

**U.S. Department of Education
Office of Elementary and Secondary Education
Office of Indian Education
Washington, D.C. 20202-6200**

Fiscal Year 2018

**Application for New Grants Under
The Indian Education Demonstration Grants Program
CFDA 84.299A**



Dated Material - Open Immediately

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Public Burden Statement:

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If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Amalia Cuervo, Office of Indian Education, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3W227, Washington, D.C. 20202.

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OFFICE OF ELEMENTARY AND SECONDARY EDUCATION
OFFICE OF INDIAN EDUCATION

United States Department of Education

Dear Colleague:

Thank you for your interest in the Indian Education Demonstration Grant program, administered by the Office of Elementary and Secondary Education of the U.S. Department of Education (Department).

Please take the time to review the applicable priorities, selection criteria, and all of the application instructions thoroughly. An application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the program (34 CFR 75.216 (b) and (c)).

This competition contains one absolute priority and four competitive preference priorities. The absolute priority is to fund Native Youth Community Projects (NYCP). We will award up to nine additional points to an application, depending on how well it meets one or more of the preference priorities.

For this competition, it is **mandatory** for applicants to use the government-wide website, Grants.gov (<https://www.grants.gov>), to apply. Please note that the Grants.gov site works differently than the U.S. Department of Education's e-Application System. We strongly encourage you to familiarize yourself with Grants.gov and strongly recommend that you register *and* submit early.

Using Fiscal Year (FY) 2018 funds, the Department expects to award \$25,619,740.00 for new grants under this competition. We will award discretionary grants on a competitive basis for a project period of up to 48 months. Grants are expected to be awarded by September 30, 2018.

Please visit our program website at <https://www2.ed.gov/about/offices/list/oese/oie/index.html> for further information. If you have any questions about the program after reviewing the application package, please contact Amalia Cuervo, NYCP Indian Education Demonstration Grants program, U.S. Department of Education, 400 Maryland Avenue, SW, room 3W227, Washington D.C. 20202- 6335

Tara Ramsey, Acting Director

Program Background Information

Program Overview

The purpose of the Demonstration Grants for Indian Children (Demonstration Grants) program is to provide financial assistance to projects that develop, test, and demonstrate the effectiveness of services and programs to improve the educational opportunities and achievement of preschool, elementary, and secondary Indian students.

Authority

This grant program is authorized under Section 6121 of the Elementary and Secondary Education Act, 20 U.S.C. 7441.

Official Documents Notice

The official document governing this competition is the Notice Inviting Applications (NIA) published in the Federal Register on **DATE**, 2018 (See Legal and Regulatory Documents of this application package). The NIA is also available electronically at the following Web sites: www.FederalRegister.gov and www.gpo.gov.

Eligible Applicants

Eligible applicants include a State educational agency (SEA), local educational agency (LEA), Indian tribe, Indian organization, federally supported elementary school or secondary school for Indian students (BIE), a tribal college or university, or a consortium of such entities. The definitions for eligible applicants, in addition to all applicable definitions, may be found in 34 CFR 263.20 at the following Website: https://www.ecfr.gov/cgi-bin/text-idx?SID=34732a1c0ea25c5062200c7087b80f1c&mc=true&node=se34.1.263_120&rgn=div8.

The absolute priority for NYCP requires that an applicant be a member of a partnership that includes at least one tribe (or its tribal education agency (TEA)) and at least one LEA or BIE-funded school. Applications will be rejected that do not include at least these two types of partners. Including as a partner an Indian organization or a tribal college or university does not satisfy the requirement under the absolute priority.

However, a tribal college or tribal nonprofit could apply without the tribe as partner if the application includes a tribal resolution that authorizes the tribal college to apply for this specific grant on behalf of the tribe.

Absolute Priority

The FY 2018 competition includes one absolute priority to fund Native Youth Community Projects. In accordance with 34 CFR 75.105(b)(2)(ii), the absolute priority is from the regulations at 34 CFR 263.21(c)(1) and 263.20.

Competitive Preference Priorities (DRAFT AND SUBJECT TO REVISION – to be updated with language from the final, published NIA):

The FY 2018 competition includes four competitive preference priorities. Under 34 CFR 75.105(c)(2)(i) we will award up to nine additional points to an application, depending on how well the application meets one or more of these priorities. These priorities are:

Competitive Preference Priority One (two points)

We award two points to an application proposing to serve a rural local community. To meet this priority, a project must include an LEA that is eligible under the Small Rural School Achievement (SRSA) or Rural and Low-Income School (RLIS) programs or a Department of the Interior, Bureau of Indian Education (BIE)-funded school that is located in an area designated by the U.S. Census Bureau with a locale code of 42 or 43.

Competitive Preference Priority Two three points)

Although all NYCP grantees are required to have an eligible Indian tribe (or its TEA) as a partner, we award three points to an application in which the lead partner is an eligible Indian tribe (or its TEA), an Indian organization, or a Tribal College or University (as defined in section 316(b) of the Higher Education Act of 1965). See the definition of Indian organization listed under Definitions in section I of this notice.

Competitive Preference Priority Three (two points)

We award two points to an application that meets one of the following criteria:

- (a) Designed to serve a local community within a federally designated Promise Zone; or
- (b) Submitted by a partnership or consortium in which the lead applicant or one of its partners has received a grant in the last four years under one or more of the following grant or enhancement programs:
 - (1) State Tribal Education Partnership ((ESEA section 6132).
 - (2) Indian Education Formula Grants (Title VI), 84.060
 - (3) Alaska Native Education Program (title VII, part C).
 - (4) Promise Neighborhoods (ESEA sections 4623-4624, 20 U.S.C. §§7273–7274).

Note: An application will not receive points for both (a) and (b). As a participant in the Administration’s Promise Zone Initiative, the Department is cooperating with the Departments of Housing and Urban Development (HUD) and, the Department of Agriculture (USDA) and nine other Federal agencies to support comprehensive revitalization efforts in 20 high-poverty urban, rural, and tribal communities across the country. Each application for NYCP funds that is accompanied by a Certification of Consistency with Promise Zone Goals and Implementation (HUD Form 50153) signed by an authorized representative of the lead organization of a Promise Zone designated by HUD or USDA supporting the application will receive four points, under Competitive Preference Priority 3(a). An application for NYCP grant funds that is not accompanied by a signed certification (HUD Form 50153) will not receive points under Competitive Preference Priority 3(a), but may still be eligible to receive points under Competitive Preference Priority 3(b) if it received one of the grants listed. To view the list of designated Promise Zones and lead organizations please go to www.hud.gov/promisezones. The certification form is available at:

<https://www.hudexchange.info/resource/4396/promise-zones-certification-form-and-guidance/>

Competitive Preference Priority Four (two points)

We award two points to an application that is designed to reduce academic or non-academic barriers to economic mobility and, therefore, increase educational opportunities for children, by addressing building greater effective family engagement in their students' education.

Program Contact

Please contact Amalia Cuervo by telephone at (202) 453-5612 or via email at NYCP.OIE@ed.gov after reviewing the application package if you have any questions about the program.

Project Period

The project period for this grant is 48 months (4 budget periods of 12 months each).

Note: Continuation of each successive grant period is subject to satisfactory performance, submission of an annual report, and availability of funds.

Grant Award Estimations

We estimate that awards will average \$575,000 within the range from \$500,000 to \$1,000,000. We expect to award 44 grants.

Application Due Date

Applications must be submitted on or before **DATE**, 2018. Please note that the Department of Education (Department) grant application deadlines are 4:30:00 P.M., Eastern Time.

Late applications will not be accepted. *We strongly suggest that you submit your application several days before the deadline.* The Department is required to enforce the established deadline to ensure fairness to all applicants. **No changes or additions to an application will be accepted after the deadline date and time.**

Application Submission

Submit applications for grants under the program electronically using *Grants.gov*. For information (including dates and times) about how to submit your application electronically, please refer to the Department's Common Instructions for Applicants to Department of Education Discretionary Grant Programs available at <https://www.gpo.gov/fdsys/pkg/FR-2018-02-12/pdf/2018-02558.pdf> and later in this application package. We do not consider an application that does not comply with the deadline requirements.

Project Director Time Commitment

Applicants are requested to provide the percentage of the Project Director's time that will be dedicated to the grant project if funded. For example, if the Project Director works 40 hours per week and spends 20 hours per week working on grant activities, then the time commitment for

the Project Director would be 50 percent. We suggest that applicants include this information in the budget narrative or add this information to the Project Director line on the Department of Education Supplement to the Standard Form 424.

E-mail Addresses

As part of our review of your application, we may need to contact you with questions for clarification. Please be sure your application contains valid e-mail addresses for the project director and authorized representative or another party designated to answer questions in the event the project director and authorized representative are unavailable.

Application Components

Include: Part 1:

Preliminary Documents

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

Part 2: Budget Information

- ED Budget Information Non-Construction Programs (ED Form 524)

Part 3: ED Abstract Form

- Project Abstract

Part 4: Project Narrative Attachment Form

- Application Narrative

Part 5: Budget Narrative Attachment Form

- Budget Narrative

Part 6: Other Attachments

Application Requirements Required of All Applicants

To be considered for an award under this competition, each eligible applicant must provide a detailed project narrative and budget narrative. Along with the application narrative, an applicant must submit its:

- Description of the defined geographic area to be served
- Needs Assessment or Other Data Analysis
- Signed and dated Partnership Agreement of the required partners
- Evidence of Capacity
- Evidence of Involvement of Indian Tribes and Parents
- Demonstration of Research Basis
- Description of Continuing Activities
- Individual Resumes for Project Directors & Key Personnel

When applicable, the applicant also must submit:

- Documentation of Indian Organization
- Request for Competitive Preference Three

- [Certification of Consistency with Promise Zone Goals and Implementation](#)
- Copy of the most recent approved Indirect Cost Rate Agreement
- Administrative Cost Limit Waiver Request
- Intergovernmental Review (Executive Order 12372) State Single Point of Contact (SPOC) List

Part 7: Assurances and Certifications

- Assurances for Non-Construction Programs (SF 424B Form)
- Disclosure of Lobbying Activities (Standard Form LLL)
- Grants.gov Lobbying Form (ED 80-0013 Form)
- General Education Provisions Act (GEPA) Requirements – Section 427 (ED GEPA 427 Form)

Optional

- Other Supporting Documentation

ISDEAA Hiring Preference Requirements

Awards that are primarily for the benefit of Indians are subject to the provisions of section 7(b) of the Indian Self-Determination and Education Assistance Act (Pub. L. 93-638). That section requires that, to the greatest extent feasible, a grantee--

(1) Give to Indians preferences and opportunities for training and employment in connection with the administration of the grant; and

(2) Give to Indian organizations and to Indian-owned economic enterprises, as defined in section 3 of the Indian Financing Act of 1974 ([25 U.S.C. 1452\(e\)](#)), preference in the award of contracts in connection with the administration of the grant.

For purposes of this section, an Indian is a member of any federally recognized Indian tribe.

Definitions

Educational choice means the opportunity for a child or student (or a family member on their behalf) to create a high-quality personalized path for learning that is consistent with applicable Federal, State, and local laws; is in an educational setting that best meets the child’s or student’s needs; and, where possible, incorporates evidence-based activities, strategies, or interventions. Opportunities made available to a student through a grant program are those that supplement what is provided by a child’s or student’s geographically assigned school or the institution in which he or she is currently enrolled and may include:

(1) Public educational programs or courses including those offered by traditional public schools, public charter schools, public magnet schools, public online education providers, or other public education providers; or

(2) Private or home-based educational programs or courses including those offered by private schools, private online providers, private tutoring providers, community or faith-based organizations, or other private education providers.

Evidence-based, when used with respect to a State, LEA, or school activity, means an activity, strategy, or intervention that—

(i) demonstrates a statistically significant effect on improving student outcomes or other relevant outcomes based on—

(I) strong evidence from at least 1 well-designed and well-implemented experimental study;

(II) moderate evidence from at least 1 well-designed and well-implemented quasi-experimental study; or

(III) promising evidence from at least 1 well-designed and well-implemented correlational study with statistical controls for selection bias; or

(ii)(I) demonstrates a rationale based on high-quality research findings or positive evaluation that such activity, strategy, or intervention is likely to improve student outcomes or other relevant outcomes;

and

(II) includes ongoing efforts to examine the effects of such activity, strategy, or intervention.

Federally supported elementary or secondary school for Indian students means an elementary or secondary school that is operated or funded, through a contract or grant, by the Bureau of Indian Education.

Indian means an individual who is--

(1) A member of an Indian tribe or band, as membership is defined by the Indian tribe or band, including any tribe or band terminated since 1940, and any tribe or band recognized by the State in which the tribe or band resides;

(2) A descendant of a parent or grandparent who meets the requirements described in paragraph

(1) of this definition;

(3) Considered by the Secretary of the Interior to be an Indian for any purpose;

(4) An Eskimo, Aleut, or other Alaska Native; or

(5) A member of an organized Indian group that received a grant under the Indian Education Act of 1988 as it was in effect on October 19, 1994.

Tribal College or University means an institution that qualifies for funding under the Tribally Controlled Colleges and Universities Assistance Act of 1978 (25 U.S.C.

1801 et seq.) or the Navajo Community College Act (25 U.S.C 640a et seq.).

Evidence-based, when used with respect to a State, local educational agency, or school activity, means an activity, strategy, or intervention that—

(i) demonstrates a statistically significant effect on improving student outcomes or other relevant outcomes based on—

(I) strong evidence from at least 1 well-designed and well-implemented experimental study;

(II) moderate evidence from at least 1 well-designed and well-implemented quasi-experimental

study; or

(III) promising evidence from at least 1 well-designed and well-implemented correlational study with statistical controls for selection bias; or

(ii)(I) demonstrates a rationale based on high-quality research findings or positive evaluation that such activity, strategy, or intervention is likely to improve student outcomes or other relevant outcomes;

and

(II) includes ongoing efforts to examine the effects of such activity, strategy, or intervention.

Indian organization means an organization that--

(1) Is legally established--

(i) By tribal or inter-tribal charter or in accordance with State or tribal law; and

(ii) With appropriate constitution, by-laws, or articles of

incorporation;

(2) Includes in its purposes the promotion of the education of Indians;

(3) Is controlled by a governing board, the majority of which is Indian;

(4) If located on an Indian reservation, operates with the sanction of or by charter from the governing body of that reservation;

(5) Is neither an organization or subdivision of, nor under the direct control of, any institution of higher education; and

(6) Is not an agency of State or local government.

Native youth community project means a project that is--

(1) Focused on a defined local geographic area;

(2) Centered on the goal of ensuring that Indian students are prepared for college and careers;

(3) Informed by evidence, which could be either a needs assessment conducted within the last three years or other data analysis, on--

(i) The greatest barriers, both in and out of school, to the readiness of local Indian students for college and careers;

(ii) Opportunities in the local community to support Indian students; and

(iii) Existing local policies, programs, practices, service providers, and funding sources;

(4) Focused on one or more barriers or opportunities with a community-based strategy or strategies and measurable objectives;

(5) Designed and implemented through a partnership of various entities, which--

(i) Must include--

(A) One or more tribes or their tribal educational agencies; and

(B) One or more BIE-funded schools, one or more local educational

agencies, or both; and

(ii) May include other optional entities, including community-based organizations, national nonprofit organizations, and Alaska regional corporations; and

(6) Led by an entity that--

(i) Is eligible for a grant under the Demonstration Grants for Indian Children program; and;

(ii) Demonstrates, or partners with an entity that demonstrates, the capacity to improve outcomes that are relevant to the project focus through experience with programs funded through other sources.

FREQUENTLY ASKED QUESTIONS (FAQs)

These FAQs are designed to provide Demonstration Grants applicants with information about the 2018 competition.

(Updated table and FAQs to be included below once finalized).

Notice of Intent to Apply

The Department will be able to review grant applications more efficiently if we know the approximate number of applicants that intend to apply. Therefore, the Assistant Secretary strongly encourages each potential applicant to notify us of their intent to submit an application for funding no later than **TBD**, 2018. To do so, please email NYCP.OIE@ed.gov with the subject line “Intent to Apply,” and include the following information:

1. Applicant's name, mailing address, and phone number;
2. Contact person's name and email address;
3. A defined local geographic community to be served;
4. Name(s) of partnering LEA(s) or BIE-funded school(s);
5. Name(s) of partnering tribe(s) or TEA(s); and
6. If appropriate, name(s) of other partnering organization(s).

Applicants that do not submit a notice of intent to apply may still apply for funding; applicants that do submit a notice of intent to apply are not bound to apply or bound by the information provided.

Technical Assistance Workshop

The Department intends to hold a pre-application webinar designed to provide technical assistance to interested applicants. Information about webinar times and instructions for registering are on the Department Web site at <http://www2.ed.gov/programs/indiandemo/applicant.html>. Please check the site regularly for updates.

Tips for Preparing and Submitting an Application

Beginning the Application Process

- Read this application package in its entirety, including the NIA, and make sure you follow all of the instructions.
- Read the Common Instructions for Applicants to Department of Education Discretionary Grant Programs at <https://www.gpo.gov/fdsys/pkg/FR-2018-02-12/pdf/2018-02558.pdf> and included in this application package for your quick reference.
- Read the Frequently Asked Questions section in this application package.
- If you do not understand an instruction or requirement, contact Amalia Cuervo, U.S. Department of Education, Office of Indian Education, Room 3W113, Washington, D.C. 20202. By email: NYCP.OIE@ed.gov for information about this grant competition.

Preparing Your Application

- Organize your narrative according to the selection criteria headings and respond comprehensively.
- Be thorough in your responses. Write so that someone who knows nothing about your community and the proposed activities, curricula, programs, and services can understand what you are proposing and why.
- Make sure your budget provides sufficient itemization and detailed descriptions about planned expenditures so Department staff can easily determine how amounts were calculated.
- Link your planned expenditures to the proposed activities, curricula, programs, and services. Do not request funds for miscellaneous purposes. Make sure you demonstrate that your proposed expenditures are necessary to carry out your program.

Submitting Your Application

- Use the checklist provided in this application package to ensure your application is complete before submitting it.
- Make sure all required forms are included and signed by an Authorized Representative of your organization.
- Transmit your application by the deadline date and time. When submitting your application electronically, you must use Grants.gov at: www.grants.gov. Unless you qualify for an exception in accordance with the instructions found in Common Instructions for Applicants to Department of Education Discretionary Grant Programs available at <https://www.gpo.gov/fdsys/pkg/FR-2018-02-12/pdf/2018-02558.pdf>, and in this application package, you must submit your application electronically.

What Happens Next?

- 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 <https://www.grants.gov/web/grants/applicants/track-my-application.html>. Please refer to this PR/Award number if you need to contact us about your application.
- The Department screens each application to ensure that all program eligibility requirements are met and that all forms are included and signed by the Authorized

Representative. Ineligible applicants will receive a notification letter, including the reasons for ineligibility.

- If eligible, your application will be assigned to a panel of independent reviewers who will evaluate and score your proposal according to the selection criteria in this package. Your application will receive a score from 0 to 100, not including competitive preference priority (CPP) points (up to 9 CPP points possible), depending upon how well it addresses the selection criteria.
- A Grant Award Notification will be sent to applicants whose proposals rank high enough to be awarded a grant. Both successful and unsuccessful applicants will receive peer reviewers' comments approximately 6 to 8 weeks after grant awards are announced. Unsuccessful applicants will also receive a notification letter. Please be sure your application contains a valid mailing address for both the Project Director and the Authorized Representative so that reviewers' comments can be successfully delivered.

Application Submission Procedures

The deadline for submission of Indian Education Demonstration Grants Program applications through Grants.gov is **DATE**, 2018, 4:30:00 p.m., Eastern Time.

Application Transmittal Instructions

Attention Electronic Applicants: This program **requires** the electronic submission of applications--specific requirements and instructions can be found in the Common Instructions for Applicants to Department of Education Discretionary Grant Programs ("Common Instructions"), published in the *Federal Register* on February 12, 2018 ([83 FR 6003](#)).

Please note that you **must** follow the Application Procedures as described in the Common Instructions ([83 FR 6003](#)).

We will reject your application if you submit it in paper format unless, as described in the Common Instructions ([83 FR 6003](#)), you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions.

Applications Submitted Electronically

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

Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system **no later than 4:30:00 p.m., Eastern Time, on the application deadline date**. Except as otherwise noted in the Common Instructions ([83 FR 6003](#)), we will not consider your application if it is date and time stamped by the Grants.gov system later than 4:30:00 p.m.,

Eastern Time, on the application deadline date.

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

Please note the following:

- You must attach any narrative sections of your application as files in a **.pdf** (Portable Document) format. Do not upload an interactive or fillable PDF file. **If you upload a file type other than a read-only, non-fillable PDF (e.g., Word, Excel, WordPerfect, etc.) or submit a password-protected file, we will be unable to review that material.**
- Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.
- When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters. The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.
- Your electronic application should comply with any page-limit recommendations described in this application package.
- If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

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

Submission of Paper Applications by Mail:

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

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.299A) LBJ Basement Level 1
400 Maryland Avenue, S.W. Washington, DC 20202-4260

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

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

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

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

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

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

Note for Mail of Paper Applications:

If you mail your application to the Department--

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

Submitting Applications with Adobe Reader Software

The Department of Education, working with Grants.gov, is currently using Adobe Reader software exclusively and applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms.

Please note: The compatible version of Adobe Reader is **required** for viewing, editing and submitting a complete grant application package for the Department of Education 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 <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.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, a compatible version of Adobe Reader is available for free download at <https://www.grants.gov/web/grants/applicants/adobe-software-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/applicants/adobe-software-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 1-800-518-472.

Grants.gov Submission Procedures and Tips for Applicants

Grants.gov Submission Procedures and Tips for Applicants

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

Browser Support

The latest versions of Microsoft Internet Explorer (IE), Mozilla Firefox, Google Chrome, and Apple Safari are supported for use with Grants.gov. However, these web browsers undergo frequent changes and updates, so we recommend you have the latest version when using Grants.gov. Legacy versions of these web browsers may be functional, but you may experience issues.

For additional information or updates, please see the Grants.gov Browser information in the Applicant FAQs: <http://www.grants.gov/web/grants/applicants/applicant-faqs.html#browser>

ATTENTION – Workspace, Adobe Forms and PDF Files Required

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different web forms within an application. For each funding opportunity announcement (FOA), you can create individual instances of a workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities, refer to: <https://www.grants.gov/web/grants/applicants/workspace-overview.html>

- 1) Create a Workspace: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
- 2) Complete a Workspace: Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.
 - a. Adobe Reader: If you decide not to apply by filling out web forms you can download

individual PDF forms in Workspace. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader. NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at: <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>

b. Mandatory Fields in Forms: In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.

c. Complete SF-424 Fields First: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS Number. Once it is completed, the information will transfer to the other forms.

3) Submit a Workspace: An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab.

Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.

4) Track a Workspace Submission: After successfully submitting a workspace application, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

For additional training resources, including video tutorials, refer to <https://www.grants.gov/web/grants/applicants/applicant-training.html>

Helpful Reminders

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: <https://www.grants.gov/web/grants/register.html> [Note: Your organization will need to update its SAM registration annually.]

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 of Education has prepared a SAM.gov Tip Sheet which you can find at: <https://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., Eastern 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.

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., Eastern Time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

Once the Department of Education 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., Eastern 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/encountering-error-messages.html>. For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Software Tip Sheet at <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.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 email at: <mailto:support@grants.gov> or access the Grants.gov Self-Service Knowledge Base web portal at: <https://grants-portal.psc.gov/Welcome.aspx?pt=Grants>

If electronic submission is required, you must submit an electronic application before 4:30:00 p.m. Washington, DC time, 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. 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. (See the Federal Register notice for detailed instructions.)

Helpful Hints When Working with Grants.gov

Please go to <http://www.grants.gov/web/grants/support.html> for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Applicant FAQs found at this Grants.gov link: <http://www.grants.gov/web/grants/applicants/applicant-faqs.html> as well as additional information on Workspace at <https://www.grants.gov/web/grants/applicants/applicant-faqs.html#workspace>.

Dial-Up Internet Connections

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

Attaching Files – Additional Tips

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

- Ensure that you attach **.PDF files only** for any attachments to your application, and they must be in a **read-only, flattened format**. PDF files are the only Education 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.
- 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.
- When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded file names must be fewer than 50 characters, and, in general, applicants should not use any special characters. However, Grants.gov does allow for the following UTF-8 characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.
- 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 with all attachments is less than 5 MB. Therefore, you may want to check the total size of your package before submission.

Application Instructions

Electronic Application Format

Applications for grants under this competition must be submitted electronically, unless you qualify for an exception to the electronic submission requirement in accordance with the instructions in the Common Instructions for Applicants to Department of Education Discretionary Grant Programs (<https://www.gpo.gov/fdsys/pkg/FR-2018-02-12/pdf/2018-02558.pdf>) and in this application package under Application Submission Procedures.

In accordance with 34 CFR 75.216 (b) and (c) 34 CFR 75.216 (b) and (c) application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the program.

Important note: Applications submitted to Grants.gov for the Department of Education will be posted using web forms and Adobe forms. Therefore, applicants will need to download a compatible version of Adobe reader (see Grants.gov for compatible versions).

Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov. Also, please review the **Application Submission Procedures** and in particular the **Grants.gov Submission Procedures and Tips for Applicants** forms found within this package for further information and guidance related to this requirement.

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. 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.

Note: Please do not attach any narratives, supporting files, or application components to any forms unless it is specifically required by the instructions for the individual section of the application. Although several forms accept attachments, the Department of Education will only review materials/files attached in accordance with the instructions provided within this application package.

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: Budget Information

- ED Budget Information Non-Construction Programs (ED Form 524)

Part 3: ED Abstract Form

- Project Abstract

Part 4: Project Narrative Attachment Form

- Application Narrative

Part 5: Budget Narrative Attachment Form

- Budget Narrative

Part 6: Other Attachments *Required of All Applicants*

- Description of the defined geographic area to be served
- Needs Assessment or other Data Analysis
- Signed Partnership Agreement
- Evidence of Capacity
- Evidence of Involvement of Indian Tribes and Parents
- Demonstration of Research Basis
- Description of Continuing Activities
- Individual Resumes for Project Directors & Key Personnel

Required, if Applicable

- Documentation of Indian Organization
- Request for Competitive Preference Priority Three
- [Certification of Consistency with Promise Zone Goals and Implementation](#)
- Copy of the Indirect Cost Rate Agreement
- Administrative Cost Limit Waiver Request

Part 7: Assurances and Certifications

- Assurances for Non-Construction Programs (SF 424B Form)
- Disclosure of Lobbying Activities (Standard Form LLL)
- Grants.gov Lobbying Form (ED 80-0013 Form)
- General Education Provisions Act (GEPA) Requirements – Section 427 (ED GEPA 427 Form)

Optional

- Other Supporting Documentation

Part 8: Intergovernmental Review (Executive Order 12372)

State Single Point of Contact (SPOC) List

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 (SAM).

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 of Education will only review materials/files attached in accordance with the instructions provided within this application.*

Instructions for the SF-424

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

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

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

Item	Entry:	Item	Entry:
1.	Type of Submission: (Required): Select one type of submission in accordance with agency instructions. A. Preapplication B. Application C. Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.	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. • 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. A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify)	12.	Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number 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: List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
3.	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 preapplications, attach a summary description of the project.
4.	Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or 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: (Required) 16a. Enter the applicant’s Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5 th district, CA-012 for California 12 th district, NC-103 for North Carolina’s 103 rd district. <ul style="list-style-type: none"> • 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.
5b.	Federal Award Identifier: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		
6.	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 name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.	17.	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
	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 the Grants.gov website.		

	<p>d. Address: Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p>		<p>change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.</p>		
	<p>e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p>	19.	<p>Is Application Subject to Review by State Under Executive Order 12372 Process? Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If “a.” is selected, enter the date the application was submitted to the State</p>		
	<p>f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>	20.	<p>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 debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>		
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0" style="width: 100%;"> <tr> <td style="vertical-align: top; width: 50%;"> <ul style="list-style-type: none"> • State Government • County Government • City or Township Government • Special District Government • Regional Organization • U.S. Territory or Possession • Independent School District • Public/State Controlled Institution of Higher Education • Indian/Native American Tribal Government (Federally Recognized) • Indian/Native American Tribal Government (Other than Federally Recognized) • Indian/Native American Tribally Designated Organization • Public/Indian Housing Authority </td> <td style="vertical-align: top; width: 50%;"> <ul style="list-style-type: none"> • Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) • Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) • Private Institution of Higher Education • Individual • For-Profit Organization (Other than Small Business) • Small Business • Hispanic-serving Institution • Historically Black Colleges and Universities (HBCUs) • Tribally Controlled Colleges and Universities (TCCUs) • Alaska Native and Native Hawaiian Serving Institutions • Non-domestic (non-US) Entity • Other (specify) </td> </tr> </table>	<ul style="list-style-type: none"> • State Government • County Government • City or Township Government • Special District Government • Regional Organization • U.S. Territory or Possession • Independent School District • Public/State Controlled Institution of Higher Education • Indian/Native American Tribal Government (Federally Recognized) • Indian/Native American Tribal Government (Other than Federally Recognized) • Indian/Native American Tribally Designated Organization • Public/Indian Housing Authority 	<ul style="list-style-type: none"> • Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) • Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) • Private Institution of Higher Education • Individual • For-Profit Organization (Other than Small Business) • Small Business • Hispanic-serving Institution • Historically Black Colleges and Universities (HBCUs) • Tribally Controlled Colleges and Universities (TCCUs) • Alaska Native and Native Hawaiian Serving Institutions • Non-domestic (non-US) Entity • Other (specify) 	21.	<p>Authorized Representative: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.</p> <p>A copy of the governing body’s authorization for you to sign this application as the official representative must be on file in the applicant’s office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p>
<ul style="list-style-type: none"> • State Government • County Government • City or Township Government • Special District Government • Regional Organization • U.S. Territory or Possession • Independent School District • Public/State Controlled Institution of Higher Education • Indian/Native American Tribal Government (Federally Recognized) • Indian/Native American Tribal Government (Other than Federally Recognized) • Indian/Native American Tribally Designated Organization • Public/Indian Housing Authority 	<ul style="list-style-type: none"> • Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) • Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) • Private Institution of Higher Education • Individual • For-Profit Organization (Other than Small Business) • Small Business • Hispanic-serving Institution • Historically Black Colleges and Universities (HBCUs) • Tribally Controlled Colleges and Universities (TCCUs) • Alaska Native and Native Hawaiian Serving Institutions • Non-domestic (non-US) Entity • Other (specify) 				

[U.S Department of Education note: As of early 2018, the FON discussed in Block 12 of the instructions can be found via the following URL:
[http://www.grants.gov/web/grants/search-grants.html.](http://www.grants.gov/web/grants/search-grants.html)]

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 eight 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/search.aspx?styp=bsc>) 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.

Public 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. Public reporting burden for this collection of information is estimated to average 20 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. The obligation to respond to this collection is required to obtain or retain benefit (20 USC 3474 General Education Provisions Act). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or

email ICDocketMgr@ed.gov and reference the OMB Control Number 1894-0007. Note: Please do not return the completed ED SF 424 Supplemental Form to this address.

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 (i) information or biospecimens through intervention or interaction with the individual and uses through intervention or interaction with the individual and uses, studies, or analyzes the information or biospecimens, or (ii) obtains, uses, studies, analyzes, or generate identifiable private information or identifiable biospecimens. "

*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. 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 eight categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, that specifically involves normal educational practices that are not likely to adversely impact students' opportunity to learn required educational content or the assessment of educators who provide instruction. This includes most research on regular and special education instructional strategies, and 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 that only includes interactions involving educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior (including visual or auditory recordings) if at least one of the following criteria is met: (i) the information obtained is recorded by the investigator in such a manner that the identity of the human subjects cannot readily be ascertained, directly or through identifiers linked to the subjects; (ii) Any disclosure of the human subjects' responses outside the research would not reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, educational advancement or reputation; or (iii) the information obtained is recorded by the investigator in such a manner that the identity of the human

subjects can readily be ascertained, directly or through identifiers linked to the subjects, and an IRB conducts a “limited IRB review” to make the determinations required by 34 CFR 97.111(a)(7).

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 benign behavioral interventions in conjunction with the collection of information from an adult subject through verbal or written responses (including data entry) or audiovisual recording if the subject prospectively agrees to the intervention and information collection and at least one of the following criteria is met: (A) The information obtained is recorded by the investigator in such a manner that the identity of the human subjects cannot readily be ascertained directly or through identifiers linked to the subjects; (B) Any disclosure of the human subjects’ responses outside the research would not reasonably place the subjects at risk of criminal or civil liability or be damaging to the subject’s financial standing, employability, educational advancement or reputation; or (C) The information obtained is recorded by the investigator in such a manner that the identity of the human subjects can readily be ascertained, directly or through identifiers linked to the subjects, and an IRB conducts a limited IRB review to make the determination required by 34 CFR 97.111(a)(7).

For the purpose of this provision, benign behavioral interventions are brief in duration, harmless, painless, not physically invasive, not likely to have a significant adverse lasting impact on the subjects, and the investigator has no reason to think the subjects will find the interventions offensive or embarrassing. Provided all such criteria are met, examples of such benign behavioral interventions would include having the subject play an online game, having them solve puzzles under various noise conditions, or having them decide how to allocate a nominal amount of received cash between themselves and someone else.

If the research involves deceiving the subjects regarding the nature or purposes of the research, this exemption is not applicable unless the subject authorizes the deception through a prospective agreement to participate in research in circumstances in which the subject is informed that he or she will be unaware of or misled regarding the nature or purposes of the research.

(4) Secondary Research for which Consent is not required. Secondary research uses of identifiable private information or

identifiable biospecimens, if at least one of the following criteria is met: (i) The identifiable private information or identifiable biospecimens are publicly available; (ii) Information, which may include information about biospecimens, is recorded by the investigator in such a manner that the identity of the human subjects cannot readily be ascertained directly or through identifiers linked to the subjects, the investigator does not contact the subjects, and the investigator will not re-identify subjects; (iii) the research involves only information collection and analysis involving the investigators’ use of identifiable health information when that use is regulated under 45 CFR parts 160 and 164, subparts A and E, for the purposes of “health care operations” or “research” as those terms are defined at 45 CFR 164.501 or for “public health activities and purposes” as described under 45 CFR 164.512 (b); or (iv) The research is conducted by, or on behalf of, a Federal department or agency using government-generated or government-collected information obtained for nonresearch activities, if the research generates identifiable private information that is or will be maintained on information technology that is subject to and in compliance with section 208(b) of the E-Government Act of 2002, 44 USC 3501 note, if all of the identifiable private information collected, used or generated as part of the activity will be maintained in systems of records subject to the Privacy Act of 1974, 5 USC 552a, and, if applicable, the information used in the research was collected subject to the Paperwork Reduction Act of 1995, 44 USC 3501 et seq.

(5) Research and demonstration projects that are conducted or supported by a Federal department or agency, or otherwise subject to the approval of department or agency heads (or otherwise subject to the approval of department or agency heads (or the approval of the heads of bureaus or other subordinate agencies that have been delegated authority to conduct the research and demonstration projects), and that are designed to study, evaluate, improve, or otherwise examine public benefit or service programs, including procedures for obtaining benefits or services under those programs, possible changes in or alternative to those programs or procedures, or possible changes in methods or levels of payment for benefits or services under those programs. Such projects include, but are not limited to, internal studies by Federal employees, and studies under contracts or consulting arrangements, cooperative agreements, or grants. Exempt projects also include waivers of otherwise mandatory requirements using authorities such as sections 1115 and 1115A of the Social Security Act as amended.

Each Federal department or agency conducting or supporting the research and demonstration projects must establish, on a publicly accessible Federal website or in such other manner as the department or agency head may determine, a list of the research and demonstration projects that the Federal department or agency conducts or supports under this provision. The research or demonstration project must be published on this list prior to commencing the research involving human subjects.

(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.

(7) Storage or Maintenance for Secondary Research for which Broad Consent is required. Storage or maintenance of identifiable private information or identifiable biospecimens for potential secondary research use if an IRB conducts a limited IRB review and makes the determinations requires by 34 CFR 97.111(a)(8).

(8) Secondary Research for which Broad Consent is Required. Research involving the use of identifiable private information or identifiable biospecimens for secondary research use if the following criteria are met: (i) Broad Consent for the storage, maintenance and secondary research use of the identifiable private information or identifiable biospecimens was obtained in accordance with 34 CFR 97.116(a) (1)-(4), (a) (6) and (d); (ii) Documentation of informed consent or waiver of documentation of consent was obtained in accordance with 34 CFR 97.117. (iii) an IRB conducts a limited IRB review and makes the determination that the research to be conducted is within the scope of the broad consent referenced in paragraph (d)(8)(i) of this section; and (iv) The investigator does not prevent an investigator from abiding by any legal requirements to return individual research results.

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, include information about each, labeling the responses as to the project they address. For applications that include multiple research projects this can be done in a single narrative or in more than one narrative as appropriate.

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: Budget Information

ED Budget Information Non-Construction Programs (ED Form 524)

This part of your application contains information about the Federal funding you are requesting. Remember that you must provide all requested budget information for each year of the project (up to 48 months) and the total column in order to be considered for Federal funding. Specific instructions for completing the budget forms are provided within this application package.

Instructions for completing ED Form 524 Section A:

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. Applicants are strongly encouraged to budget funds for a representative from the partnering entities to accompany the project director in attending a Project Director's Meeting in the first three years of the grant.

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.

Note: Administrative costs are limited by statute to 5% of the total grant award.

Indirect Costs (line 10): Indicate the applicant's approved indirect cost rate, per 34 CFR 75.560 – 75.564. If an applicant's approved indirect cost rate agreement with a cognizant Federal agency has expired and the applicant wishes to charge indirect costs to the grant, the applicant may use a temporary rate of 10 percent of budgeted direct salaries and wages while it negotiates a rate with its cognizant agency, per 34 CFR 75.560. An applicant with no previous ICR can use a de minimis rate of 10 percent of modified total direct costs (MTDC); these applicants do not need to negotiate for this rate (2 CFR 200.414(f)).

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 be 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).**

Instructions for ED 524

General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. You may access the Education Department General Administrative Regulations cited within these instructions at:

<http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>. You may access requirements from 2 CFR 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards" cited within these instructions at:

<https://www.federalregister.gov/articles/2013/12/26/2013-30465/uniform-administrative-requirements-cost-principles-and-audit-requirements-for-federal-awards>.

Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a break-down by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

Indirect Cost Information: If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office.

(1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. If you checked "no," ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages (**complete (4) of this section when using the temporary rate**) subject to the following limitations:

- (a) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after ED issues a grant award notification; 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.

(2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In

addition, indicate whether ED, another Federal agency (Other) or State agency issued the approved agreement. If you check "Other," specify the name of the Federal or other agency that issued the approved agreement.

(3): If you check "no" in (1), indicate in (3) if you want to use the de minimis rate of 10 percent of MTDC (see 2 CFR 200.68). If you use the de minimis rate, you are subject to the provisions in 2 CFR 200.414(f). Note: you may only use the 10 percent de minimis rate if you are a first-time Federal grant recipient, and you do not have an Approved Indirect Cost Rate Agreement. You may not use the de minimis rate if you are a State, Local government, or Indian Tribe, or if your grant is funded under a training rate or restricted rate program.

(4): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement, or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide cost-sharing or matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

Section C - Budget Narrative [Attach separate sheet(s)] Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable **to each sub-project or activity**.
2. For non-Federal funds or resources listed in Section B that are used to meet a cost-sharing or matching requirement or provided as a voluntary cost-sharing or matching commitment, you must include:

- a. The specific costs or contributions by budget category;
- b. The source of **the costs or contributions; and**
- c. In the case of third-party in-kind contributions, a description of how the value was determined for the donated or contributed goods or services.

[Please review cost sharing and matching regulations found in 2 CFR 200.306.]

3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

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

5. Provide other explanations or comments you deem necessary.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1894-0008**. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form, write directly to the Office of Indian Education, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

Part 3: 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 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 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.

When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded file names must be fewer than 50 characters, and, in general, applicants should not use any special characters. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.

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.

□ Project Abstract

The project abstract should not exceed two double spaced pages and should identify the applicant, including all consortium members (i.e., the tribe(s), Tribal Colleges and Universities,, and the LEA(s) or Bureau-funded school(s)) if applicable, and should concisely describe the following:

- The purpose and expected outcomes of the project
- Applicable priorities
- Number of participants to be served
- The number and location of proposed sites
- How the project will conduct activities to assist participants in identifying and securing qualifying employment
- The Indian tribes involved in the project

Note: Grants.gov may include a note that indicates that the project abstract may not exceed one page; however, an abstract of more than one page may be uploaded.

Part 4: 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, flattened .pdf files). Also, do not upload any password-protected files to your application.

When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded file names must be fewer than 50 characters, and, in general, applicants should not use any special characters. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department. 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.

Table of Contents

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

Application Narrative

The application narrative is where the applicant addresses the selection criteria that reviewers use to evaluate the application. The applicant can address many regulatory and application requirements of NYCP by responding in full to each selection criteria. If the applicant addresses them in the application narrative then no further evidence of meeting these requirements is needed. However, if they are not addressed in the application narrative then the application is ineligible for review.

The recommended page limit for the application narrative is **30** pages. The suggested standards for the narrative include:

- A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

The recommended page limit does not apply to the cover sheet; the budget section, including the budget narrative justification; the consortium agreement or partnership agreement; the assurances and certifications; or the abstract, the resumes, the bibliography, or other required attachments.

Note: In drafting the project narrative, applicants should keep in mind that peer reviewers must consider only the information provided in the written project narrative when scoring and commenting on the application. Therefore, applicants should draft their project narratives with the

goal of helping peer reviewers understand how the narrative content addresses the selection criteria.

Selection Criteria for Project Narrative

The maximum score for all criteria is 100 points. The points or weight assigned to each criterion are indicated in parentheses. Non-Federal peer reviewers will review each application. They will be asked to evaluate and score each program narrative against the following selection criteria. The applicant must address all the following criteria, which come from 34 CFR 75.210 as well as the Notice of Final Regulations, published in the Federal Register on April 22, 2015.

Selection Criteria	Maximum Points
Need for Project	15 points
Quality of the Project Design	30 points
Quality of Project Personnel	10 points
Adequacy of Resources	10 points
Quality of the Management Plan	25 points
Quality of Project Evaluation	10 points

Panel readers will award points only for an applicant’s response to a given selection criterion that is contained within the section of the application designated to address that particular selection criterion. Readers will not review, or award points for responses to a given selection criterion that are in any other section of the application or appendices. However, readers will use the information contained within the Budget and Budget Narrative sections of the application to award points for relevant selection criteria responses.

In describing the proposed project, applicants should address the six selection criteria in the order in which they are listed.

Need for Project (Maximum 15 points). The Secretary considers the need for the proposed project. In determining the need for the proposed project, the Secretary considers the following factor:

The extent to which the project is informed by evidence, which could be either a needs assessment conducted within the last three years or other data analysis, of:

- (1) (Up to 5 points) The greatest barriers both in and out of school to the readiness of local Indian students for college and careers;
- (2) (Up to 5 points) Opportunities in the local community to support Indian students; and
- (3) (Up to 5 points) Existing local policies, programs, practices, service providers, and funding sources.

Note: In addressing this criterion, applicants may want to consider including sufficient information for the readers to assess the quality of the evidence.

Quality of the Project Design (Maximum 30 points). The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers the following factors:

- (i) (Up to 4 points) The extent to which the project is focused on a defined local geographic area.
- (ii) (Up to 6 points) The extent to which the proposed project is based on scientific research, where

applicable, or an existing program that has been modified to be culturally appropriate for Indian students.

(iii)(Up to 7 points) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.

(iv) (Up to 8 points) The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs.

(v) (Up to 5 points) The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project services.

Quality of Project Personnel (Maximum 10 points). The Secretary considers the quality of the personnel who will carry out the proposed project. In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. In addition, the Secretary considers the following factors:

(i) (Up to 4 points) The qualifications, including relevant training and experience, of the project director or principal investigator.

(ii) (Up to 3 points) The qualifications, including relevant training and experience, of key project personnel.

(iii) (Up to 3 points) The extent to which the applicant, or one of its partners, demonstrates capacity to improve outcomes that are relevant to the project focus through experience with programs funded through other sources.

Note: Please note that section 7(b) of the Indian Self-Determination and Education Assistance Act requires that to the greatest extent feasible, a grantee must give to Indians preference and opportunities in connection with the administration of the grant, and give Indian organizations and Indian-owned economic enterprises, as defined in section 3 of the Indian Financing Act of 1974 ([25 U.S.C. 1452\(e\)](#)), preference in the award of contracts in connection with the administration of the grant.

Adequacy of Resources (Maximum 10 points). The Secretary considers the adequacy of resources for the proposed project. In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:

(i) (Up to 5 points) The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project.

(ii) (Up to 5 points) The extent to which the costs are reasonable in relation to the number of persons to be served and to the anticipated results and benefits.

Quality of the Management Plan (Maximum 25 points). The Secretary considers the quality of the management plan for the proposed project. In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

(i) (Up to 15 points) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.

(ii) (Up to 5 points) The extent to which Indian tribes and parents of Indian children have been, and will be, involved in developing and implementing the proposed activities.

(iii) (Up to 5 points) The extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance.

Quality of the Project Evaluation (Maximum 10 points). The Secretary considers the quality of the evaluation to be conducted of the proposed project. In determining the quality of the evaluation, the Secretary considers the following factor:

(i) (Up to 7 points) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes

(Up to 3 points) The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings.

Important note about the project evaluation: A strong evaluation plan should be included in the application narrative and should be used, as appropriate, to shape the development of the project from the beginning of the grant period. The plan should include benchmarks to monitor progress toward specific project objectives and also outcome measures to assess the impact on teaching and learning or other important outcomes for project participants. More specifically, the plan should identify the individual and/or organization that have agreed to serve as evaluator for the project and describe the qualifications of that evaluator.

The plan should describe the evaluation design, indicating: (1) what types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports of results and outcomes will be available; and (7) how the applicant will use the information collected through the evaluation to monitor progress of the funded project and to provide accountability information both about success at the initial site and effective strategies for replication in other settings. Applicants are encouraged to devote an appropriate level of resources to project evaluation.

Part 5: Budget Narrative

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

When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded file names must be fewer than 50 characters, and, in general, applicants should not use any special characters. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.

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.

Each application must provide a Budget Narrative (which serves to meet the requirements of ED Form 524, Section C) for requested Federal funds. The Budget Narrative for requested Federal funds should provide a justification of how the money requested for each budget item will be spent.

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 (up to 48 months).

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, program office staff, and project staff to understand how requested funds will be used, how much will be expended, and the relationship between the requested funds, project activities, and anticipated outcomes.

Important Note

Applicants are encouraged to review the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in [2 CFR part 200](https://www.ecfr.gov/current/title-2/chapter-I/subchapter-A/part-200), as adopted and amended in [2 CFR part 3474](https://www.ecfr.gov/current/title-2/chapter-I/subchapter-A/part-3474).

Suggested Guidelines for the Budget Narrative

In accordance with 34 CFR 75.232, Department staff perform a cost analysis of each recommended project to ensure that costs relate to the activities and objectives of the project and 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 of the contract and its 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 the basis for cost estimates or computations.

Note: see **Important Information Regarding Professional Services Contracts** below.

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 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 rate agreement in the Other Attachments section of the application. The indirect cost rate agreement establishes the maximum amount of indirect costs the applicant may charge to the grant. However, applicants are not required to use the full negotiated indirect cost rate, and may choose to devote greater resources to direct costs. Additionally, see **Important Information Regarding Indirect Costs** below.

11. Training Stipends

- Not applicable.

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 period (up 48 months)

Statutory Administrative Cost Limit

- Due to a statutory limitation, budgets cannot include administrative costs that exceed 5% of the total costs of the grant.
- We note that certain costs, such as travel, the project director salary, and evaluation, may not necessarily all be administrative but may be partly direct program cost and partly administrative.
- Please describe in sufficient detail the costs and the parts of the budget lines that you include in the calculation of administrative costs.

Note: We expect that most applicants will be able to stay within the statutory 5% maximum administrative cost. However, in unusual circumstances and to limited extent to be determined on a case-by-case basis, the Department may waive the 5% maximum administrative cost. Any applicant seeking such a waiver must include a waiver request addressing the statutory waiver criteria as part of its grant application (See Part 6: Other Attachments). Please note that it is within the discretion of the U.S. Department of Education whether to approve a particular request. Further, to the extent that the scope and objectives of an application are contingent upon approval of a waiver request, the Department's decision to deny a particular waiver request could negatively impact that application.

Important Information Regarding Professional Services Contracts

Generally, applicants other than States must comply with the procurement requirements in 2 CFR 200.318 through 200.326 and States must follow the same policies and procedures they use for procurements from their non-Federal funds.

However, there are two exceptions. Under 34 CFR 75.135(a), an applicant may contract, without regard to the procurement procedures in 2 CFR part 200, to obtain services from an entity that provides a site or sites where the applicant would conduct the project activities. Also, under 34 CFR 75.135(b), an applicant may use the small purchase procedures authorized under 2 CFR 200.320(b) to procure data collection, data analysis, evaluation services, or other essential services that are needed to meet a statutory, regulatory, or priority requirement related to the competition.

If you relied on either of these exceptions please contact Amalia Cuervo by phone at (202) 456-5612 or via e-mail at NYCP.OIE@ed.gov for additional guidance.

Important Information Regarding Indirect Costs

The Department reimburses grantees for the portion of indirect costs that a grantee incurs on a project funded by the Demonstration Grants program (CFDA Number 84.299A).

If an applicant has a current ICR agreement and intends to charge indirect costs to the Demonstration grant, the applicant must submit a copy of the ICR agreement as part of its application. The ICR agreement must be negotiated with and approved by the grantee's cognizant agency, *i.e.*, either (1) the Federal agency from which it has received the most direct funding, subject to indirect cost support; (2) the Federal agency specifically assigned cognizance by OMB; or (3) the State agency that provides the most subgrant funds to the grantee (if no direct Federal awards are received). For federally-recognized tribes, the Department of the Interior (DOI) is the cognizant agency.

An applicant selected for funding that has an expired ICR agreement and intends to charge indirect costs to the Demonstration grant must follow the Department's regulations at 34 CFR 75.560. Those rules permit an applicant to use a temporary rate of 10 percent of budgeted direct salaries and wages while it negotiates a rate with its cognizant agency (*e.g.*, DOI); the applicant must then submit an ICR proposal to its cognizant agency within 90 days after the Department issues the grant award notification (34 CFR 75.560).

Applicants with no previous ICR can use a de minimis rate of 10 percent of modified total direct costs (MTDC); these applicants do not need to negotiate for this rate. Should such an applicant decide to use this MTDC as its ICR, it must use this rate for a full fiscal year; it cannot negotiate for a different rate (2 CFR 200.414(f)).

Please note that, in accordance with OMB's Cost Principles at [2 CFR 200](#), applicants that have an expiring ICR agreement can apply to the cognizant agency for a one-time extension of up to four years (2 CFR 200.414(g)). If a successful applicant has an expiring ICR agreement, after the expiration date of the original agreement the grantee will be required to submit evidence to the Department that its cognizant agency granted an extension of the ICR agreement in order to charge indirect costs to the Demonstration grant at the approved rate.

Note: Applicants should pay special attention to specific questions on the application budget form (ED 524) about their cognizant agency and the ICR being used in the budget. Applicants should be aware that

the Department is very often not the cognizant agency for its grantees. Rather, the Department accepts the currently approved ICR established by the appropriate cognizant agency.

Applicants with questions about charging indirect costs on this program should contact the program contact person noted elsewhere in this application package.

Part 6: Other Attachments

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.

When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded file names must be fewer than 50 characters, and, in general, applicants should not use any special characters. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.

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.

Required of All Applicants

- Description of the Defined Geographic Area to be Served: Description of the defined geographic area to be served by the project, which could be a map, written description, or some other document.
- Needs Assessment of other Data Analysis: Evidence of need, drawn from a needs assessment or other analysis of data, showing --
 - (1) The greatest barriers, both in and out of school, to the readiness of local Indian students for college and careers;
 - (2) Opportunities in the local community to support Indian students; and
 - (3) Existing local policies, programs, practices, service providers, and funding sources.
- Signed Partnership Agreement: A copy of an agreement signed by the partners in the proposed project, identifying the responsibilities of each partner in the project. Signatories to the agreement must include at least one tribe (or its TEA) and at least one LEA or BIE-funded school, as described in the absolute priority. Letters of support do not meet the requirement for a signed agreement.
- Evidence of Capacity: Evidence that the applicant or one of its partners has demonstrated the capacity to improve outcomes that are relevant to the project focus through experience with programs funded through other sources.
- Evidence of Involvement of Indian Tribes and Parents: A description of how Indian tribes and parents of Indian children have been, and will be, involved in developing and implementing the proposed activities.
- Demonstration of Research Basis: Information demonstrating that the proposed project is based on scientific research, where applicable, or an existing program that has been modified to be culturally appropriate for Indian students.
- Description of Continuing Activities: A description of how the applicant will continue the proposed activities once the grant period is over. This narrative should be brief (e.g., one double-spaced page), and describe the entities and their commitments to continuing the project activities following the grant period.

- Individual Resumes for Project Directors and Key Personnel: Provide brief resumes or job descriptions that describe their qualifications for the responsibilities they will carry out under the project.

Required, if Applicable

- Documentation of Indian Organization: A lead applicant that is an Indian organization must provide adequate documentation to demonstrate that the organization meets each element of the definition of Indian organization. (See the definition listed in 34 CFR 263.20) Such applicants must include a list of current board members demonstrating that a majority are Indian. Acceptable documentation to demonstrate that the organization meets all elements of the definition might also include the charter, bylaws, articles of incorporation, and mission statement.
- Request for Competitive Preference Priority Three: If the applicant wants to be considered to receive preference points under Competitive Preference Priority Three, the applicant must attach documentation showing how the application meets the criteria.
- Promise Zone eligibility under Competitive Preference Priority Three: This priority is for projects that are designed to serve and coordinate with a federally designated Promise Zone. Note: As a participant in the Administration’s Promise Zone Initiative, the Department is cooperating with the Department of Housing and Urban Development (HUD), the Department of Agriculture (USDA) and nine other Federal agencies to support comprehensive revitalization efforts in 20 high-poverty urban, rural, and tribal communities across the country. Each application for Native Youth Community Project funds that is accompanied by a Certification of Consistency with Promise Zone Goals and Implementation (HUD Form 50153) signed by an authorized representative of the lead organization of a Promise Zone designated by HUD or USDA supporting the application will receive four points, under Competitive Preference Priority 3(a). An application for NYCP grant funds that is not accompanied by a signed certification (HUD Form 50153) will not receive points under Competitive Preference Priority 3(a), but may still be eligible to receive points under Competitive Preference Priority 3(b) if it received one of the grants listed. To view the list of designated Promise Zones and lead organizations please go to www.hud.gov/promisezones. The certification form is available at <https://www.hudexchange.info/resource/4396/promise-zones-certification-form-and-guidance/>.
- If the applicant or its partner has received a grant under one of the selected programs in the last four years, the statement must include the program under which the award was made, the name of the awardee, the award number, and the date of award.
- Indirect Cost Rate Agreement:
 - If the budget includes indirect costs and the applicant has a current Indirect Cost Rate (ICR) Agreement, the applicant must attach a copy of it. For any lapse in coverage the program office will issue a special condition on the award.
- Administrative Cost Limit Waiver Request: An applicant may request the Department to waive the administrative cost limits by adhering to the detailed requirements for

waiver requests in Section 9401 of the ESEA (20 USC §7861), which is available on the U.S. Government Publishing Office website at:

<https://www.gpo.gov/fdsys/pkg/USCODE-2013-title20/pdf/USCODE-2013-title20-chap70-subchapIX-partD-sec7861.pdf>.

Part 7: 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 following assurances and certifications are required for this application:

- Assurances for Non-Construction Programs (SF 424B Form)
- Disclosure of Lobbying Activities (SF LLL Form)
- Certification Regarding Lobbying (ED 80-0013 Form)
- General Education Provisions Act (GEPA) Requirements – Section 427

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

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

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

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. 4040-0013. 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 (4040-0013), 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 ED GEPA 427 form that is included in the electronic application package in Grants.gov.

Part 8: Intergovernmental Review of Federal Programs (Executive Order 12372)

This program falls under the rubric of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in [34 CFR Part 79](#). However, federally-recognized tribes are not subject to these requirements.

One of the objectives of the Executive order is to strengthen federalism--or the distribution of responsibility between localities, States, and the Federal government--by fostering intergovernmental partnerships. This idea includes supporting processes that State or local governments have devised for coordinating and reviewing proposed Federal financial grant applications.

The process for doing this requires grant applicants to contact State Single Points of Contact for information on how this works. Multi-state applicants should follow procedures specific to each state.

Further information about the State Single Point of Contact (SPOC) process and a list of names by State can be found at:

https://www.whitehouse.gov/wp-content/uploads/2017/11/Intergovernmental_-_Review_-_SPOC_01_2018_OFFM.pdf.

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372—CFDA #84.299B, U.S. Department of Education, room 7E200, 400 Maryland Avenue, SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30:00 p.m. (Eastern Time) on the closing date indicated in this notice.

Important note: The above address is not the same address as the one to which the applicant submits its completed applications. **Do not send applications to the above address.**

Not all states have chosen to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located in a State that does not have a SPOC, you may send application materials directly to the Department as described in the *Federal Register* notice.

Reporting and Accountability

Successful applicants with multi-year grants must submit an APR demonstrating their progress in meeting approved project objectives. Grantees must also provide the most current financial and performance measure data for each year of the project.

At the end of the project period, applicants will also be required to submit a **final performance report**.

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

1. The percentage of the annual measurable objectives, as described in the applications, that are met by grantees; and
2. The percentage of grantees that report a significant increase in community collaborative efforts that promote college and career readiness of Indian children.

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

Legal and Regulatory Information

Notice Inviting Applications

(To be inserted upon publication)