulations found at 2 CFR Part 3485.

Governor or Authorized Representative of the Governor (Printed Name):	
Signature:	Date:

Note: States do not need to submit Memoranda of Understanding (MOU) from each Subgrantee at the time of application, but if awarded funds, States that receive Development Grants will have 180 days to submit signed MOUs or other binding agreements from each Subgrantee (see Program Requirement (i)).

**PARTICIPATING SUBGRANTEE MEMORANDUM OF UNDERSTANDING
PRESCHOOL DEVELOPMENT GRANTS--DEVELOPMENT GRANTS
COMPETITION**

Model Memorandum of Understanding

Background for Memorandum of Understanding

Within 180 days of receipt of a Preschool Development Grant award, the State must submit to the Department of Education a final signed MOU or other binding agreement with each Subgrantee. . The purpose of the MOU or other binding agreement is to define a relationship between the State's Lead Agency and the Subgrantee that is specific to the Preschool Development Grants – Development Grant Competition; the MOU or other binding agreement is not meant to detail all typical aspects of grant coordination or administration.

To support States in working efficiently with their Subgrantees to affirm each Subgrantee's participation in the State Plan, ED and HHS have produced a model MOU, which is attached. This model MOU may serve as a template for States; however, States are not required to use it. States may use a document other than the model MOU, as long as it includes the key features noted below and in the model MOU. States should consult with their State attorneys on what is most appropriate. States may allow multiple Subgrantees to sign a single MOU or other binding agreement, with customized exhibits for each Subgrantee, if the State so chooses.

At a minimum, a Preschool Development Grants – Development Grant MOU or other binding agreement should include the following key features, each of which is described in detail below and exemplified in the attached model MOU: (i) terms and conditions; (ii) a scope of work; and, (iii) authorized signatures.

(i) Terms and conditions: Each Subgrantee must sign a standard set of terms and conditions that includes, at a minimum: key roles and responsibilities of the Lead Agency and the Subgrantee; method and process for making different types of decisions; mechanism for exchanging of data; the Subgrantee's role in implementing the State's ambitious and achievable plan; State recourse for non-performance by the Subgrantee; and assurances that make clear what the Subgrantee is agreeing to do.

(ii) Scope of work: Preschool Development Grants – Development Grants MOUs or other binding agreements must include a scope of work (included in the model MOU as Exhibit I) that is completed by each Subgrantee. The scope of work must be signed and dated by an authorized Subgrantee official and an authorized Lead Agency official. The scope of work for the State and the Subgrantee, which must contain detailed work plans and budgets consistent with the State's grant application, must include the State's and each Subgrantee's specific goals, activities, timelines, budgets, key personnel, and annual targets for key performance measures for the portions of the State's proposed plans that the Subgrantee is agreeing to implement.

(iii) Authorized Signatures: The signatures on the MOU or other binding agreement demonstrate an acknowledgement of the relationship between the Subgrantee and the Lead Agency. With respect to the relationship between the Subgrantee and the Lead Agency, the Lead

Agency's counter-signature on the MOU or other binding agreement indicates that the Subgrantee's commitment is consistent with the requirement that a Subgrantee implement all applicable portions of the State Plan.

Note: States do not need to submit Memoranda of Understanding (MOU) from each Subgrantee at the time of application, but if awarded funds, States that receive Development Grants will have 180 days to submit signed MOUs or other binding agreements from each Subgrantee (see Program Requirement (i)).

MODEL SUBGRANTEE MEMORANDUM OF UNDERSTANDING

(To be submitted 180 days after State receives award)

This Memorandum of Understanding (“MOU”) is entered into by and between _____ (“Lead Agency”) and _____ (“Subgrantee”). The purpose of this agreement is to establish a framework of collaboration, as well as articulate specific roles and responsibilities in support of the State in its implementation of an approved Preschool Development Grants – Development Grant.

I. ASSURANCES

The Subgrantee hereby certifies and represents that it:

- 1) Agrees to implement those portions of the State Plan indicated in Exhibit I.
- 2) Has all requisite power and authority to execute and fulfill the terms of this MOU;
- 3) Is familiar with the State’s Preschool Development Grants--Development Grants application and is supportive of and committed to working on all applicable portions of the Plan;
- 4) Will implement the Scope of Work in Exhibit I consistent with the Budget included in section VIII of the State Plan (including existing funds, if any, that the Subgrantee is using for activities and services that help achieve the outcomes of the State Plan); and
- 5) Will comply with all of the terms of the Preschool Development Grants – Development Grant, this agreement, and all applicable Federal and State laws and regulations, including laws and regulations applicable to the Preschool Development Grants – Development Grant, and the applicable provisions of EDGAR (34 CFR Parts 75, 77, 79, 80, 82, 84, 86, 97, 98 and 99), and the suspension and debarment regulations in 2 CFR Part 3485.

II. PROJECT ADMINISTRATION

A. SUBGRANTEE RESPONSIBILITIES

In assisting the Lead Agency in implementing the tasks and activities described in the State’s Preschool Development Grants--Development Grants application, the Subgrantee will:

- 1) Implement the Subgrantee Scope of Work as identified in Exhibit I of this agreement;
- 2) Make arrangements for High-Quality Preschool programs to be provided by Early Learning Providers and will appropriately monitor such entities;
- 3) Abide by the State’s Budget included in section VIII of the State Plan (including the existing funds from Federal, State, private and local sources, if any, that the Subgrantee is using to achieve the outcomes in the Preschool Development Grants-- Development Grants plan) and with the Subgrantee’s Budget included in Exhibit II of this agreement;
- 4) Actively participate in all relevant meetings or other events that are organized or sponsored by the State, by the U.S. Department of Education (“ED”), or by the U.S. Department of Health and Human Services (“HHS”);
- 5) Post to any Web site specified by the State, ED, or HHS, in a timely manner, all non-proprietary products and lessons learned developed using Federal funds awarded under the Preschool Development Grants--Development Grants;
- 6) Participate, as requested, in any evaluations of this grant conducted by the State, ED, or HHS;

- 7) Be responsive to State, ED, or HHS requests for project information including on the status of the project, project implementation, outcomes, and any problems anticipated or encountered, consistent with applicable local, State and Federal privacy laws;
- 8) Provide researchers with access, consistent with requirements of all applicable Federal, State, and local privacy laws, to available data regarding the enrollment and school readiness of Eligible Children in State-Funded Preschool Programs;
- 9) Implement culturally and linguistically responsive outreach and communication efforts to enroll isolated or hard-to-reach families; help families build protective factors; and engage parents and families as decision-makers in their children's education;
- 11) Minimize local administrative costs; and
- 12) Partner with LEAs or other Early Learning Providers, as appropriate, to carry out activities that will provide children and their families with successful transitions from preschool into kindergarten.

B. LEAD AGENCY RESPONSIBILITIES

In assisting the Subgrantee in implementing their tasks and activities described in the Preschool Development Grants – Development Grants application, the Lead Agency will:

- 1) Work collaboratively with the Subgrantee and support the Subgrantee in carrying out the Subgrantee's Scope of Work, as identified in Exhibit I of this agreement;
- 2) Award in a timely manner the portion of Preschool Development Grants – Development Grants funds designated for the Subgrantee in the Plan during the course of the project period and in accordance with the Subgrantee Scope of Work, as identified in Exhibit I, and in accordance with the Subgrantee's Budget, as identified in Exhibit II;
- 3) Provide feedback on the Subgrantee's status updates, any interim reports, and project plans and products;
- 4) Keep the Subgrantee informed of the status of the State's Preschool Development Grants – Development Grants project and seek input from the Subgrantee, where relevant to the portion of the State plan that the Subgrantee is implementing;
- 5) Facilitate coordination across Subgrantees necessary to implement the State Plan;
- 6) Identify sources of technical assistance for the project; and
- 7) Monitor Subgrantee's Implementation of High-Quality Preschool Programs.

C. JOINT RESPONSIBILITIES

- 1) The Lead Agency and the Subgrantee will implement the State's plan consistent with the description of the roles and responsibilities outlined in the State's application and in the Scope of Work in Exhibit I;
- 2) The Lead Agency and the Subgrantee will each appoint a key contact person for the Preschool Development Grants--Development Grants;
- 3) These key contacts from the Lead Agency and the Subgrantee will maintain frequent communication to facilitate cooperation under this MOU, consistent with the State Plan and governance structure.
- 4) Lead Agency and Subgrantee personnel will work together to determine appropriate timelines for project updates and status reports throughout the grant period;
- 5) Lead Agency and Subgrantee personnel will negotiate in good faith toward achieving the overall goals of the State's Preschool Development Grants--Development Grants, including when the State Plan requires modifications that affect the Subgrantee, or when the Subgrantee's Scope of Work requires modifications;
- 6) The Lead Agency and the Subgrantee will devise plans to sustain High-Quality Preschool Programs after the grant period, including any non-Federal support that the State or Subgrantees plan to contribute;

7) The Lead Agency 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; and

8) The Lead Agency and the 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, 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](#)

D. STATE RECOURSE IN THE EVENT OF SUBGRANTEE’S FAILURE TO PERFORM

If the Lead Agency determines that the Subgrantee is not meeting its goals, timelines, budget, or annual targets, or is in some other way not fulfilling applicable requirements, the Lead Agency will take appropriate enforcement action, which could include initiating a collaborative process by which they attempt to resolve the disagreements between the Lead Agency and the Subgrantee, or initiating such enforcement measures as are available to the Lead Agency, under applicable State or Federal law.

III. MODIFICATIONS

This Memorandum of Understanding may be amended only by written agreement signed by each of the parties involved, in consultation with ED.

IV. DURATION

This Memorandum of Understanding shall be effective, beginning with the date of the last signature hereon and ending upon the expiration of the Preschool Development Grants--Development Grants project period.

V. SIGNATURES

Authorized Representative of Lead Agency:

Signature Date

Print Name Title

Authorized Representative of Subgrantee:

Signature Date

Print Name Title

Copy this form as a separate word document and save as a PDF document and then upload to grants.gov under Part 5: Other Attachments Form

STATE LEAD AGENCY AND SUBGRANTEE SCOPE OF WORK

The State Lead Agency and Subgrantee hereby agree to participate in the State Plan, as described in the State’s application, and more specifically commit to undertake the tasks and activities described in detail below. In addition, the Lead Agency and Subgrantee will collaborate to

establish Performance Measures for any aspects of the State Plan that the Subgrantee is implementing.

Selection Criterion	Participating Party	Type of Participation	Performance Measure (if applicable)
<i>Example Row— shows an example of criterion (E)(10)(b)(ii) for the Subgrantees</i>	<ul style="list-style-type: none"> Subgrantees 	<i>Providing family engagement, support, nutrition, and other Comprehensive Services and coordinating with other community partners to ensure families’ access to needed supports</i>	
<i>Example Row— shows an example of criterion (F)(2)(d)(i) for the State Lead Agency</i>	<ul style="list-style-type: none"> State Lead Agency 	<i>Taking steps, or building upon the steps it has taken, to align, at a minimum— (i) Child learning standards and expectations</i>	
(D)(4)			
(D)(5)			
(E)(1)			
(E)(2)			
(E)(3)			
(E)(4)			
(E)(5)			
(E)(6)			
(E)(7)			
(E)(8)			
(E)(9)			
(E)(10)			
(F)(1)			
(F)(2)			
(G)(1)			
(G)(2)			
(G)(3)			

Copy this form as a separate word document and save as a PDF document and then upload to grants.gov under Part 5: Other Attachments Form

APPENDIX TABLE OF CONTENTS

Does the State have an Indirect Cost Rate Agreement approved by the Federal government?

YES

NO

If yes to question 1, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement (mm/dd/yyyy):

From: ___/___/_____ To: ___/___/_____

Approving Federal agency: ___ED ___HHS ___Other

(Please specify agency): _____

Directions for this form:

1. Indicate whether or not the State has an Indirect Cost Rate Agreement that was approved by the Federal government.
2. If “No” is checked, the Departments generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:
 - (a) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after the grant award notification is issued; and
 - (b) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.

If “Yes” is checked, indicate the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED, HHS, or another Federal agency (Other) issued the approved agreement. If “Other” was checked, specify the name of the agency that issued the approved agreement.

Name of Institution/Organization: Enter the name of the applicant in the space provided.

Personnel (line 1): Enter project personnel salaries and wages only. Include fees and expenses for consultants on line 6.

Fringe Benefits (line 2): The institution’s normal fringe benefits contribution may be charged to the program. Leave this line blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect cost.

Travel (line 3): Indicate the travel costs of employees and participants only. Include travel of persons such as consultants on line 6.

Equipment (line 4): Indicate the cost of tangible, non-expendable personal property that has a usefulness greater than one year and acquisition costs that are the lesser of the capitalization level established by the applicant entity for financial statement purposes or \$5,000 per article. Lower limits may be established to maintain consistency with the applicant's policy.

Supplies (line 5): Show all tangible, expendable personal property. Direct supplies and materials differ from equipment in that they are consumable, expendable, and of a relatively low unit cost. *Supplies purchased with grant funds should directly benefit the grant project and be necessary for achieving the goals of the project.*

Contractual (line 6): The contractual category should include all costs specifically incurred with actions that the applicant takes in conjunction with an established internal procurement system. Include consultant fees, expenses, and travel costs in this category if the consultant's services are obtained through a written binding agreement or contract.

Construction (line 7): Not applicable.

Other (line 8): Indicate all direct costs not covered on lines 1-6. For example, include costs such as space rental, required fees, honoraria and travel (where a contract is not in place for services), training, and communication and printing costs. *Do not include costs that are included in the indirect cost rate.*

Total Direct Costs (line 9): The sum of lines 1-8.

Indirect Costs (line 10): Indicate the applicant's approved indirect cost rate, per sections 75.560 – 75.564 of EDGAR. If an applicant does not have an approved indirect cost rate agreement with a cognizant Federal agency, the applicant must apply to the Department for a temporary indirect cost rate if it wishes to charge indirect costs to the grant. For more information, go to the Department's website at: <http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>.

Training Stipends (line 11): This line item is not applicable to this program. The training stipend line item only pertains to costs associated with long term training programs and college or university coursework, not workshops or short-term training supported by this program. *Salary stipends paid to teachers and other school personnel for participating in short-term professional development should be reported in Personnel (line 1).*

Total Cost (line 12): This should equal to sum of lines 9-11 (total direct costs + indirect + stipends). The sum for column one, labeled *Project Year 1 (a)*, should also be equal to item 15a on the application cover sheet (SF Form 424).

Part 6: Assurances and Certifications

Be certain to complete all required assurances and certifications in [Grants.gov](https://www.grants.gov), and include all required information in the appropriate place on each form. The assurances and certifications required for this application are:

- Assurances for Non-Construction Programs (SF 424B Form)
- Disclosure of Lobbying Activities (SF LLL Form)
- Grants.gov Lobbying Form
- General Education Provisions Act (GEPA) Requirements – Section 427 (ED GEPA427 Form)

Note: If this form does not apply, please enter N/A in the name block and save the form.

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

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

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

Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).

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

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

Instructions for Meeting the General Education Provisions Act (GEPA) Section 427 Requirements

All applicants for new awards **must** include information in their applications to address this new provision in order to receive funding under this program.

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.

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

Please review the Notice to all Applicants (included in the electronic application package in Grants.gov) for further information on meeting the provisions in the Department of Education's General Education Provisions Act (GEPA).

Applicants are **required** to address this provision by attaching a statement (not to exceed three pages) to the **ED GEPA427 form** that is included in the electronic application package in Grants.gov.

Part III. [Legal and Regulatory Information](#), Definitions and Requirements

Program Definitions

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

These definitions are:

Comprehensive Early Learning Assessment System means a coordinated and comprehensive system of multiple assessments, each of which is valid and reliable for its specified purpose and for the population with which it will be used, that organizes information about the process and context of young children's learning and development in order to help teachers make informed instructional and programmatic decisions and that conforms with the recommendations of the National Research Council report on early childhood assessments¹ by including, at a minimum:

- (a) Screening Measures;
- (b) Formative Assessments;
- (c) Measures of Environmental Quality;
- (d) Measures of the Quality of Adult-Child Interactions; and
- (e) A Kindergarten Entry Assessment.

Comprehensive Services means services that include:

- (a) Screenings for hearing, vision, dental, health (including mental health), and development, as well as referrals and assistance obtaining services, when appropriate;
- (b) Culturally and linguistically responsive family engagement opportunities (taking into account home language), such as parent conferences (including parent input about their child's development) and support services, such as parent education, and leadership opportunities, such as a Parent Advisory Committee;
- (c) Nutrition services, including nutritious meals and snack options aligned with requirements set by the most recent Child and Adult Care Food Program guidelines promulgated by the Department of Agriculture, as well as regular, age-appropriate, nutrition education for children and their families;
- (d) Services coordinated with LEAs and early intervention service providers and other entities providing services under part C and section 619 of part B of IDEA;
- (e) Physical activity services aligned with evidence-based guidelines, such as those recommended by the Institute of Medicine,² and which take into account and accommodate children with disabilities;

¹ 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.

² www.iom.edu/Reports/2011/Early-Childhood-Obesity-Prevention-Policies/Recommendations.aspx.

(f) Partnerships with and linkages to community services to enhance family well-being, such as income supports, food pantries, housing, social services, and other services relating to health/mental health, domestic violence, substance abuse, adult literacy, education and training, and financial asset building;

(g) On-site coordination of services, to the maximum extent feasible; and

(h) Additional support services, determined by the State, as appropriate.

Early Learning and Development Standards means a set of expectations, guidelines, or developmental milestones that--

(a) Describes what all children from birth to kindergarten entry should know and be able to do and their disposition toward learning;

(b) Is appropriate for each age group (e.g., infants, toddlers, and preschoolers); for English learners; and for children with disabilities or developmental delays;

(c) Covers all Essential Domains of School Readiness; and

(d) Is universally designed and developmentally, culturally, and linguistically appropriate.

Early Learning Intermediary Organization means a national, statewide, regional, or community-based organization that represents one or more networks of early learning and development programs in the State and that has influence or authority over them. Such Early Learning Intermediary Organizations include, but are not limited to, child care resource and referral agencies; State Head Start associations; family child care associations; State affiliates of the National Association for the Education of Young Children; State affiliates of the Council for Exceptional Children's Division of Early Childhood; statewide or regional union affiliates that represent early childhood educators; affiliates of the National Migrant and Seasonal Head Start Association; the National Tribal, American Indian, and Alaskan Native Head Start Association; the National Indian Child Care Association; and the National Indian Education Association.

Early Learning Provider means an entity that carries out an early childhood education program, including an LEA, charter school, educational service agency, Head Start program, licensed child care provider, municipality or other local government agency, tribe or Indian organization, institution of higher education, library, museum, or other eligible licensed provider as defined by the State, or a consortium thereof.

Eligible Children means four-year-old children from families whose income is at or below 200 percent of the Federal Poverty Line.

Eligible Children with Disabilities means Eligible Children who have been determined by the local educational agency to be eligible for special education and related services under section 619 of the IDEA (20 U.S.C. 1400 et seq.)

Essential Data Elements means the critical child, program, and workforce data elements of a coordinated early learning data system, including--

(a) A unique statewide child identifier or another highly accurate, proven method to link data on that child, including Kindergarten Entry Assessment data, to and from the Statewide Longitudinal Data System and the coordinated early learning data system (if applicable);

- (b) A unique statewide early childhood educator identifier;
- (c) A unique program site identifier;
- (d) Child and family demographic information;
- (e) Early childhood educator demographic information, including data on educational attainment and State credentials or licenses held, as well as professional development information;
- (f) Program-level data on the program's structure, quality, child suspension and expulsion rates, staff retention, staff compensation, work environment, and all applicable data reported as part of the State's Tiered Quality Rating and Improvement System; and
- (g) Child-level program participation and attendance data.

Essential Domains of School Readiness means the domains of language and literacy development, cognition and general knowledge (including early mathematics and early scientific development), approaches toward learning (including the utilization of the arts), physical well-being and motor development (including adaptive skills), and social and emotional development.

Federal Poverty Line means a measure of income level issued annually by the Department of Health and Human Services and used to determine eligibility for certain programs and benefits.³

Formative Assessment (also known as a classroom-based or ongoing assessment) means assessment questions, tools, and processes--

- (a) That are--
 - (1) Specifically designed to monitor children's progress in meeting the Early Learning and Development Standards;
 - (2) Valid and reliable for their intended purposes and their target populations; and
 - (3) Linked directly to the curriculum; and
- (b) The results of which are used to guide and improve instructional practices.

Full-Day means a day that is--

- (a) Equivalent to a full school day at the public elementary schools in the State; and
- (b) Not fewer than five hours a day.

High-Need Community means a geographically defined area, such as a city, town, county, neighborhood, district, rural or tribal area, or consortium thereof, with a high level of need as determined by the State.

High-Quality Preschool Program means an early learning program that includes structural elements that are evidence-based and nationally recognized as important for ensuring program quality, including at a minimum--

- (a) High staff qualifications, including a teacher with a bachelor's degree in early childhood education or a bachelor's degree in any field with a State-approved alternate pathway, which may include coursework, clinical practice, and evidence of knowledge of content and pedagogy relating to early childhood, and teaching assistants with appropriate credentials;

³ The 2014 Federal Poverty Line, also known as poverty guidelines or "Federal poverty level" (FPL), can be found at <http://aspe.hhs.gov/poverty/14poverty.cfm>.

- (b) High-quality professional development for all staff;
- (c) A child-to-instructional staff ratio of no more than 10 to 1;
- (d) A class size of no more than 20 with, at a minimum, one teacher with high staff qualifications as outlined in paragraph (a) of this definition;
- (e) A Full-Day program;
- (f) Inclusion of children with disabilities to ensure access to and full participation in all opportunities;
- (g) Developmentally appropriate, culturally and linguistically responsive instruction and evidence-based curricula, and learning environments that are aligned with the State Early Learning and Development Standards, for at least the year prior to kindergarten entry;
- (h) Individualized accommodations and supports so that all children can access and participate fully in learning activities;
- (i) Instructional staff salaries that are comparable to the salaries of local K-12 instructional staff;
- (j) Program evaluation to ensure continuous improvement;
- (k) On-site or accessible Comprehensive Services for children and community partnerships that promote families' access to services that support their children's learning and development; and
- (l) Evidence-based health and safety standards.

Kindergarten Entry Assessment means an assessment that--

- (a) Is administered to children during the first few months of their admission into kindergarten;
- (b) Covers all Essential Domains of School Readiness;
- (c) Is used in conformance with the recommendations of the National Research Council reports on early childhood;⁴ and
- (d) Is valid and reliable for its intended purposes and for the target populations and aligned to the Early Learning and Development Standards.

Results of the assessment should be used to inform efforts to close the school-readiness gap at kindergarten entry, to inform instruction in the early elementary school grades, and to inform parents about their children's status and involve them in decisions about their children's education. This assessment must not be used to prevent children's entry into kindergarten or as a single measure for high-stakes decisions.

Lead Agency means a State-level agency that administers public funds related to early learning and development and is participating in the State's ambitious and achievable plan; this agency is designated by the Governor for the administration of the Preschool Development Grants funds and is the fiscal agent for the grant.

Local Educational Agency (LEA) has the meaning given the term in section 9101 of the ESEA.

⁴ 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.

Measures of Environmental Quality means valid and reliable indicators of the overall quality of the early learning environment.

Measures of the Quality of Adult-Child Interactions means the measures obtained through valid and reliable processes for observing how teachers and caregivers interact with children, where such processes are designed to promote child learning and to identify strengths of and areas for improvement for early learning professionals.

Program Standards means the standards that serve as the basis for a TQRIS and define differentiated levels of quality for Early Learning and Development Programs. Program Standards must measure, at a minimum, the extent to which--

(a) Early Learning and Development Standards are implemented through evidence-based activities, interventions, or curricula that are appropriate for each age group of infants, toddlers, and preschoolers;

(b) Comprehensive Early Learning Assessment Systems are used routinely and appropriately to improve instruction and enhance program quality by providing robust and coherent evidence of--

(1) Children's learning and development outcomes; and

(2) Program performance;

(c) A qualified workforce improves young children's health, social, emotional, and educational outcomes;

(d) Culturally and linguistically responsive strategies are successfully used to engage families, help them build protective factors, and strengthen their capacity to support their children's development and learning. These strategies may include, but are not limited to, parent access to the program, ongoing two-way communication with families, parent education in child development, outreach to fathers and other family members, training and support for families as children move to preschool and kindergarten, social networks of support, intergenerational activities, linkages with community supports, adult and family literacy programs, parent involvement in decision making, and parent leadership development;

(e) Health promotion practices include health and safety requirements; developmental, behavioral, and sensory screening, referral, and follow up; the promotion of physical activity, healthy eating habits, oral health, and behavioral health; and health literacy of parents; and

(f) Data practices are effective and include gathering Essential Data Elements and entering them into the State's Statewide Longitudinal Data System or other early learning data system, using these data to guide instruction and program improvement, and making this information readily available to families.

Screening Measures means age and developmentally appropriate, valid, and reliable instruments that are used to identify children who may need follow-up services to address developmental, learning, or health needs in, at a minimum, the areas of physical health, behavioral health, oral health, child development, vision, and hearing.

State means any of the 50 States, the District of Columbia, and Puerto Rico.

State Preschool Program means a preschool program predominately supported with State funds that provides services to four-year-old children, including a State Head Start program.

Statewide Longitudinal Data System means the State's longitudinal education data system that collects and maintains detailed, high-quality, student- and staff-level data that are linked across entities and that over time provide a complete academic and performance history for each student. The Statewide Longitudinal Data System is typically housed within the State educational agency but includes or can be connected to early childhood, postsecondary, and labor data.

Subgrantee means an Early Learning Provider serving at least one High-Need Community that is receiving a subgrant from the State, and is participating in the State's ambitious and achievable plan.

Tiered Quality Rating and Improvement System (TQRIS) means the system through which the State uses a set of progressively higher Program Standards to evaluate the quality of an early learning and development program and to support program improvement. A Tiered Quality Rating and Improvement System consists of four components:

- (a) Tiered Program Standards with multiple rating categories that clearly and meaningfully differentiate program quality levels.
- (b) Monitoring to evaluate program quality based on the Program Standards.
- (c) Supports to help programs meet progressively higher standards (e.g., through training, technical assistance, financial support).
- (d) Program quality ratings that are publicly available and include a process for validating the system.

Program Requirements

States and each Subgrantee that receive funds under this grant program must meet the following requirements for, at a minimum, the duration of the grant period:

- (a) The State must continue to participate in--
 - (1) The programs authorized by part C and section 619 of part B of IDEA;
 - (2) The Child Care and Development Fund (CCDF) program (pursuant to the Child Care and Development Block Grant Act (42 U.S.C. 9858 et seq.));
 - (3) The program authorized under section 418 of the Social Security Act (42 U.S.C. 618);
 - (4) The Maternal, Infant, and Early Childhood Home Visiting program (section 511 of title V of the Social Security Act, as amended by section 2951 of the Affordable Care Act of 2010 (Pub. L. 111-148)); and
 - (5) Subtitle VII-B of the McKinney-Vento Act.
- (b) The State and each Subgrantee must use funds made available under this grant to supplement, not supplant, any Federal, State, or local funds (e.g., IDEA, title I, Head Start, CCDF, and any matching funds included as part of Competitive Preference Priority 2) that, in the absence of the funds awarded under this grant, would be available for improving the quality of State Preschool Programs and increasing access to High-Quality Preschool Programs.
- (c) The State must participate in grantee technical assistance activities facilitated by ED

or HHS, individually or in collaboration with other State grantees, to share effective program practices and solutions and collaboratively solve problems, and must set aside a minimum of \$25,000 annually from its grant funds for this purpose.

(d) The State and each Subgrantee must participate in any evaluation of the State's High-Quality Preschool Program, including any cross-State evaluation, if funded by ED or HHS.

(e) The State and each Subgrantee must comply with the requirements of all applicable Federal, State, and local privacy laws, including the requirements of the Family Educational Rights and Privacy Act (20 U.S.C. 1232g), the Health Insurance Portability Accountability Act (Pub. L. 104-191), and IDEA.

(f) The State and each Subgrantee must ensure that the grant project is implemented in accordance with all applicable Federal, State, and local laws and regulations, including the provisions of Section 504 of the Rehabilitation Act of 1973 and Title II and Title III of the Americans with Disabilities Act of 1990 that prohibit discrimination on the basis of disability and require that individuals with disabilities be served in the most integrated setting appropriate to their needs.

(g) The State and each Subgrantee must provide researchers with access, consistent with the requirements of all applicable Federal, State, and local privacy laws, to available data regarding the enrollment and school readiness of Eligible Children in State Preschool Programs.

(h) Unless otherwise protected as proprietary information by Federal or State laws or a specific written agreement, the State and each Subgrantee must make any work (e.g., materials, tools, processes, systems) developed under its grant freely available to the public. Any Web sites developed under this grant must meet government or industry-recognized standards for accessibility.

(i) The State must have a Statewide Longitudinal Data System that links early childhood data with the State's kindergarten through grade 12 (K-12) data system by the end of the grant period.

(j) The State must ensure that the State Advisory Council on Early Childhood Education and Care includes, in addition to the members of the State Advisory Council described in section 642B(b) of the Head Start Act (42 U.S.C. 9837(b)), the State's CCDF administrator, State agency coordinators from both part C and section 619 of part B of IDEA, the State Title I Director, the State Coordinator of Education for Homeless Children and Youth, State agency representatives responsible for health and mental health, and parent representatives.

(k) The State must establish policies and procedures that ensure--

(i) Collaboration between each Subgrantee and programs authorized by section 619 of part B of IDEA so that Eligible Children with disabilities in the High-Need Community are being appropriately identified and served in the least restrictive environment; and

(ii) Ensure that the percentage of Eligible Children with disabilities served by the High-Quality Preschool Programs is not less than either the percentage of four-year-old children served statewide through part B, section 619 of IDEA (20 U.S.C. 1400 et seq.), or the current national average,⁵ whichever is greater.

(l) The State and each Subgrantee are prohibited from spending grant funds, including any matching funds, if applicable, on construction, renovation, modernization, or related activities.

⁵ Note: The current national percentage of four year-old-children receiving services through part B, section 619 of IDEA is 6.4%. Source: 2012 IDEA Part B Child Count (www.ideadata.org).

(m) For activities involved in improving existing State Preschool Program slots to meet the definition of High-Quality Preschool Programs, the State and each Subgrantee may only spend grant funds, including any matching funds, if applicable, on activities listed in selection criterion (D)(4)(b)(ii).

(n) Within 180 days of receipt of an award, the State must submit to the Departments a signed MOU (a model MOU is provided in Appendix B of this notice) or other binding agreement between the State's Lead Agency and each Subgrantee that, at a minimum--

(1) Includes a scope of work describing the portions of the State's plan that the Subgrantee will implement;

(2) Incorporates the State's ambitious and achievable plan, in particular the sections that the Subgrantee is responsible for implementing;

(3) Is signed by an authorized representative of the State's Lead Agency and the Subgrantee;

(4) Describes the roles and responsibilities of the State's Lead Agency and Subgrantee in implementing the project plan;

(5) Describes the method and process for making different types of decisions (e.g., policy, operational);

(6) Describes how the State and Subgrantee will exchange data; and

(7) Describes how the MOU can be amended.

(o) The State must submit scopes of work for the State within 90 days of the grant award notification date and for each Subgrantee within 180 days of the grant award notification date. These scopes of work must contain detailed work plans and budgets that are consistent with the State's grant application, and must include the State's and each Subgrantee's specific goals, activities, timelines, budgets, key personnel, and annual targets for key performance measures for the portions of the State's proposed plans that the Subgrantee is agreeing to implement.

Reporting and Accountability Requirements

(a) If you apply for a grant under this competition, you must ensure that you have in place the necessary processes and systems to comply with the reporting requirements in 2 CFR part 170 should you receive funding under the competition. This does not apply if you have an exception under 2 CFR 170.110(b).

(b) At the end of your project period, you must submit a final performance report, including financial information, as directed by the Departments. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary of Education under 34 CFR 75.118. The Secretary of Education 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.

For specific requirements on grantee reporting, please go to the ED Performance Report Form 524B at <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

Government Performance and Results Act (GPRA):

Under the Government Performance and Results Act (GPRA), the following performance indicators have been established to evaluate the overall effectiveness of the Preschool Development Grants—Development Grants program:

- (1) The number and percentage of Eligible Children served in High-Quality Preschool Programs funded by the grant;
- (2) The number and percentage of children served overall in the State Preschool Program;
- (3) The number and percentage of children in the High-Need Communities served by the grant that are ready for kindergarten as determined by the State’s Kindergarten Entry Assessment or, if the State does not yet have a Kindergarten Entry Assessment, other valid and reliable means of determining school readiness; and
- (4) The number of States that collect and analyze data on State Preschool Program quality, including the structural elements of quality specified in the definition of High-Quality Preschool Programs.

Contracting for Services

Generally, all procurement transactions by State or local educational agencies made with Preschool Development grant funds must be conducted in a manner providing full and open competition, consistent with the standards in section 80.36 of the Education Department General Administrative Regulations (EDGAR). This section requires that grantees use their own procurement procedures (which reflect State and local laws and regulations) to select contractors, provided that those procedures meet certain standards described in EDGAR.

Because grantees must use appropriate procurement procedures to select contractors, applicants should not include information in their grant applications about specific contractors that may be used to provide services or goods for the proposed project if a grant is awarded.

Scoring Rubric

I. Introduction

To help ensure inter-reviewer reliability and transparency for the Preschool Development Grants--Development Grant applicants, the Departments have created and are publishing a rubric for scoring State applications. The pages that follow detail the rubric and allocation of point values that reviewers will be using. The rubric will be used by reviewers to ensure consistency across and within review panels.

The rubric allocates points to each selection criterion. In all, the Preschool Development Grants--Development Grant scoring rubric includes seven selection criteria and three competitive preference priorities. These collectively add up to 230 points.

Reviewers will be required to make thoughtful judgments about the quality of a State’s application and will be assessing, based on the selection criteria, the comprehensiveness, feasibility, and likely impact of the State’s application. Reviewers will also be asked to evaluate, for example, the extent to which the State has set ambitious and achievable annual targets in its application. Reviewers will also need to make informed judgments about the State’s goals, the activities the State has chosen to undertake, and the timelines and credibility of the State’s plan.

This appendix includes information about the point values for each selection criterion and priority, guidance on scoring, and the rubric that we will provide to reviewers.

II. Points Overview

The chart below shows the maximum number of points and the percent of total points available that are assigned to each selection criterion.

Preschool Development Grants – Development Grants: Points Overview	Points Available	Percent
A. Executive Summary		
(A)(1) The State’s progress to date		
(A)(2) Provide High-Quality Preschool Programs in one or more High-Need Communities		
(A)(3) Increase the number and percentage of Eligible Children served in High-Quality Preschool Programs		
(A)(4) Characteristics of High-Quality Preschool Programs		
(A)(5) Set expectations for school readiness		
(A)(6) Supported by a broad group of stakeholders		
(A)(7) Allocate funds between–		
(a) Activities to build or enhance infrastructure using no more than 35% of funds; and		
(b) Subgrants using at least 65% of funds		
Subtotal	10	5%
B. Commitment to High-Quality Preschool Programs		
(B)(1) Early Learning and Development Standards	2	1%
(B)(2) State’s financial investment	6	3%
(B)(3) Enacted and pending legislation, policies, and/or practices	4	2%
(B)(4) Quality of existing early learning programs	4	2%
(B)(5) Coordination of preschool programs and services	2	1%
(B)(6) Role in promoting coordination of preschool programs with other sectors	2	1%
Subtotal	20	10%
C. Ensuring Quality in Preschool Programs		
(C)(1) Use no more than 35% of funds for infrastructure and quality improvements	8	4%
(C)(2) Implement a system for monitoring	10	5%
(C)(3) Measure the outcomes of participating children	12	6%
Subtotal	30	15%
D. Expanding High-Quality Preschool Programs in Each High-Need Community		
(D)(1) How the State—		
(a) Has selected each High-Need Community		
(b) Will select each High-Need Community		
Note: Applicants should address either (D)(1)(a) or (D)(1)(b). Applicants will receive up to 8 points for addressing (D)(1)(a) or up to 4 points for addressing (D)(1)(b).	4 or 8	4%

Preschool Development Grants – Development Grants: Points Overview	Points Available	Percent
(D)(2) How each High-Need Community is currently underserved	8	4%
(D)(3) How the State will conduct outreach to each potential Subgrantees	4	2%
(D)(4) How the State will subgrant at least 65% of its Federal grant award to its Subgrantee or Subgrantees to implement and sustain voluntary, High-Quality Preschool Programs in one or more High-Need Communities, and-- (a) Set ambitious and achievable targets; and	16	8%
(b) Incorporate in its plan-- (i) Expansion of the number of new high-quality State Preschool Program slots; and (ii) Improvement of existing State Preschool Program slots Note: Applicants may receive up to the full 12 points if they address only (D)(4)(b)(i) or (b)(ii) or if they address both (D)(4)(b)(i) and (b)(ii);	12	6%
(5) How the State, in coordination with the Subgrantees, plans to sustain High-Quality Preschool Programs after the grant period	12	6%
D. Subtotal	56 or 60	30%
E. Collaborating with Each Subgrantee and Ensuring Strong Partnerships		
(E)(1) Roles and responsibilities of the State and Subgrantee in implementing the project plan	2	1%
(E)(2) How High-Quality Preschool Programs will be implemented	6	3%
(E)(3) How the Subgrantee will minimize local administrative costs	2	1%
(E)(4) How the State and Subgrantee will monitor Early Learning Providers	4	2%
(E)(5) How the State and the Subgrantee will coordinate plans	4	2%
(E)(6) How the State and the Subgrantee will coordinate, but not supplant, the delivery of High-Quality Preschool Programs funded under this grant with existing services for preschool-aged children	6	3%
(E)(7) How the Subgrantees will integrate High-Quality Preschool Programs for Eligible Children within economically diverse, inclusive settings	6	3%
(E)(8) How the Subgrantees will deliver High-Quality Preschool Programs to Eligible Children who may be in need of additional supports	6	3%
(E)(9) How the State will ensure outreach to enroll isolated or hard-to-reach families; help families build protective factors; and engage parents and families	4	2%
(E)(10) How the State will ensure strong partnerships between each Subgrantee and LEAs or other Early Learning Providers	10	5%
Subtotal	50	25%
F. Alignment within a Birth Through Third Grade Continuum		
(F)(1) Birth through age-five programs		

Preschool Development Grants – Development Grants: Points Overview		Points Available	Percent
(F)(2) Kindergarten through third grade			
Subtotal	20	10%	
G. Budget and Sustainability			
(G)(1) Use the funds from this grant and any matching contributions to serve the number of Eligible Children described in its ambitious and achievable plan each year			
(G)(2) Coordinate the uses of existing funds from Federal sources that support early learning and development			
(G)(3) Sustain the High-Quality Preschool Programs provided by this grant after the grant period ends			
Subtotal	10	5%	
Total Points Available for Selection Criteria		200	100%
Competitive Priority 1: Contributing Matching Funds		10	
Competitive Priority 2: Supporting a Continuum of Early Learning and Development		10	
Competitive Priority 3: Creating New High-Quality State Preschool Program Slots		0 or 10	
Total for All Priorities		30	
Grand Total		230	

III. About Scoring

General Notes about Scoring

Ambitious and Achievable. In determining whether a State has ambitious and achievable goals or targets for a given selection criterion, reviewers will examine the State’s goals or targets in the context of the State’s plan and the evidence submitted (if any) in support of the plan. Reviewers will not be looking for any specific targets nor will they necessarily reward higher targets above lower ones with higher scores. Rather, reviewers will reward States for developing goals and targets that, in light of each State’s plan and the current context and status of the work in that State, are shown to be ambitious and achievable.

Additionally, there is a term that we use repeatedly in the notice: Ambitious and achievable plan. This is an anchor term for applicants to understand and reviewers to use in guiding their scoring. In determining the quality of a State’s plan for a given selection criterion or competitive preference priority, reviewers will assess the extent to which the plan is ambitious and achievable, including whether it is feasible and has a high probability of successful implementation and contains the following components--

- (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 ESEA; who are migrant; who are “homeless,” as defined in subtitle VII-B of the McKinney-Vento Act; who are involved in the child welfare system; who reside in rural areas; who are from military families; and any other children identified by the State.

Rubric

The following scoring rubric will be used to guide the reviewers in scoring selection criteria and priorities. (See “General Notes about Scoring” for more information about how reviewers will assess ambitious and achievable plans.)

	Percentage of Available Points Awarded
High-quality response	80-100%
Medium/high-quality response	50-80%
Medium/low-quality response	20-50%
Low-quality response	0-20%

About Priorities

There are two types of priorities in the Preschool Development Grants—Development Grant competition: absolute and competitive.

- Applicants should address the absolute priority across the entire application and should not address it separately. It will be assessed by reviewers after they have fully reviewed and evaluated the entire application, to ensure that the application has met the priority. If an application has not met the priority, it will be eliminated from the competition. A State meets the absolute priority if a majority of reviewers determines that the State has met the absolute priority.
- Applicants may choose whether to address the competitive preference priorities. Additional points will be awarded to an application to the extent that reviewers determine it has met a competitive preference priority. Applicants earn points under the competitive preference priorities in a manner similar to how they earn points under the selection criteria.

- o Competitive Preference Priority 1 (Contributing Matching Funds) is worth up to 10 points.

State Match of projected four-year total award amount	Possible Points
50% or more	10
40% to 49%	8
30% to 39%	6
20% to 29%	4
10% to 19%	2
Less than 10%	0

- o Competitive Preference Priority 2 (Supporting a Continuum of Early Learning and Development) is worth up to 10 points.
- o Competitive Preference Priority 3 (Creating New High-Quality State Preschool Program Slots) is worth 0 or 10 points. If the applicant proposes to use at least 50 percent of its Federal grant award to create new State Preschool Program slots, 10 points will be awarded.

Application Checklist

Please use the following checklist to ensure that your application is complete:

Formatting Recommendations

Are all the pages 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides?

Are all pages numbered?

Is the line spacing for the narratives set to 1.5 spacing, and the font to 12 point Times New Roman?

Application Assurances and Certifications

Is all of the requested information included on the Preschool Development grant Application Assurances and Certifications page?

SIGNATURE REQUIRED – Has the Governor or his/her authorized representative signed and dated the Application Assurances and Certifications?

SIGNATURE REQUIRED – Has an authorized representative from the Lead Agency signed the Application Assurances and Certifications?

Has the Application for Federal Assistance (form SF 424) been completed?

Has the ED Supplemental Information for SF 424 been completed?

Has the Assurances for Non-Construction Programs (SF 424B Form) been completed?

Has the Disclosure of Lobbying Activities (Standard Form LLL) been completed?

Has the Grants.gov Lobbying Form been completed?

Has the General Education Provisions Act (GEPA) Requirements – Section 427 (ED GEPA427 form) been completed?

Accountability, Transparency, Reporting, and Other Assurances and Certifications

SIGNATURE REQUIRED – Has the Governor or his/her authorized representative signed the other Assurances and Certifications?

Eligibility Requirements

Is your State an eligible State for Preschool Development Grants--Development Grants?

Alabama, Alaska, Arizona, Hawaii, Idaho, Indiana, Mississippi, Missouri, Montana, Nevada, New Hampshire, North Dakota, Puerto Rico, South Dakota, Utah, and Wyoming

Selection Criteria

- A. Executive Summary
- B. Commitment to High-Quality Preschool Programs
- C. Ensuring Quality in Preschool Programs
- D. Expanding High-Quality Preschool Programs in Each High-Need Community_
- E. Collaborating with Each Subgrantee and Ensuring Strong Partnerships

- F. Alignment within Birth through Third Continuum
- G. Budget and Sustainability

Absolute Priority

Building Capacity to Deliver, and Increasing Access to, High-Quality Preschool Programs

Competition Preference Priorities (optional)

- Competitive Preference Priority 1: Contributing Matching Funds
- Competitive Preference Priority 2: Supporting a Continuum of Early Learning and Development
- Competitive Preference Priority 3: Creating New High-Quality State Preschool Program Slots

Excel spreadsheets

Has the State completed the following elements of the Excel spreadsheets?

- Budget Table
- Table A
- Table B
- Competitive Priority 1 Table
- Table (D)(4)

Did you upload all of the Excel spreadsheets as an Excel document to Part 6: Other Attachments Form section?

Budget

- Budget Narrative
- Indirect Costs form
- Did you upload the Excel spreadsheets as an Excel document to the Other Attachments section?

Appendix

- Has the State created a table of contents for its appendix?
- Has the State included all required documents per the instructions in the application?
- OPTIONAL: Has the State included supporting information the State believes will be helpful to peer reviewers?

Application Requirements

Has the State fulfilled all of the application requirements?

Application Submission Procedures

Has the State complied with the submission format requirements, including the mandatory grants.gov submission and application deadline?

Does the State's submission include the following files?

- Body of the application narrative, including budget tables, that has been converted into a searchable .PDF document. Note that a .PDF created from a scanned document will not be searchable.
- Single file in a .PDF format that contains all application appendices
- Single file in a .PDF format that contains all required signature pages
- Single file in a .PDF format that contains all required signature pages

