

**U.S. Department of Education
Office of Innovation and Improvement
Extension Grants Funding Opportunity for
Fiscal Year (FY) 2011 and FY 2012 Promise Neighborhoods Implementation Grantees
(84.215N)**

I. Funding Opportunity Description

The Promise Neighborhoods (PN) program is authorized by the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the Every Student Succeeds Act (ESSA)¹. Section 4623(b) of the ESEA provides that PN grants “shall be for a period of not more than 5 years, and may be extended for an additional period of not more than 2 years.”

The Consolidated Appropriations Act, 2018 (the Appropriations Act) (P.L. 115-141) authorizes the U.S. Department of Education (the Department) to apply this provision to PN implementation grants awarded prior to the enactment of ESSA and to use FY 2018 funds to extend those grants on a competitive basis. Specifically, the Appropriations Act provides that the Department must award extensions to implementation grantees that:

- have demonstrated the ability to collect, track, and report Government Performance and Results Act (GPRA) indicators established by the Department and required to be reported on annually as part of the initial implementation grant;
- have demonstrated the most positive and promising results during their initial implementation grant based on such indicators, emphasizing getting children ready to learn;
- have demonstrated a commitment to operating in the most underserved and under-resourced, including rural, areas; and
- propose continuing to pursue ambitious goals during an extension of that grant.

The Department is inviting FY 2011 and FY 2012 PN implementation grantees that meet the eligibility criteria described below to submit an extension grant proposal. A PN extension grant project should reflect what the applicant has learned from the GPRA data generated under its implementation grant and continue those PN implementation grant activities with the most promising and positive results. The PN extension funds may be used to continue or scale up activities that grantees and partners are ready to sustain or expand and that will significantly improve the educational and developmental outcomes of children in the grantee’s defined footprint (i.e., the geographically defined area to be served). The PN extension grant proposal must also be consistent with the scope and objectives of the implementation grant that is being extended.

The Department plans to make up to three extension grant awards for up to \$6,000,000 each with a project period of up to 24 months using the absolute priorities (AP) established in the FY 2011

¹ Throughout this notice, unless otherwise indicated, citations to the ESEA refer to the ESEA, as amended by the ESSA.

and FY 2012 notices inviting applications (NIA). Absolute priorities established in the FY 2011 and 2012 NIAs are: (i) AP 1 – Submission of PN Plan (the plan described the need in the neighborhood, a strategy to build a continuum of solutions, and the applicant’s capacity to achieve results); (ii) AP 2 – PN in Rural Communities; and (iii) AP 3 – PN in Tribal Communities. A grantee’s proposal will be considered under the AP under which the grantee’s implementation grant was originally funded. Each of the three absolute priorities constitutes its own funding category.

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$18,000,000.

Estimated Average Size of Awards: \$6,000,000.

Maximum Award: The Department will not make an award exceeding \$6,000,000 for a project period of 24 months.

Estimated Number of Awards: 3.

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

Project Period: Applicants shall propose a project period of no more than 24 months and with a start date no later than January 1, 2019.

III. Eligibility Information

- 1. Eligible Applicants:** To be eligible for a grant under this funding opportunity, an eligible applicant must:
 - Be a FY 2011 or FY 2012 PN implementation grantee with an original award period or no-cost extension period, whichever is later, ending on or before December 31, 2018; and
 - Be a FY 2011 or FY 2012 PN implementation grantee that will not incur costs related to the initial implementation grant after December 31, 2018.
- 2. Cost Sharing or Matching:** An eligible applicant must demonstrate that it has established a commitment from one or more entities in the public or private sector, which may include Federal, State, and local public agencies, philanthropic organizations, private businesses, or individuals, to provide matching funds for the extension period. An applicant for extension funds must obtain matching funds or in-kind donations equal to at least 100 percent of its extension award, except that an applicant proposing an extension project that meets AP 2: PN in Rural Communities or AP 3: PN in Tribal Communities must obtain matching funds or in-kind donations equal to at least 50 percent of the extension grant award. Eligible sources of matching include sources of funds used to pay for solutions within the continuum of solutions supported

by the local educational agency (LEA), or public health services for children in the neighborhood. At least 10 percent of an extension applicant's total match must be cash or in-kind contributions from the private sector, which may include philanthropic organizations, private business, or individuals.

3. *Memorandum of Understanding (MOU)*: An eligible applicant must submit, as part of its application for this extension funding, an MOU signed by each organization or agency with which it will partner in implementing the proposed PN project during the extension period. The MOU must describe –

- (i) Each partner's financial and programmatic commitment to the extension project;
- (ii) How each partner's existing vision, theory of change (as defined in the FY 2011 and FY 2012 NIAs), theory of action (as defined in the FY 2011 and FY 2012 NIAs), and current activities align with the PN extension project; and
- (iii) The governance structure proposed for the Promise Neighborhood, including a system for holding partners accountable, how the Promise Neighborhood governing board or advisory board is representative of the geographic area proposed to be served (as defined in the FY 2011 and FY 2012 NIAs), and how residents of the geographic area would have an active role in the organization's decision-making.

IV. Application Submission Information

1. An electronic copy of this funding announcement, along with all forms, has been sent to the authorized representative of every FY 2011 and FY 2012 PN implementation grantee. Additionally, the application package has been posted on the Office of Innovation and Improvement's Promise Neighborhoods website at <https://innovation.ed.gov/what-we-do/parental-options/promise-neighborhoods-pn/applicant-info-and-eligibility>.

2. The application package for this funding opportunity describes the submission requirements and includes the required forms.

3. **Recommended Page Limit:** The application narrative, Part II – Project Plan, is where the applicant addresses the selection criteria that reviewers will use to evaluate an application. The Department recommends that applicants: (1) limit the application narrative, Part II – Project Plan, to no more than 20 pages and (2) use the following standards:

- A “page” is 8.5” x 11”, on one side only, with 1” margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative. Text in charts, tables, figures, and graphs may be single-spaced.
- 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.

The recommended page limit does not apply to Part I, the project abstract, the cover sheet, or the appendix.

4. Submission Dates and Times:

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

Date of Pre-Application Technical Assistance: [INSERT DATE 7 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER] Detailed information regarding the pre-application technical assistance will be emailed to the authorized representative and the project director of every FY 2011 and FY 2012 PN grantee.

Deadline for Transmittal of Application: May 23, 2018 by 4:30:00 pm, Eastern Time.

Electronic Submission: For information on how to submit an application, please refer to our Common Instructions for Applicants to Department of Education Discretionary Grant Programs, published in the *Federal Register* on February 12, 2018 ([83 FR 6003](#)) and available at www.gpo.gov/fdsys/pkg/FR-2018-02-12/pdf/2018-02558.pdf.

Other Submission Requirements for this Funding Opportunity: The Department does not consider an application that does not comply with the deadline requirements.

5. **Deadline for Intergovernmental Review:** This competition is subject to Executive Order 12372 and the regulations in 34 CFR part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package.

6. **Submission Requirements:** The application must include the following: Project Abstract, Project Plan, and Appendices (GPRA Data and Implementation Grant Summary, PN Detailed Project Plan and Resumes of Key Staff, PN Memorandum of Understanding, Budget Summary and Budget Narrative, and Standard Forms).

Part I – PN Project Abstract (1 page recommended)

The extension application Project Abstract should: (i) describe the targeted neighborhood(s), specifically the extent to which the same neighborhood(s) and schools included in the initial PN implementation grant will be served; and (ii) include a brief description, for example, 2,000 characters or less, of the proposed project.

Part II – Extension Project Plan (20 pages recommended)

The extension project plan should include the applicant's response to the selection criteria.

Part III – Appendix and Standard Forms

Applications should be supported with the following appendices:

Appendix A: GPRA Data and Implementation Grant Summary

Applicants must submit GPRA data in a chart format. The chart must include targets and actual data for the PN performance indicators as reported in the PN Scorecard reporting system. Applicants are encouraged to include other relevant program specific performance data. The template for this appendix is included in the application package.

Appendix B: PN Detailed Project Plan and Resumes of Key Staff

A detailed project plan aligns with the extension project narrative and includes key information needed to track progress of extension period activities. Applicants may choose the format for the detailed project plan, but it must include:

- Quarterly Benchmarks and Milestones;
- Start and End Dates;
- Staff/Partner Responsible for Benchmarks and Milestones; and
- For each specific cradle-to-career pipeline solution, activity, or program, the number to be served.

The detailed project plan should be in a format that can be updated and submitted to the PN staff on a quarterly basis.

Appendix C: PN Memorandum of Understanding

Appendix D: Budget Summary and Budget Narrative

Applicants must submit the ED 524 Budget Summary form and a budget narrative for Federal and matching funds. The ED 524 form must provide the total costs for each budget line item (e.g., personnel, fringe benefits, travel). Applicants should not include multiple budgets for the LEA or nonprofit organizations or partner(s). Only one combined budget should be submitted to represent costs for all entities involved in the proposed project.

The budget narrative should present a complete and detailed itemization of all proposed costs. The budget narrative should describe each budget item and relate it to the appropriate grant activity/solution. It should follow the budget categories of the ED 524 form and show how costs were calculated.* For example, the narrative for personnel should include the cost per employee, and the annual salary and the percentage of time devoted to the project for each employee, paid through grant funds.

**This level of detail is necessary for the Department to determine if the costs are necessary, reasonable, and allowable. For further guidance on Federal cost principles, an applicant may consult Subpart E of 2 CFR Part 200.*

Appendix E: Demonstration of PN Match Commitments

To demonstrate the match commitments, an eligible applicant should provide the amount of funds that each partner intends to provide to support the extension period and identify the source of the funds or contributions. In the case of a third-party in-kind contribution, the applicant should provide a description of how the value was determined for the donated or contributed goods or services. The applicant should include corresponding commitment letters signed by the executive(s) of the organizations or agencies that will provide the match and the ED 524 form for match funds.

Appendix F: Standard Forms

The standard forms used for the PN Program extension grant competition, and included in the application package, are:

- Application for Federal Assistance (SF424 and Supporting Documents)
- ED Supplement to the SF424

- Standard Assurances for Non-Construction Programs (SF424B)
- Grants.gov Lobbying Form
- Lobbying Disclosure Form (SF LLL) and Instructions
- General Education Provisions Act (GEPA) Requirements – Section 427
- Other Attachments Form

V. Funding Opportunity Review Information

1. Selection Criteria: The selection criteria for this funding opportunity are from the Appropriations Act and from 34 CFR 75.210. The points assigned to each criterion are indicated in parentheses next to the criterion. Applicants may earn up to a total of 100 points. The selection criteria for this funding opportunity are as follows:

a. Strength of demonstrated performance (50 points)

The Secretary considers the extent to which the applicant demonstrates, based on performance in its implementation grant, the following:

- (i) the ability to collect, track, and report GPRA data on performance indicators established by the Department and required to be reported on annually as part of the initial implementation grant;
- (ii) the most positive and promising results during its initial implementation grant based on such indicators, emphasizing getting children ready to learn; and
- (iii) a commitment to operating in the most underserved and under-resourced, including rural, areas.

In addition to the applicant's narrative response to sub-criterion (i), the applicant must include GPRA data on Department-established performance indicators as described above and a summary of the initial implementation grant for Appendix A – PN GPRA Data and Implementation Grant Summary.

b. Quality of project design (20 points)

The Secretary considers the quality of the design of the proposed extension project. In determining the quality of the proposed extension project, the Secretary considers the following factors:

- (i) the extent to which the applicant proposes continuing to pursue ambitious goals during the proposed project; and
- (ii) the extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.

c. Quality of the management plan (15 points)

The Secretary considers the quality of the management plan for the proposed extension project. In determining the quality of the management plan for the proposed extension project, the Secretary considers the adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.

d. Adequacy of resources (15 points)

The Secretary considers the adequacy of resources for the proposed extension project. In determining the adequacy of resources for the proposed extension project, the Secretary considers the relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project during the extension period.

2. *Review and Selection Process:* The Department will screen applications submitted in accordance with the requirements in this funding opportunity announcement and will determine which applications have met eligibility and statutory requirements.

The Department will use independent reviewers from various backgrounds and professions including: pre-kindergarten-12 teachers and principals; college and university educators; researchers and evaluators; social entrepreneurs; strategy consultants; grant makers and managers; and others with education expertise. The Department will thoroughly screen all reviewers for conflicts of interest to ensure a fair and competitive review process.

Reviewers will read, prepare written evaluations of, and score the applications assigned to their panel, using the selection criteria provided in this announcement.

The Department reminds applicants that in reviewing applications in any discretionary grant competition, the Secretary 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 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 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 (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

3. *Specific Conditions:* Under 2 CFR 200.207 and 3474.10, the Secretary may impose specific conditions on a grant if the applicant or grantee is not financially stable; has a history of unsatisfactory performance; has a financial or other management system that does not meet the standards in 2 CFR part 200, as applicable; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

4. *Submission of Proprietary Information:* Given the types of projects that may be proposed in applications for this funding opportunity, applications may include business information that is considered proprietary. 34 CFR 5.11 defines "business information" and describes the process

the Department uses in determining whether any of that information is proprietary and, thus, protected from disclosure under Exemption 4 of the Freedom of Information Act (5 U.S.C. 552, as amended).

Because the Department plans to make successful applications available to the public, applicants may wish to request confidentiality of business information. Consistent with Executive Order 12600, please designate in the application any information believed to be exempt from disclosure under Exemption 4. In Appendix F of the application, under “Other Attachments Form,” please list the page number or numbers on which the information can be found. For additional information, please see 34 CFR 5.11(c).

VI. Award Administration Information

1. *Award Notices:* If an application for this funding opportunity is successful, the Department notifies the applicant’s U.S. Representative and U.S. Senators and sends the applicant a Grant Award Notification (GAN). The Department may notify an applicant informally also. If an application for this funding opportunity is not evaluated or not selected for funding, the Department notifies the applicant.
2. *Administrative and National Policy Requirements:* The Department identified administrative and national policy requirements in the FY 2011 and FY 2012 PN application packages. If an application for this funding opportunity is successful, the Department will incorporate those administrative and national policy requirements along with other specific conditions in the GAN. The GAN also incorporates the approved submission as part of the binding commitment under the extension grant award.
3. *Reporting:* If funding is received under this opportunity, grantees must continue to comply with the reporting requirements of the initial PN implementation grant.
4. *Monitoring:* Grantees will be expected to report on progress toward identified results, GPRA indicators, solutions, and activities through a regularly updated project plan, quarterly performance calls, annual performance reports, and APR reports. The Department will continue to monitor a grant’s administrative and fiscal management during the extension period. The Department expects grantees to work with contractors associated with the national program evaluation activities and GPRA reporting.
5. *Open Licensing Requirements (2 CFR 3474.20):* Grantees will be expected to adhere to Open Licensing requirements, which are:
 - a) Grantees (or subgrantees) must openly license to the public any grant deliverables created wholly or in part with Department competitive grant funds, and any copyrightable modifications to pre-existing works. Deliverables also include program support materials that are needed by stakeholders or the public to appropriately use the deliverables as intended by grantees.
 - b) The license must give permission for the public to access, reproduce, publicly perform, publicly display, and distribute the deliverable (and derivative works), and clearly communicate usage rights through a visible symbol, machine-readable code for digital resources, and readily accessed legal terms. Grantees have the flexibility to select licenses appropriate to their deliverables. Some examples of these licenses include a

General Public License (GPL), or other licenses for computer code, or Creative Commons licenses for educational resources.

- c) Grantees (or subgrantees) must have a plan to disseminate the openly licensed grant deliverables.

VII. Agency Contact

For further information, contact Karen Dorsey Hargrove via email at Karen.dorseyhargrove@ed.gov or by phone at 202-453-6695.
