

**U.S. DEPARTMENT OF EDUCATION**

Office of Career, Technical, and Adult Education

Washington, DC



**Fiscal Year 2020**

**APPLICATION FOR GRANTS  
UNDER THE  
EDUCATION STABILIZATION FUND –  
REIMAGINE WORKFORCE PREPARATION  
(ESF-RWP) DISCRETIONARY GRANTS PROGRAM  
(CFDA NUMBER: 84.425G)  
OMB No. 1894-0006**

**APPLICATION CLOSING DATE: AUGUST 24, 2020**

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June 19, 2020

Dear Governor:

I want to thank you for all that you are doing to support learning, economic development and reemployment during this unprecedented time. While we recognize that many individuals, institutions and businesses are suffering as a result of the novel Coronavirus Disease 2019 (COVID-19) pandemic, we trust in the ingenuity of American entrepreneurship to create new opportunities for individuals and communities to grow and thrive. To that end, I am announcing a new discretionary grant program designed to leverage the power of entrepreneurship to help individuals develop new workplace-relevant competencies and skills, to help innovators and inventors strengthen existing businesses or build new ones, and to help institutions of higher education leverage the talents of their faculty and staff and repurpose underutilized space to foster business development and innovation and advance their own efforts to recover from COVID-19 related disruptions.

American colleges and universities are a national treasure, and they now have the opportunity to reinvent themselves and to be more responsive to the needs of their local communities – especially disadvantaged communities. As I have said many times before, we need to Rethink Higher Education, which includes cultivating new education and training options, providing lower cost options that engage business leaders, technology experts and subject matter experts in the development of engaging content and in the assessment of student learning.

Therefore, this new competitive grant program, called the Reimagine Workforce Preparation (RWP) program, seeks to fund state workforce boards and their education and workforce partners to develop and implement new education, training and business development opportunities to support individuals living and working in their communities. This program invites applications for projects on one of two tracks:

1. Expanding educational opportunities through short-term, career pathways or sector-based education and training programs
  - a. Grantees are invited to propose the development or expansion of short-term education programs, including career pathways programs, to help prepare unemployed or underemployed individuals for high demand jobs in their community or region; and/or
  - b. Grantees are invited to propose the development or expansion of industry sector-based education and training programs that lead to a credential that employers in a given sector recognize and reward; or
2. Supporting college sustainability and local entrepreneurship through small business incubators
  - a. Grantees are invited to submit applications that help colleges and universities make their faculty, staff and facilities more accessible to small businesses in their

communities, and to ensure that institutions can sustain their operations at a time when enrollments are declining and campus buildings may be underutilized, including through the creation of small business incubators that are on the campus of, or affiliated with, one or more colleges and universities in the state.

We invite each state to submit one proposal, with the state workforce board serving as the project lead, and we encourage states to develop projects that engage Minority-Serving Institutions (MSIs) and serve distressed communities, including rural communities and Opportunity Zones, at the core of their project plan. States that were hardest hit by COVID-19 disruptions, as measured by a set of pre-determined factors, and projects that seek to address the needs of MSIs and distressed communities will be prioritized among the strongest applicants.

Through this grant competition, your State has the opportunity to unleash creativity and ingenuity and expand learner access to new, unique, and lower-cost workforce education opportunities. In addition, in order to ensure that participants do not take on student debt to fund their education and training opportunity, this program includes funding to underwrite the cost of tuition and fees for student participants – including for student enrollment in programs that may otherwise not participate in federal student aid programs. Students whose tuition and fees are covered by grant funds must be eligible for public benefits as described in section 431 of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (8 U.S.C. 1611).

Authorized under section 18001(a)(3) of the Coronavirus Aid, Relief, and Economic Security (CARES) Act, which set aside 1% of appropriated funding under the Education Stabilization Fund (ESF) for grants to States with the highest coronavirus burden, the Department anticipates making 8-9 awards averaging approximately \$15 million each. In total, the estimated available funds for the RWP program is \$127 million. Of the remaining funds under the 1% set-aside of the ESF, the Department separately announced another competition to fund new K-12 models proposed by eligible State education agencies.

In response to the legislative requirement to give priority to States hardest hit by the novel coronavirus, each applicant will be required to demonstrate its level of burden through the use of multiple measures, which include measures of public health, access to broadband, and unemployment data suggestive of need. As with most of the Department's discretionary grant competitions, applications will be evaluated by a panel of independent peer reviewers, and only the highest-scoring applications will be funded. In order to ensure that the proposal meets the needs of the State and engages the full range of education and workforce stakeholders, each State may submit only one proposal, and that proposal must be submitted by the State Workforce Board.

The enclosed notice inviting applications (NIA) describes the grant competition in additional detail. The enclosed application package should be reviewed, completed, and submitted by interested applicants no later than August 18, 2020. For additional information about how to apply, please consult the enclosed application. The Department intends to make awards by no later than October 2020. Please send any questions to [ESF-RWP@ed.gov](mailto:ESF-RWP@ed.gov).

Thank you for your continued commitment to our nation's learners during these extraordinary times. I am looking forward to seeing your creativity and ingenuity in action.

Sincerely,

Betsy DeVos

## I. A BRIEF OVERVIEW OF THE APPLICATION PROCESS

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The following is a brief overview of the application process for the ESF-RWP Grants Program.

### 1. Getting Started

All interested applicants should first thoroughly review the Notice Inviting Applications (NIA) for FY 2020 ESF-RWP Grants Program published in the Federal Register and on the Department's website at: <https://cte.ed.gov/grants/funding-opportunities> and at <https://oese.ed.gov/offices/education-stabilization-fund/states-highest-coronavirus-burden/>.

This Application Package does not contain the full-text of the NIA and should only be used as a guide when completing and submitting an ESF-RWP application. The NIA is the authoritative source for the rules, priorities, and selection criteria for this competition, and in any place where the application package and NIA may conflict, the NIA takes precedence. Therefore, the NIA will orient applicants to the ESF-RWP Grants Program by providing details associated with the following information:

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

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

### 2. Completing and Submitting Your Application

A complete application consists of the following components:

- Project Abstract - where applicants provide a brief overview of the proposed project including primary goal and key objectives and activities
- Project Narrative – where applicants respond to absolute priorities, application requirements, and selection criteria
- Budget Narrative - where applicants provide an itemized breakdown and narratives for project costs
- Appendices (which may include the following):
  - ✓ Resumes of Project Director and Key Personnel;
  - ✓ Current Indirect Cost Rate Agreement;
  - ✓ List of proprietary information found in the application, if applicable;
  - ✓ Letters of support from key partners, if applicable.
- Required Forms:
  - ✓ Standard Forms, and
  - ✓ Assurances and Certifications

Once the application is complete, it must be submitted electronically using the Grants.gov system.

### 3. Tips for Submitting of Your Application

- Thoroughly review the “Important Tips & Reminders for Applicants’ section in the subsequent pages of this application package.
- All ESF-RWP grant applications must be submitted electronically via Grants.gov unless an applicant qualifies 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. *Please refer to the NIA for more information on the exceptions to electronic submission.*
- Before you are ready to submit your application familiarize yourself as early as possible with Grants.gov.
- Please ensure proper 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 use the latest version when submitting your application via 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>.
- Do not wait until the last day to submit your application. The time it takes to upload the narratives for your application will vary depending on several factors including the size of the files and the speed of your internet connection. If you try to submit your application after 11:59:59 on the deadline date, the Grants.gov system will not accept it.
- Late applications will not be accepted. The Department is required to enforce the established deadline to ensure fairness to all applicants.
- **All applications must be received on or before August 24, 2020.** No changes or additions to an application will be accepted after the deadline date and time.

### 4. Addressing Your Questions

The Department provides an avenue for interested applicants to ask questions to clarify their understanding of the ESF-RWP Grants competition and process. Applicants should keep in mind that the Department cannot provide guidance on specific applications. The Department cannot provide guidance or recommendations on an applicant’s proposed approach, plan, or response to priorities, program requirements, and selection criteria. Interested applicants may send all other questions to [ESF-RWP@ed.gov](mailto:ESF-RWP@ed.gov).

## II. THE ESF-RWP GRANTS COMPETITION

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### OVERVIEW

**Applications Available:** Tuesday, June 23, 2020

**Applicant Webinar:** Monday, June 29, 2020 at 2 p.m. ET  
Register at: [https://cte.ed.gov/esf\\_rwp\\_register](https://cte.ed.gov/esf_rwp_register)

#### **Deadline for Notice of Intent to Apply**

The Department can develop a more efficient process for reviewing grant applications if it has a better understanding of the number of entities that intend to apply for funding under this competition. **Each potential applicant is strongly encouraged to notify the Department of its intent to apply by sending a short email message with the applicant organization's name and address to [ESF-RWP@ed.gov](mailto:ESF-RWP@ed.gov) with "Intent to Apply" in the email subject line by July 13, 2020.** Applicants that do not provide this email notification may still apply for funding.

#### **Deadline for Transmittal of Applications**

**All applications must be received on or before 11:59:59 p.m. Eastern Time, on August 24, 2020.** Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 11:59:59 p.m. (Eastern Time), on the application deadline date. Late applications will not be accepted. The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date and time.

#### **Award Information:**

Estimated Available Funds: \$127,500,000.

Estimated Range of Awards: \$5,000,000 - \$20,000,000.

Estimated Average Size of Awards: \$15,000,000.

Estimated Number of Awards: 8-9; awards under each absolute priority, dependent on sufficient quality.

*Note: The Department is not bound by any estimates.*

Project Period: Up to 36 months

#### **ESF-RWP Authorizing Legislation**

Section 18001(a)(3) of Title VIII of Division B of the CARES Act, Pub. Law 116-36 (enacted March 27, 2020).

#### **Program Purpose**

The purpose of the ESF-RWP Grants program is to provide support to help States with the highest coronavirus burden create or expand short-term education and training opportunities and/or or career pathways programs that help citizens return to work, become entrepreneurs, or expand their small businesses (as described under Absolute Priority 1); or to enable States to create or expand small business incubators that offer education and training, mentorship, as well



as shared facilities and resources that will help small businesses recover and grow and new entrepreneurs thrive (as described under Absolute Priority 2).

Short-term educational programs or career pathways programs created or expanded under Absolute Priority 1 of this program must lead to certificates, badges, micro-credentials, licenses, or other workplace-relevant credentials that respond to the needs of employers or facilitate entrepreneurship. By definition, career pathways programs must also enable participants who have not already completed a high school diploma or equivalent to earn such a diploma or equivalent. Short-term educational and career pathways programs supported under this program must create opportunities for individuals to more rapidly prepare for, and over time adapt to, changing workplace needs or to start or grow a small business.

Grant funds may be used under Absolute Priority 1 to develop and implement short-term education and training programs and/or career pathways programs, hire qualified instructors, procure necessary equipment and supplies, and subsidize tuition and fees for individuals enrolled in these or existing short-term educational, workforce development or career pathways programs so that they can quickly gain entry to the workforce or become entrepreneurs without taking on debt. Funds may also be used to provide student uniforms, protective gear, student support services and transportation vouchers for all students, as well as childcare support for student-parents who are enrolled in education and training programs supported by programs developed under this grant program.

Unlike traditional degree and certificate programs which are typically designed by educators, this grant program is designed to support efforts led by State Workforce Development Boards, in partnership with groups of employers, industry organizations, and education and training partners to identify workplace competencies, develop curriculum and assessments that help workers gain and demonstrate those competencies, and establish a credentialing system that employers will use to make hiring and promotion decisions within their organizations. The Department encourages applicants to review existing occupational frameworks and incorporate them, to the extent possible, in their efforts. The program does not seek to fund the development of new occupational frameworks where existing frameworks that have been endorsed by employers or industry sectors already exist.

While grants will be made to State Workforce Boards, these recipients may partner with business and trade organizations, employers or groups of employers, Standards Recognition Entities (SREs), Institutions of Higher Education (IHEs), third-party intermediaries who help employers design and implement work-based learning programs, and other education and training providers.

This grant program also supports a second activity, which is designed to cultivate entrepreneurship by supporting the development of small business incubators located on the campuses of, or developed in association with, colleges and universities. These incubators provide, among other things, short-term educational and training programs or continuing education courses to help entrepreneurs establish and grow their businesses, comply with or exceed industry standards, and meet State and occupational health, safety and licensure requirements. In addition to educational offerings, small business incubators also provide

mentorship from faculty and other business professionals, and typically offer shared space, services, staffing and equipment to help small businesses get started and grow.

These small business incubators create new opportunities for colleges and universities to expand their offerings and create new revenue streams so that institutions can also become entrepreneurial at a time when declining enrollments and COVID-19 related disruptions may result in longer-term underutilization of campus facilities. In this regard, these funds assist in the stabilization of institutions and the local economy.

### **Absolute Priorities**

The ESF-RWP Grants competition includes two absolute priorities of which the applicant addresses one priority. The Secretary intends to award grants under each of the absolute priorities for which applications of sufficient quality are submitted. Applicants must clearly identify whether the proposed project addresses either Absolute Priority 1 or Absolute Priority 2. Each State may submit only one application for ESF-RWP that addresses either absolute priority, but not both. Absolute Priority 1 includes two competitive preference priorities.

#### ***Absolute Priority 1***

*Projects that will focus on:*

- (a) Creating, developing, implementing, replicating, or taking to scale short-term educational programs and training courses or programs, and/or career pathways programs, including those focused on facilitating and strengthening entrepreneurship and small business ownership. Applicants must propose a project that focuses on one or more of the following activities: 1) helping displaced workers return to gainful employment; 2) helping new workers enter jobs within in-demand industry sectors or occupations (as identified at the national, State or local level); 3) transitioning underemployed workers to new fields, or 4) assisting small business owners to gain the skills needed to create new businesses or grow current businesses and become more resilient; and/or
- (b) Funding the creation, development, implementation, replication, or scaling of industry sector-based education and training models and programs that:
  - (1) Are initiated and organized by employer stakeholders, which may include business leaders, trade associations, professional societies or community businesses organizations;
  - (2) May partner with institutions of higher education or other post-secondary education and training providers; and
  - (3) May include the engagement of third-party intermediaries, which are organizations that help bridge the gap between employers and educational institutions to the benefit of students.

Projects under *Absolute Priority 1(a) and 1(b)* may include apprenticeships and other work-based learning programs and must provide individuals the opportunity to earn badges, certifications, micro-credentials, licenses, or other credentials that employers affirmatively signal will contribute to qualifying a candidate for employment or promotion in an in-demand industry sector or occupation (as defined in this notice).

### **Competitive Preference Priorities Under Absolute Priority 1**

The ESF-RWP Grants competition includes **two competitive preference priorities** for applicants that address *Absolute Priority 1*. We will award up to an additional five points to an application that meets *Competitive Preference Priority 1* and up to three additional points to an application that meets *Competitive Preference Priority 2*. The priorities are:

#### ***Competitive Preference Priority 1—Distance Education.***

The extent to which an application that proposes a project in which the short-term educational programs and training programs described above include didactic education that will be principally delivered through distance education (as defined in this notice); or

#### ***Competitive Preference Priority 2 —Serving Lifelong Learners in Distressed Communities.***

The extent to which an application proposes a project that focuses on the unique needs of individuals who reside in rural communities or Opportunity Zones, and that is designed to enable economic growth and development in those regions. This could include focusing primarily on in-demand jobs available to individuals in these communities, aligning education and job training opportunities with the strategic planning goals for economic development in the community, or meeting the unique needs of individuals who may have challenges related to transportation, childcare or limitations in access to technology associated with living and working in these communities.

For purposes of this competition, we will consider a community as rural if the community meets qualifications for rural applicants established in section 114(e)(5)(A) of Perkins V, and the applicant certifies that it meets those qualifications in its application.

Opportunity Zones must be census tracts designated by the Secretary of the Treasury under section 1400Z-1 of the Internal Revenue Code. An applicant must provide the census tract numbers of the Qualified Opportunity Zone(s) in which it proposes to provide services.

#### ***Absolute Priority 2***

Projects that will focus on creating or supporting one or more IHE-based or IHE-affiliated small business incubators that leverage the facilities and/or instructional resources of one or more IHEs to support high-quality job growth, the establishment of small businesses important to the local economy or the development of technology commercialization. Applicants must propose a plan to provide education, training and mentorship; offer shared facilities, services, space or equipment; and facilitate partnerships and networks among business leaders that help entrepreneurs start or expand their core businesses or develop business adjacencies that will enable them expand into new markets, products or services.

### **Competitive Preference Priorities Under Absolute Priority 2**

The ESF-RWP Grants competition includes one competitive preference priority for applicants that address *Absolute Priority 2*. We will award up to an additional five points to an application that meets *Competitive Preference Priority 3*. The priority is:

### ***Competitive Preference Priority 3—Serving Entrepreneurs and Businesses in Distressed Communities***

(a) The applicant will locate the business incubator, or include as an affiliated partner in managing and administering an off-campus business incubator, at least one minority-serving institution of higher education that is eligible to receive assistance under sections 316 through 320 of part A of Title III, under part B of Title III, or under Title V of the Higher Education Act of 1965. An applicant must identify the minority-serving institution of higher education with which it will partner; or

(b) The applicant will locate the IHE-affiliated business incubator in a rural community or Opportunity Zone in order to support the business development goals of those communities and to enable businesses that are located in those regions and that employ individuals who live in those communities to thrive.

For purposes of this competition, we will consider a community as rural if the community meets qualifications for rural applicants established in section 114(e)(5)(A) of Perkins V, and the applicant certifies that it meets those qualifications in its application.

Opportunity Zones must be census tracts designated by the Secretary of the Treasury under section 1400Z-1 of the Internal Revenue Code. An applicant must provide the census tract numbers of the Qualified Opportunity Zone(s) in which it proposes to provide services.

#### **Application Requirements**

This competition includes **six application requirements** that eligible applicants must meet in order to be considered for funding. The application requirements are:

(1) Include a description of the State's coronavirus burden based on indicators and information factors other than those provided in Appendix 1 that demonstrate the significance of the impact of COVID-19 on students, employers, small businesses and economic development in the State. This may include additional data, including other public health measures such as coronavirus-related deaths per capita, or any other relevant education, labor, or demographic data.

(2) Describe the applicant's approach to addressing Absolute Priority 1 or 2. This description must include a list of organizations and entities that will be included as partners in developing and implementing the planned activities, an implementation plan and timeline for key grant activities and a plan for how the applicant will collect data to report on the performance measures for this program. It must also include the estimated number of students, businesses, and IHEs, if applicable, that the applicant intends to serve with grant funds. The applicant must also list other sources of Federal funds it is seeking or has secured, under the CARES Act or other Federal grant programs, to carry out the same, similar or related activities to those proposed in the applicant's plan.

(3) Provide an analysis of State assets and collaborative efforts (including supports already provided from Federal and non-Federal sources) to respond to the economic impacts of COVID-19 and the need for short-term educational programs, including those that support small business owners and entrepreneurs and/or those that provide industry sector-based education and training

programs that lead to industry-recognized credentials in the case of an application that addresses Absolute Priority 1 or the need for short-term educational programs and courses for small business and/or small business incubators (or similar entities) in the case of an application that addresses Absolute Priority 2.

(4) A description of the steps the State is taking at the time of the application to identify and address the State's immediate needs outlined in application requirement (2), including:

(a) For applicants addressing Absolute Priority 1(a)--

- (i) How the State is meeting the education, support, and mentorship needs of individuals who seek career preparation or advancement through short-term educational programs and career pathways programs;
  - (ii) Which short-term educational programs or career pathways programs will be the focus of the grant activities; and
  - (iii) Which occupations or occupational clusters will be the focus of the grant activities;
- or

(b) For applicants addressing Absolute Priority 1(b)--

- (i) How the State will identify the industry sectors and sector leaders that will engage in developing and implementing sector-based education, training, and credentialing programs;
- (ii) Prior experience the State has in leading sector-based education and training activities, including in the development of sector-based apprenticeship programs;
- (iii) How the State will recruit businesses and employers that will participate in the program and rely on credentials earned through industry sector-based education and training programs to hire and promote employees; and
- (iv) Which educational providers, which may include IHEs or other post-secondary education and training providers, have experience in working with industry leaders or employers to develop or provide competency-based education programs and which educational providers have committed to partner with the applicant on the proposed project; or

(c) For applicants addressing Absolute Priority 2 --

- (i) How the State is currently providing education, training and support to entrepreneurs and small business owners;
- (ii) How the State will build upon prior experiences with small business incubators or identify which kinds of small businesses it can best serve through one or more small business incubators that are affiliated with one or more IHEs;
- (iii) How the State will identify institutional partners, geographic location(s) or industry sector(s) to be served by one or more small business incubators developed with these grant funds;
- (iv) The specialized assistance, facilities, shared equipment and other shared resources that will be provided by the proposed small business incubator; and
- (v) Other sources of funding or continuing support that will enable the small business incubator to continue operating after the expiration of these grant funds.

(5) Describe how the applicant will recruit unemployed or dislocated workers; workers seeking job transition or advancement; entrepreneurs; small business owners or other participants who would benefit from the education, training and/or business development opportunities that will be provided with grant funds, and how the applicant will determine participation if demand exceeds supply.

(6) Provide an assurance that the applicant will provide information to the Secretary, as requested, for evaluations that the Secretary may carry out.

### **Program Requirement**

There is one **program requirement** the ESF-RWP competition. The Program Requirement is:

Grantees must make information on all credentials (including badges, certificates, certifications, licenses, and degrees of all levels and types) and competencies (knowledge, skills and abilities) achieved as a result of funding under this program publicly accessible through the use of linked open data formats that support full transparency and interoperability. Such information must include the industry sector for or by which the credential was developed, the entities involved in the development of the credential, the competencies or skills assessed in awarding the credential, the form of assessment used to verify an individual's eligibility to be awarded the credential, and the body engaged in overseeing the awarding of such credentials.

### **Eligibility Information**

1. Eligible Applicants: State Workforce Board.
2. Cost Sharing or Matching: This program does not require cost sharing or matching.
3. Subgrantees: A grantee under this competition may award subgrants--to directly carry out project activities consistent with the Statewide strategy described in its application--to the following types of entities: IHEs; local workforce development boards; business trade and professional organizations; business development organizations; non-IHE postsecondary and employer-based education and training providers; third-party work-based learning or apprenticeship intermediaries; and State, regional, and local public and private agencies.

### **Funding Restrictions**

To maximize the funds available for services to students and the public, the Department encourages each eligible entity to minimize the amount of administrative costs charged to the program. *See the NIA for more information on funding restrictions.*

### **Recommended Page Limit**

The project narrative is where the applicant addresses the absolute priorities, application requirements, and selection criteria that reviewers use to evaluate your application. We recommend that you limit the project narrative to no more than 25 pages.

*See the NIA for more information on the recommended page limit and other submission standards.*

### **Application Review Information: Selection Criteria**

An applicant may earn up to a total of 100 points based on the selection criteria for the application.

#### *A. Highest Coronavirus Burden (up to 40 points).*

In determining the States with the highest coronavirus burden, the Secretary considers the extent to which the State has a high coronavirus burden as follows:

- (1) The extent to which the applicant, based on the factors listed in the application package (*see the appendix for the coronavirus burden factors*), when weighted equally, is in the—
  - (i) Up to 20th percentile of coronavirus burden (4 points);
  - (ii) 21st to 40th percentile of coronavirus burden (8 points);
  - (iii) 41st to 60th percentile of coronavirus burden (12 points);
  - (iv) 61st to 80th percentile of coronavirus burden (16 points); or
  - (v) 81st to 100th percentile of coronavirus burden. (20 points)
- (2) The extent to which the applicant has a high coronavirus burden based on indicators and information factors identified by the applicant in response to Application Requirement 1. (20 points)

#### *B. Quality of Project Services and Quality of the Project Design (up to 35 points).*

In determining the quality of the project services and the quality of the design of the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. (up to 5 points)

In addition, the Secretary considers--

- (1) The extent to which the proposed project is an exceptional approach to the absolute priority being addressed and includes a detailed project plan for addressing the absolute priority. (up to 10 points)
- (2) The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses. (up to 10 points)
- (3) The likelihood that services to be provided by the proposed project (for applicants under Absolute Priority 1) will expand access to remote learning options and lead to improvements in student outcomes; or the likelihood that services to be provided by the proposed project (for applicants under Absolute Priority 2) will increase the number and success of small businesses in a state or region. (up to 5 points)
- (4) The extent to which the services to be provided by the proposed project reflect up-to-date knowledge from research and effective practice. (up to 5 points)

#### *C. Quality of the Management Plan and Adequacy of Resources (up to 25 points).*

In determining the quality of the management plan and adequacy of resources for the proposed project, the Secretary considers--

- (1) 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. (up to 5 points)
- (2) The extent to which the budget is adequate to support the proposed project. (up to 5 points)
- (3) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project. (up to 5 points)
- (4) 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. (up to 10 points)

### **Open Licensing Requirements**

Unless an exception applies, if you are awarded a grant under this competition, you will be required to openly license to the public grant deliverables created in whole, or in part, with Department grant funds. *See the NIA for the full text associated with the open licensing requirements.*

### **Reporting**

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

### **Performance and Project-specific Measures**

The Department has established the following performance measures for the ESF-RWP Grants program:

- (1) For applications addressing Absolute Priority 1—
  - (a) The number of students served by the project; the percentage of students who enrolled in a program receiving grant funds who completed the program;
  - (b) The percentage of individuals who enrolled in a program receiving grant funds who were employed in the second quarter after exiting the program; and
  - (c) The percentage of individuals employed in the second quarter after exit who are employed full-time in an occupation that is directly related to the program of study; and
  - (d) The median earnings of individuals in (b) and (c).
- (2) For applicants addressing Absolute Priority 2 –
  - (a) The number of individuals who participated in the short-course or programs offered by the business incubator and one year after its completion had started a new business venture or maintained/expanded their existing small business;
  - (b) For small business owners who participated in a small business incubator, the number of employees employed at the start of their participation in this program, and at the end of their participation in the program and whether or not they were still in business one year after completing the program.



In addition, applicants must propose project-specific performance measures and performance targets consistent with the objectives of the proposed project. In addition, applicants must propose project-specific performance measures and performance targets consistent with the objectives of the proposed project:

(a) Performance Measures. How each proposed performance measure would accurately measure the performance of the project and how the proposed performance measures would be consistent with the performance measures established for the program funding the competition.

(b) Baseline Data.

(i) Why each proposed baseline is valid; or

(ii) If the applicant has determined that there are no established baseline data for a particular performance measure, an explanation of why there is no established baseline and of how and when, during the project period, the applicant would establish a valid baseline for the performance measure.

(c) Performance Targets. Why each proposed performance target is ambitious yet achievable compared to the baseline for the performance measure and when, during the project period, the applicant would meet the performance target(s).

(d) Data Collection and Reporting.

(i) The data collection and reporting methods the applicant would use and why those methods are likely to yield reliable, valid, and meaningful performance data; and

(ii) The applicant's capacity to collect and report reliable, valid, and meaningful performance data, as evidenced by high-quality data collection, analysis, and reporting in other projects or research.

*See the NIA for more information pertaining to project-specific measures.*

### III. APPLICATION SUBMISSION PROCEDURES

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Applicants are required to follow the *Common Instructions for Applicants to Department of Education Discretionary Grant Programs*, published in the Federal Register on February 13, 2019 (84 FR 3768) and available at <https://www.federalregister.gov/d/2019-02206> which contain requirements and information on how to submit an application.

#### **Submission Procedures**

To do business with the Department, and to submit your application electronically using Grants.gov, you must:

- (1) Have a Data Universal Numbering System (DUNS) number and a Taxpayer Identification Number (TIN);
- (2) Register both your DUNS and TIN with the System for Award Management (SAM.gov), the Government's primary registrant database;
- (3) Provide your DUNS and TIN on your application; and
- (4) Maintain an active SAM registration with current information while your application is under review by the Department and, if you are awarded a grant, during the project period.

#### **DUNS**

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

Dun & Bradstreet, a global information services provider, has assigned DUNS numbers to over 43 million companies worldwide. Check with your fiscal office to see if your agency has an assigned DUNS number before contacting Dun & Bradstreet.

You can obtain a DUNS number at no charge by calling **1-800-333-0505** or by completing a D-U-N-S Number request online at the following URL: <http://fedgov.dnb.com/webform>.

#### **TIN**

Corporate entities, agencies, institutions, and organizations can obtain a TIN from the Internal Revenue Service (IRS). If you need a new TIN, please allow two to five weeks for your TIN to become active.

#### **SAM**

The SAM registration process can take approximately seven business days, but may take upwards of several weeks, depending on the completeness and accuracy of the data you enter into the SAM.gov database. Once your SAM registration is active, it may be 24-48 hours before you can access the information in Grants.gov and apply through Grants.gov.

If you are currently registered with SAM, you may not need to make any changes. However, please make certain that the TIN associated with your DUNS number is correct.

**NOTE:** Your agency must update its SAM registration annually.

### **Grants.gov**

In order to submit your application via Grants.gov, you must:

(1) Register as an applicant using the DUNS number your organization used when it registered in SAM; and

(2) Be designated by your organization's E-Biz Point of Contact as an Authorized Organization Representative (AOR). Details on these steps are outlined at <http://www.grants.gov/web/grants/register.html>.

### **Grants.gov System Maintenance**

Please keep in mind that the Grants.gov system will not be available for use during the times listed below.

<b>Date</b>	<b>Details</b>
<b>July 18-20, 2020</b>	<b>Scheduled Maintenance Outage:</b> Production System will go <b>Offline</b> Saturday July 18, 2020 at 12:01 AM ET. Production System will go <b>Online</b> Monday July 20, 2020 at 6:00 AM ET.
<b>August 15-17, 2020</b>	<b>Scheduled Maintenance Outage:</b> Production System will go <b>Offline</b> Saturday August 15, 2020 at 12:01 AM ET. Production System will go <b>Online</b> Monday August 17, 2020 at 6:00 AM ET.

## IMPORTANT TIPS & REMINDERS FOR APPLICANTS

To facilitate your use of Grants.gov, below are 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

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.
- 5) 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 in the System for Award Management (SAM). SAM registration 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. Your organization will also need to update its SAM registration annually. For detailed information on the Registration Steps, please go to: <http://www.grants.gov/web/grants/register.html>.

**NOTE:** As a reminder, grants.gov has relaxed the requirement for applicants to have an active registration in the System for Award Management (SAM) in order to apply for funding. However, the Department strongly encourages applicants to start the SAM registration process as soon as possible, and in the event a registration expires before an award is issued, the Department will relax the active registration requirement, and not delay funds due to the COVID-19 crisis.

More information about SAM is available at [www.sam.gov](http://www.sam.gov); and 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 available at: <http://www2.ed.gov/fund/grant/apply/sam-faqs.html>.

- 2) **SUBMIT EARLY – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded.** The time it takes to upload an application will vary depending on several factors including the size of the application and the speed of your Internet connection. The time it takes Grants.gov to process the application will also vary. If Grants.gov rejects your application (see step three below), you will need to ensure a successful resubmission in Grants.gov before 11:59:59 p.m. Eastern Time on the deadline date.

*Note: To ensure a successful resubmission in Grants.gov, you must utilize 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. 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 and time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date and time received should be earlier than 11:59:59 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 and time received is later than 11:59:59 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: <http://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 via phone at 1-800-518-4726; via 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 11:59:59 p.m. Eastern 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:

When you submit your application electronically, you must upload any narrative sections and all other attachments to your application as files in either Portable Document Format (PDF) or Microsoft Word. Although applicants have the option of uploading any narrative sections and all other attachments to their application in either PDF or Microsoft Word, we **recommend** applicants submit all documents as read-only flattened PDFs, meaning any fillable PDF files must be saved and submitted as non-fillable PDF files and not as interactive or fillable PDF files, to better ensure applications are processed in a more timely, accurate, and efficient manner.

- 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. Therefore, you may want to check the total size of your package before submission.



## IV. THE APPLICATION

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### THE APPLICATION NARRATIVES

The ESF-RWP grant application will use Grants.gov Narrative Forms. Each form is identified below along with application instructions.

#### **ED Abstract Narrative Form Instructions**

The project abstract should be attached as a single document to the ED Abstract Form in accordance with the instructions found on Grants.gov. The abstract should be no more than 1-2 paragraphs, [limited to 2000 characters], and should include the following items:

- ✓ The primary goal of the project;
- ✓ A succinct description of the key project objectives and activities;
- ✓ A brief description of the key uses of grant funds;
- ✓ A list of participating partners in the project, if applicable.

#### **Project Narrative Form Instructions**

The project narrative should be attached as a single document to the Project Narrative Attachment Form in accordance with the instructions found on Grants.gov and should include the following parts in order to expedite the review process:

- ✓ A Table of Contents;
- ✓ A description of the proposed project;
- ✓ The applicant's response to the selection criteria; and,
- ✓ The applicant's response to the Absolute Priority, the Competitive Priority (if applicable) and Application and Program Requirements.

The project narrative should, as a general matter, follow the order of the selection criteria. It should contain clear headings to help the Department staff and peer reviewers match the narrative with the selection criteria because the application will be evaluated and scored against these criteria. Also, when addressing the criteria, applicants are encouraged to make explicit connections to the Absolute Priority and application requirements.

We suggest that you limit the project narrative to 25 pages, double-spaced, and number the pages consecutively. Please provide any charts, graphs, citations, or examples within the 25 pages of the projective narrative.

**Note:** *Please see the NIA for additional application submission requirements and detailed information regarding the Absolute Priorities and Application Requirements.*

#### **Budget Narrative Form Instructions**

The budget narratives should be attached as a single document to the "Budget Narrative Attachment Form" in accordance with the instructions found on Grants.gov. The Budget Narrative Form is where the applicant provides an itemized budget breakdown and narrative for

each budget category listed in Sections A (Federal Funds Budget) and B (Non-Federal Funds Budget) of the ED 524 form. The itemized budget and accompanying budget narratives should project all costs of the proposed project and reflect an annual budget for all 3 years of the proposed project.

In accordance with 34 C.F.R. 75.232, Department of Education staff will perform a cost analysis of each project recommended for funding to ensure that costs relate to the activities and objectives of the project, are reasonable, allowable, and allocable. Therefore, budget should only include costs that are reasonable, allowable, and necessary for carrying out the objectives of the ESF-RWP Grant Program project. Rules about allowable costs are set out in 2 C.F.R. part 200, as adopted by the Department at 2 C.F.R. 3474. We may delete or reduce costs from the budget during this review.

***NOTE: The annual budget period for Year 1 will be September 1, 2020– September 30, 2021. For Years 2 and 3, the budget period should include the estimated costs for October 1 – September 30 for each year.***

In a single document attached to the Budget Narrative Attachment Form, each application must provide the following two budget narratives:

1. Federal Funds Budget Narrative: This first budget narrative must align with and break down the costs budgeted in Section A of ED Form 524. Section A - Budget Summary: U.S. Department of Education Funds should include all ESF-RWP Grants Program funds requested in support of the proposed project. See “Further Instructions for the Budget Narratives” for the expected format and level of detail.
2. Non-Federal Funds Budget Narrative: This second budget narrative must align with and break down the costs budgeted in Section B of ED Form 524. Section B - Budget Summary: Non-Federal Funds should include any non-Federal program funds, including, in-kind resources.

The budget narrative will serve to meet the requirements of Section C of ED Form 524 and should provide sufficient detail to:

- Give an itemized budget breakdown for each year of the proposed project (36 months);
- Show 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;
- Show the relationship between all budgeted funds and project activities and outcomes;
- Show the total amount that will be expended as shown in the ED Form 524;
- Enable reviewers and project staff to understand how grant funds and non-federal funds/in-kind resources in the ED Form 524 (if applicable) will be used.

### **Helpful Suggestions for Completing the Budget Narrative**

To facilitate the review of your Budget Narrative, we encourage, but do not require, 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 and the importance of each position to the success of the project.
- Provide the salary for each position under this project.
- Provide the amount of time (such as hours or percentage of time) to be spent by each position on this project.
- Provide the basis for cost estimates or computations.
- Fees and expenses for consultants, if included, should be included under Contractual (line 6).

### 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.
- Do not include fringe benefits for salaries and wages that are treated as part of the indirect cost.
- Leave the line blank if needed.

### 3. Travel

- Explain the purpose of the travel, how it aligns to the project goals and objectives, and who will travel.
- Provide an estimate for the number of trips and points of origin and destination.
- Provide an estimated cost for each trip.
- Travel for consultants or contractors should be included under Contractual (line 6).

### 4. Equipment

- 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 purchasing policy.
- Indicate the type and estimated unit cost for each item to be purchased.
- Provide strong justification of the need for items of equipment to be purchased.
- Provide the basis for cost estimates or computations.

### 5. Supplies

- Supplies purchased with grant funds should directly benefit the project and be necessary for achieving project goals.
- Direct supplies and materials differ from equipment in that they are consumable, expendable, and of a relatively low unit cost. Provide an estimate of 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.

- Individual pieces of equipment that are under \$5,000 per unit are generally considered supplies. However, as noted in the example under Equipment, an applicant's organization may have a different equipment policy.

#### 6. Contractual

- 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.
- Describe the products to be acquired, and/or the professional services to be provided.
- Provide the purpose of the product(s) and/or services and their relation to project success.
- Contractors are not to be named in an application since contracts will be competed following the award of a grant. If an applicant proposes in its application to use an existing contract or prior selection of any vendor for any activities to be supported with Federal ESF-RWP Grant Program funds (or other Federal grant funds), the applicant must be prepared to demonstrate how it is in compliance with the "Procurement Practices" described in the "Application Information" section of this application package. Additionally, if an applicant intends to take advantage of the flexibility allowed in 34 C.F.R. 75.135 in order to use small purchase procurement procedures for contracts for data collection, data analysis, evaluation services or essential services, the applicant should carefully review the requirements in 34 C.F.R. 75.135 to ensure all required information is included in the application and budget narrative.
- Provide the projected cost per contractor and basis for cost estimates.
- 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.

#### 7. Construction

- Not applicable.

#### 8. Other

- Indicate all direct costs not covered on lines 1-6. Do not include costs that are included in the indirect cost rate.
- List and identify items by major type or category (e.g., communications, printing, etc.).
- Provide the purpose for the expenditures and their relation to the proposed comprehensive strategy that will be implemented during the project period.
- Provide the cost per item (printing = \$500, postage = \$150) and the basis for cost estimates or computations.

#### 9. Total Direct Costs

- The sum total of all direct expenditures, per budget category, of lines 1-8.

#### 10. Indirect Costs

- The Department of Education (ED) generally reimburses a grantee for its indirect costs. These kinds of costs generally are recovered through an indirect cost rate that the grantee negotiates with its cognizant agency for indirect costs.

- Use of the temporary rate of 10 percent of budgeted direct salaries and wages is subject to the following limitations:
  1. The grantee must submit an indirect cost rate proposal its cognizant agency within 90 days after ED issues the GAN.
  2. If after the 90-day period, the grantee has not submitted an indirect cost rate proposal to its cognizant agency, the grantee may not charge its grant for indirect costs (except when ED finds exceptional circumstances) until it has negotiated an indirect cost rate agreement with its cognizant agency.
  3. The grantee may only recover indirect costs incurred on or after the date it submitted its indirect cost rate proposal to its cognizant agency or at the start of the of the project period, whichever of the two occurs later.
  4. The total amount of funds recovered by the grantee under the federally recognized indirect cost rate is reduced by the amount of indirect costs previously recovered under the temporary indirect cost rate.
  5. The grantee must obtain prior approval from ED to shift direct costs to indirect costs in order to recover indirect costs at a higher negotiated indirect cost rate.
  6. The grantee may not request additional funds to recover indirect costs that it cannot recover by shifting direct costs to indirect costs.

#### 11. Training Stipends

- 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 or professional development offerings.
- Costs associated with professional development should be included under Other (line 8).

#### 12. Total Costs

- Sum total of direct costs, indirect costs, and stipends.
- Please provide total costs for each year and for the entire project period (36 months).

#### **Other Attachments Form Instructions**

Applicants should **attach all other information, including required items** as appendices using the Other Attachments Form. For each appendix, applicants are asked to save files as a .PDF, label each file with the Appendix name and upload the file to the Other Attachments Form. The Other Attachments Form can support up to ten attachments.

Applicants are encouraged to follow the order below when uploading information to the Appendix:

- ✓ **Appendix 1:** Individual Resumes for Project Director and Key Personnel
- ✓ **Appendix 2:** Current Indirect Cost Rate Agreement
- ✓ **Appendix 3:** List of proprietary information found in the application, if applicable
- ✓ **Appendix 4:** Assurance that Applicant will participate in an evaluation, pursuant to Application Requirement 5 – Applicants should create a statement providing assurance that they will submit information to the Department, as requested, for evaluations the Secretary may care out.

## TIPS FOR SUBMITTING THE NARRATIVES AND APPENDICES

- 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. **Please note that Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.**
- Please ensure that only U.S. Department of Education approved file types are attached. See the NIA for a detailed description of these files (read-only, non-modifiable .pdf files). Also, do not upload any password-protected files to your application. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.
- If you have multiple documents to be attached to one of the above narrative sections, it is recommended that you merge them into one .PDF file and upload them to the appropriate narrative.
- The recommended page limit does not apply to the cover sheet; the budget section, including the narrative budget justification; the assurances and certifications; or the one-page abstract, the resumes, the bibliography, or the letters of support. However, the recommended page limit does apply to entire the project narrative.

## REQUIRED FORMS

### Standard Forms Instructions

Applicants must submit along with their project narratives the required standard forms, assurances, and certifications included in the list below.

- Application for Federal Assistance (SF 424);  
**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 review only materials/files attached to the section labeled “Other Attachments Form.”
- Department of Education Supplemental Information form SF 424;
- Department of Education Budget Summary Form (ED 524) Sections A & B;
- Disclosure of Lobbying Activities (SF-LLL);
- General Education Provisions Act (GEPA) Requirements - Section 427;
- Assurances, Non-Construction Programs (SF 424B) (*This form is completed in SAM*); and
- Grants.gov Lobbying form (formerly ED 80-0013 form).

Electronic copies and instructions for the required forms can be downloaded at the following address: <https://www2.ed.gov/fund/grant/apply/appforms/appforms.html> and can be found in the Grants.gov submission package.

## V. ADDITIONAL INFORMATION

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### **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. Public reporting burden for this collection of information is estimated to average 40 hours 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 and voluntary. 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](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1830-NEW.

**NOTE:** Please do not return the completed 1830-NEW application to this address.

## VI. OPTIONAL APPLICATION PACKAGE ATTACHMENTS

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### Optional Application Checklist

Applicants should review this optional checklist once they believe they have completed their applications. The checklist contains all mandatory parts of the application. The Application Checklist is optional; however, applicants are strongly encouraged to fill in the checklist or something similar, to ensure that all requirements have been addressed and to ensure that program staff and peer reviewers can find the information in your application that addresses each applicable element from the NIA.

### ED Standard Forms

- Application for Federal Assistance (SF 424)
- Department of Education Supplemental Information for SF 424
- Department of Education Budget Summary Form (ED 524) Sections A & B
- Disclosure of Lobbying Activities (SF-LLL)

### Assurances and Certifications

- GEPA Section 427
- Assurances – Non-Construction Programs (SF 424B)
- Grants.gov Lobby form (formerly ED 80-0013 form)

### Application Narrative

- ED Abstract Narrative Form
- Project Narrative Form
- Budget Narrative Form
- Other Attachments Form (Upload Appendices here)

### Appendices:

- Appendix 1: Individual Resumes for Project Director and Key Personnel
- Appendix 2: Current Indirect Cost Rate Agreement
- Appendix 3: List of proprietary information found in the application, if applicable
- Appendix 4: Assurance that Applicant will participate in an evaluation, pursuant to Application Requirement 5

**NOTE:** Eligible applicants should attach all appendices to the Other Attachments Form. The Grants.gov system will allow applicants to attach as many as ten separate appendices in this section.



## VII. APPENDIX: CORONAVIRUS BURDEN FACTORS

### Appendix A

Percentile calculation of Coronavirus burden by State, as referenced in Section (V)(1)(A).

<u>State</u>	<u>1</u> <u>% of Population</u> <u>Without</u> <u>Broadband</u> <u>Access</u>	<u>2</u> <u>Initial Unemployment</u> <u>Insurance Claims Filed</u> <u>(as % of Civilian Labor</u> <u>Force)<sup>1</sup></u>	<u>3</u> <u>State % Share of</u> <u>Confirmed</u> <u>Coronavirus</u> <u>Cases Per</u> <u>Capita<sup>2</sup></u>	<u>Percentile based on 3</u> <u>factors weighted</u> <u>equally</u>
Alabama	16.5	20.19	1.06	61st to 80th percentile
Alaska	10.3	23.55	0.30	41st to 60th percentile
Arizona	11.7	14.54	0.78	20th percentile or lower
Arkansas	19.2	13.82	0.70	41st to 60th percentile
California	8.9	21.01	0.85	21st to 40th percentile
Colorado	8.2	11.76	1.82	20th percentile or lower
Connecticut	8.9	15.62	5.14	61st to 80th percentile
Delaware	9.2	18.00	3.33	61st to 80th percentile
District of Columbia	11.7	19.63	4.54	81st to 100th percentile
Florida	12.5	17.15	1.05	21st to 40th percentile
Georgia	13.2	31.20	1.69	81st to 100th percentile
Hawaii	10.2	31.69	0.24	61st to 80th percentile
Idaho	10	14.11	0.73	20th percentile or lower
Illinois	11	14.30	3.10	41st to 60th percentile
Indiana	13.6	18.75	1.88	61st to 80th percentile

<sup>1</sup> The initial unemployment insurance claims filed as a percentage of each State's civilian labor force are provided here for informational purposes, and the Department will update these data as of the deadline for transmittal of applications, which may adjust State percentiles and rankings.

<sup>2</sup> The COVID-19 per capita percentages for each State are provided here for informational purposes, and the Department will update these data as of the deadline for transmittal of applications, which may adjust State percentiles and rankings.

<u>State</u>	<u>1</u> <u>% of Population</u> <u>Without</u> <u>Broadband</u> <u>Access</u>	<u>2</u> <u>Initial Unemployment</u> <u>Insurance Claims Filed</u> <u>(as % of Civilian Labor</u> <u>Force)<sup>1</sup></u>	<u>3</u> <u>State % Share of</u> <u>Confirmed</u> <u>Coronavirus</u> <u>Cases Per</u> <u>Capita<sup>2</sup></u>	<u>Percentile based on 3</u> <u>factors weighted</u> <u>equally</u>
Iowa	11.9	16.55	1.92	41st to 60th percentile
Kansas	11.6	15.50	1.12	21st to 40th percentile
Kentucky	14.4	32.87	0.78	81st to 100th percentile
Louisiana	17.6	26.14	3.87	81st to 100th percentile
Maine	11.7	18.11	0.56	21st to 40th percentile
Maryland	9	13.90	2.79	21st to 40th percentile
Massachusetts	8.7	21.08	6.10	81st to 100th percentile
Michigan	12.1	27.23	3.86	81st to 100th percentile
Minnesota	9.3	19.62	0.84	21st to 40th percentile
Mississippi	19.4	17.45	1.69	61st to 80th percentile
Missouri	13.1	16.21	0.87	21st to 40th percentile
Montana	12.2	17.65	0.26	21st to 40th percentile
Nebraska	9.9	10.54	2.00	20th percentile or lower
Nevada	11.3	26.95	1.11	61st to 80th percentile
New Hampshire	7.6	22.52	1.16	41st to 60th percentile
New Jersey	9.1	21.59	8.79	81st to 100th percentile
New Mexico	20.6	13.82	1.18	61st to 80th percentile
New York	11.7	19.32	9.70	81st to 100th percentile
North Carolina	13.2	16.85	0.71	21st to 40th percentile
North Dakota	15.1	15.21	1.00	41st to 60th percentile
Ohio	11.8	19.67	1.08	41st to 60th percentile
Oklahoma	14.4	19.21	0.62	41st to 60th percentile
Oregon	8.9	15.69	0.41	20th percentile or lower

<u>State</u>	<u>1</u> <u>% of Population Without Broadband Access</u>	<u>2</u> <u>Initial Unemployment Insurance Claims Filed (as % of Civilian Labor Force)<sup>1</sup></u>	<u>3</u> <u>State % Share of Confirmed Coronavirus Cases Per Capita<sup>2</sup></u>	<u>Percentile based on 3 factors weighted equally</u>
Pennsylvania	11.9	26.44	2.39	61st to 80th percentile
Puerto Rico	33.6	22.96	0.36	81st to 100th percentile
Rhode Island	10.3	27.49	5.63	81st to 100th percentile
South Carolina	15.1	19.35	0.81	61st to 80th percentile
South Dakota	14.6	8.09	1.85	20th percentile or lower
Tennessee	14.3	13.82	1.21	21st to 40th percentile
Texas	13.3	12.98	0.70	20th percentile or lower
Utah	7.1	9.06	1.05	20th percentile or lower
Vermont	13.9	17.72	0.87	41st to 60th percentile
Virginia	11	14.22	1.43	21st to 40th percentile
Washington	7.4	25.06	1.24	61st to 80th percentile
West Virginia	16.4	16.86	0.41	41st to 60th percentile
Wisconsin	11.4	15.65	0.88	20th percentile or lower
Wyoming	11	11.12	0.63	20th percentile or lower

### **Data sources and methodology:**

#### Available Broadband Access

The number in column 1 is the percent of the population in each State without broadband access of any kind in 2018, as determined by 100 minus the percent of households with broadband access in 2018. The source for the percent of households with broadband access of any kind is the U.S. Census Bureau American Community Survey in 2018. This data may be retrieved through the customization of this table:

<https://data.census.gov/cedsci/table?q=S2802&tid=ACSST1Y2018.S2802>.

#### Initial Unemployment Insurance Claims

The number in column 2 is the total number of initial unemployment insurance (UI) weekly claims reported by the State between the week ending March 14, 2020 and the week ending May

2, 2020<sup>3</sup> divided by the number of individuals in the State’s civilian labor force during March 2020.<sup>4</sup> The UI weekly claims data are not seasonally adjusted. The source of the UI weekly initial claims data is the Unemployment Insurance Weekly Claims Report published by the Employment and Training Administration in the U.S. Department of Labor (DOL). The data may be retrieved from [https://oui.doleta.gov/unemploy/claims\\_arch.asp](https://oui.doleta.gov/unemploy/claims_arch.asp). The source of the data on the State’s civilian labor force is the Bureau of Labor Statistics in DOL. The data may be retrieved from <https://www.bls.gov/news.release/laus.t01.htm>.

### COVID-19 Cases Per Capita

The number in column 3 is the percent share of total COVID-19 cases per capita for each State. This number is derived by taking the total number of COVID-19 cases per capita reported to the Centers for Disease Control, by State, as of 5:51 p.m. on May 6, 2020 and dividing that by the total number of cases per capita in the U.S. The per capita data and the sum of all cases per capita may be retrieved from the Centers for Disease Control at <https://www.cdc.gov/covid-data-tracker/index.html> by downloading the Excel document that accompanies the visual displays.

### Ranking Methodology

To determine ranking, States were assigned total burden scores based on sum of the values of the indicators relative to one another.<sup>5</sup> All three indicators were weighted equally in calculating burden scores. Higher values on the indicators shows higher need for the State (e.g., higher share of COVID-19 cases, higher percentage of households without broadband access, etc.). The States were then ranked based on their total burden scores. Points were then awarded by the percentile of their rank as indicated below.

<b>Percentile</b>	<b>Number of Points Awarded</b>	<b>State Ranks<sup>6</sup></b>
81 <sup>st</sup> to 100 <sup>th</sup> percentile	20	43 through 52
61 <sup>st</sup> to 80 <sup>th</sup> percentile	16	32 through 42
41 <sup>st</sup> to 60 <sup>th</sup> percentile	12	22 through 31
21 <sup>st</sup> to 40 <sup>th</sup> percentile	8	11 through 21
20 <sup>th</sup> percentile and below	4	1 through 10

<sup>3</sup> Unlike the other weeks, the weekly initial unemployment claims for the week ending May 2, 2020 are the *advanced* initial unemployment claims, released on May 7, 2020.

<sup>4</sup> The number for Puerto Rico’s total civilian labor force is from February 2020 because data for March 2020 were not available.

<sup>5</sup> Each indicator is worth 33.3 points out of 100 possible total burden points. The state with the highest burden for an indicator is awarded 33.3 points and all other states are assigned points based on the percentage of their burden relative to the state with the highest burden for that indicator. Total burden is the sum of all the points for each indicator.

<sup>6</sup> Higher scores indicate higher burden.