

**U.S. DEPARTMENT OF EDUCATION**

Office of Postsecondary Education

Washington, DC 20202

**Fiscal Year 2020**

**APPLICATION FOR GRANTS**

**Institutional Resilience and Expanded Postsecondary  
Opportunity Grants Program**

**CFDA NUMBER: 84.425P**

**Form Approved**

**OMB No. 1840-0848, Expiration Date: 02/28/2021**



**DATED MATERIAL – OPEN IMMEDIATELY**

**CLOSING DATE: October 20, 2020**

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Dear Applicant:

Thank you for your interest in applying for a new grant under the fiscal year (FY) 2020 Institutional Resilience and Expanded Postsecondary Opportunity (IREPO) Grants Program. This letter highlights items in the application package that will be important to you in applying for a grant under this program. Please review the entire application package carefully before preparing and submitting your application.

The purpose of the IREPO Grants, offered under section 18004(a)(3) of the CARES Act and the Fund for the Improvement of Postsecondary Education (FIPSE), is to provide financial support to institutions of higher education (IHEs) with the greatest unmet needs related to coronavirus to enable them to resume operations, serve the needs of students, reduce disease transmission, and develop more resilient instructional delivery models, such as distance learning, to continue educating students who cannot or choose not to attend classroom-based instruction due to coronavirus. The eligible applicant is an IHE as defined in section 101 of the HEA, or a consortium of such IHEs.

This program contains one absolute priority. In addition, there are three competitive preference priorities that allow for up to three points to be awarded for each of two competitive priorities and up to ten points for one competitive priority, for a cumulative total of up to sixteen competitive preference points.

Therefore, to receive a grant under the IREPO grant program, an institution of higher education must respond to the absolute priority by demonstrating the greatest unmet needs related to coronavirus and showing how this grant will enable them to resume operations, serve the needs of students, reduce disease transmission, and/or implement safe and effective instructional delivery models, that will enable safe in-person learning and expand remote learning opportunities when necessary.

We highly encourage applicants to notify us of their intent to apply. To do so, please email Karen Epps at [Karen.Epps@ed.gov](mailto:Karen.Epps@ed.gov) with the subject line "Intent to Apply." Include the applicant's name and a contact person's name and email address. 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. The Department will be able to review grant applications more efficiently if we know the approximate number of applicants that intend to apply. Therefore, we strongly encourage each potential applicant to notify us of their intent to apply.

In addition to the absolute priority and three competitive priorities, there are three selection criteria that applicants must address to be competitive.

For additional information on the selection criteria and the priorities, refer to the *Federal Register* Notice Inviting Applications (NIA) for New Awards for FY 2020, which is included in this application package.

Applications for FY 2020 grants under the IREPO Program must be submitted electronically using Grants.gov at: <http://www.grants.gov>. 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

[www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf](http://www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf), which contain requirements and information on how to submit an application.

The NIA published in the *Federal Register* is the official document describing the requirements for submitting an IREPO grant application. You should not rely upon any information that is inconsistent with the guidance contained in the official document. If you have any questions or require additional information, please contact Karen Epps at [Karen.Epps@ed.gov](mailto:Karen.Epps@ed.gov).

We encourage applicants to review the “Competition Highlights” found in this application package for an overview of important items.

I appreciate your interest in the IREPO Program and look forward to receiving your application.

Sincerely,

/s/

Diane Auer Jones

Principal Deputy Under Secretary

Delegated to Perform the Duties of Under Secretary

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## Competition Highlights

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1. Institutional Resilience and Expanded Postsecondary Opportunity Grants Program grant applications for FY 2020 must be submitted electronically through Grants.gov at: <http://www.grants.gov>. 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 [www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf](http://www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf), which contain requirements and information on how to submit an application.

2. It is important to know that Grants.gov does not allow applicants to “un-submit” applications. Therefore, if you discover that changes or additions are needed once your application has been accepted and validated by the Department, you must “re-submit” the entire application. You should know that if the Department receives duplicate applications, we will accept and process the application with the latest “date/time received” validation.

3. Grants under this competition will be awarded on a competitive basis. For this competition, an eligible institution of higher education may submit **one** grant application. For this program, we define institutions with the greatest unmet needs related to coronavirus as those that--

(1) Had a student population enrolled at the beginning of the term that included March 13, 2020, or, if that date occurred during a break between terms, at the beginning of the term immediately prior to the break which included March 13, 2020, in which more than 30 percent of full-time students received a Pell Grant; and/or

(2) Were underserved by other CARES Act programs either because--

(a) The institution did not receive a loan under the Paycheck Protection Program established by the CARES Act; and/or

(b) The institution serves large numbers of part-time students and, as such, received a reduced per-student allocation under section 18004(a)(1) of the CARES Act relative to institutions of the same or similar total enrollment that serve mostly full-time students; and

(c) Had other unmet needs due to the novel coronavirus, as described by the institution in its application.

4. Under the Institutional Resilience and Expanded Postsecondary Opportunity Grants Program, the Department will offer grants under section 18004(a)(3) of the CARES Act and the Fund for the Improvement of Postsecondary Education (FIPSE), to provide financial support to institutions of higher education (IHEs) with the greatest unmet needs related to coronavirus to enable them to resume operations, serve the needs of students, reduce disease transmission, and develop more resilient instructional delivery models, such as distance learning, to continue educating students who cannot or choose not to attend classroom-based instruction due to coronavirus.

5. We will not make an award exceeding the maximum allowable amount for a single budget period of 12 months. (See Notice Inviting Applications for information on the maximum allowable amount.)

6. There is an absolute priority for this competition. An applicant must respond to the absolute priority to be eligible to be reviewed. (See Notice Inviting Applications for information regarding the absolute priority.)
7. There are three competitive preference priorities that allow for up to three points to be awarded for each of two competitive priorities and up to ten points for one competitive priority, for a cumulative total of up to sixteen competitive preference points. Points are awarded on the quality of the response to the priority.
8. All applicants are encouraged to adhere to the page limit for the Project Narrative portion of the application. We recommend that you limit the section of the narrative that addresses the selection criteria and the priorities to no more than 25 pages.
9. Applicants must complete a supporting budget narrative for each line item on the ED-524 form. The budget narrative does not count against your page count.
10. Applicants are required to address 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 this program. Applicants must provide the information noted in this application packet and found in the Notice Inviting Applications under the Performance Measures section.
11. This application package contains detailed instructions for every required component of your application. It also includes an Application Checklist for your convenience. Note: If all required documents are not submitted with your application, it may be deemed ineligible.
12. Applicants are required to submit a Project Abstract. The Project Abstract is limited to a one-page single-spaced document. The abstract must include the name of the institution, city and description of the proposed project. The abstract must be uploaded to the “ED Abstract Form” in the Grants.gov system as a .pdf document.
13. Lastly, applicants are reminded that the notice published in the Federal Register is the official document. You should not rely upon any information that is inconsistent with the guidance contained within the official document.

## **IMPORTANT – PLEASE READ FIRST**

### **U.S. Department of Education**

### **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**

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.

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

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

- 2) **SUBMIT EARLY** – **We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded.** The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully to Grants.gov before 11:59:59 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. 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, log in to Grants.gov and click on the Track My Application link. For a successful submission, the date/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/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 at 1-800-518-4726 or [support@grants.gov](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. 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 Transmittal Instructions

**This program requires the electronic submission of applications.**

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

If you want to apply for a grant and be considered for funding, you must meet the following deadline requirements:

### **Applications Submitted Electronically:**

**You must submit your grant application through the Internet using the software provided on the Grants.gov Web site (<http://www.grants.gov>) by 11:59:59 p.m., Eastern Time, on or before the deadline date.**

If you submit your application through the Internet via the Grants.gov Web site, you will receive an automatic acknowledgement when we receive your application.

For more information on using Grants.gov, please refer to the Grants.gov information found in this application package and visit <http://www.grants.gov>.

### **Submission of Paper Applications by Mail:**

If you qualify for an exemption to the electronic submission requirement and you submit your application in paper format by mail (through the U.S. Postal Service or a commercial carrier), 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 84.425P  
LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260**

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

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

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

1. A private metered postmark.

2. A mail receipt that is not dated by the U.S. Postal Service.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

Special Note: Due to potential disruption to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; U.S. Postal Service Express Mail; or a courier service) to transmit your application for this competition to the Department. If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Delivered by Mail,” and then follow the instructions for “Applications Delivered by Hand.”

### **Submission of Paper Applications by Hand Delivery:**

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

**U.S. Department of Education  
Application Control Center  
Attention: CFDA Number 84.425P  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260**

### **Note for Mail or Hand Delivery of Paper Applications:**

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

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

### **Application Control Center Hours of Operation:**

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, D.C. time) except Saturdays, Sundays, and Federal holidays.

### **Late Applications**

If your application is late, we will notify you if we will not consider the application.

4000-01-U

DEPARTMENT OF EDUCATION

Applications for New Awards; Institutional Resilience and Expanded Postsecondary Opportunity Grants Program

AGENCY: Office of Postsecondary Education, Department of Education.

ACTION: Notice.

SUMMARY: The Department of Education (Department) is issuing a notice inviting applications (NIA) from eligible applicants for fiscal year (FY) 2020 for Institutional Resilience and Expanded Postsecondary Opportunity (IREPO) Grants under section 18004(a) (3) of the Higher Education Emergency Relief Fund of the Coronavirus Aid, Relief, and Economic Security Act (CARES Act or Act), Catalog of Federal Domestic Assistance (CFDA) number 84.425P. This notice relates to the approved information collection under OMB control number 1840-0848.

DATES:

Applications Available: August 21, 2020.

Deadline for Notice of Intent to Apply: September 10, 2020.

Deadline for Transmittal of Applications: October 20, 2020.

Pre-Application Information: The Department will post additional information for prospective applicants on the IREPO program website:

<https://www2.ed.gov/about/offices/list/ope/heerfirepo.html>.

ADDRESSES: For the addresses for obtaining and submitting an application, please refer to our 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 [www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf](http://www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf).

FOR FURTHER INFORMATION CONTACT: Karen Epps, U.S. Department of Education, 400 Maryland Avenue, SW, 250-64, Washington, DC 20202. Telephone: (202) 453-6337. Email: [Karen.Epps@ed.gov](mailto:Karen.Epps@ed.gov).

If you use a telecommunications device for the deaf (TDD) or a text telephone (TTY), call the Federal Relay Service (FRS), toll free, at 1-800-877-8339.

SUPPLEMENTARY INFORMATION:

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The purpose of the IREPO Grants, offered under section 18004(a)(3) of the CARES Act and the Fund for the Improvement of Postsecondary Education (FIPSE), is to provide financial support to institutions of higher education (IHEs) with the greatest unmet needs related to coronavirus to enable them to resume operations, serve the needs of students, reduce disease transmission, and develop more resilient instructional delivery models, such as distance learning, to continue educating students

who cannot or choose not to attend classroom-based instruction due to coronavirus.

This program contains one absolute priority. In addition, there are three competitive preference priorities that allow for up to three points to be awarded for each of two competitive priorities and up to ten points for one competitive priority, for a cumulative total of up to sixteen competitive preference points.

Background: Section 18004(a)(3) of the CARES Act directs the Secretary to allocate 2.5 percent of the \$14.2 billion Higher Education Emergency Relief Fund (HEERF) funds appropriated by the Act to provide grants to institutions under part B of title VII of the Higher Education Act of 1965, as amended (HEA), for institutions that the Department has determined have the greatest unmet needs related to coronavirus. Part B of title VII of the HEA establishes the FIPSE. FIPSE grants, including grants under this program, are limited to institutions of higher education, as defined in section 101 of the HEA.

FIPSE grants are required, by statute, to support improvements in higher education through reforms, improvements, or innovations in postsecondary education programs, opportunities, and delivery models. Section 18004(a)(3) of the CARES Act provides funding specifically for the FIPSE program, and section 18004(d) of the Act directs the Secretary to give

priority to IHEs that received less than \$500,000 combined under the IHE formula grants authorized by section 18004(a)(1) of the CARES Act and the grants authorized by section 18004(a)(2) of the Act and that demonstrate the greatest unmet needs related to expenses associated with coronavirus.

Read together, section 18004(a)(3) and (d) of the CARES Act gives the Department discretion to determine which public and not-for-profit IHEs that are eligible for FIPSE grants should receive section 18004(a)(3) IREPO grants. Given the statutory directive to the Department to provide priority to institutions that received less than \$500,000 from the other HEERF grants, the Department's general understanding that all IHEs have been significantly impacted by the coronavirus national emergency, and to facilitate the expedient delivery of emergency funds to IHEs, the Department, in its discretion, decided to provide section 18004(a)(3) grant awards to all eligible IHEs (public and not-for-profit institutions) that had received less than \$500,000 collectively from the other HEERF grants, in amounts that would mean that each such IHE would receive \$500,000 total from all its HEERF grants. The Department has already announced a first round of allocations under section 18004(a)(3) specifically for institutions that received less than \$500,000 combined under the grants authorized by section 18004(a)(1) and (a)(2). Section 18004(a)(3) allows for a broad range of uses for IREPO grants, by



stating that they may be used “to defray expenses (including lost revenue, reimbursement for expenses already incurred, technology costs associated with a transition to distance education, faculty and staff trainings, payroll) incurred by IHEs and for grants to students for any component of the student’s cost of attendance (as defined under section 472 of the Higher Education Act), including food, housing, course materials, technology, health care, and child care.”

To disburse the remainder of the \$348.8 million set aside for section 18004(a)(3) awards, the Department believes it should run a grant competition that complies with the requirements of the FIPSE grant program, in that the use of these funds will result in improvements in postsecondary education and opportunity, and that complies with the requirements of the CARES Act in giving priority to institutions with the greatest unmet needs related to coronavirus. Section 18004(a)(3) does not define the term “greatest unmet needs related to coronavirus.” While section 18004(a)(3) allows funds to be used to “defray expenses” and for “grants to students,” given that Congress chose FIPSE as the program through which these grants would be issued, expenditures under this program may be used to defray expenses associated with coronavirus, but must also result in improvements in postsecondary education. As a result, the Department believes it is reasonable to establish priorities, selection criteria,

definitions, and other requirements for the IREPO Grant Program competition that would serve the IHEs with the greatest unmet coronavirus-related needs and support the purpose of improving postsecondary education in response to coronavirus-related challenges.

For the purpose of this program, we define institutions with the greatest unmet needs related to coronavirus as those that--

(1) Had a student population enrolled at the beginning of the term that included March 13, 2020, or, if that date occurred during a break between terms, at the beginning of the term immediately prior to the break which included March 13, 2020, in which more than 30 percent of full-time students received a Pell Grant; and/or

(2) Were underserved by other CARES Act programs either because--

(a) The institution did not receive a loan under the Paycheck Protection Program established by the CARES Act; and/or

(b) The institution serves large numbers of part-time students and, as such, received a reduced per-student allocation under section 18004(a)(1) of the CARES Act relative to institutions of the same or similar total enrollment that serve mostly full-time students; and

(c) Had other unmet needs due to the novel coronavirus, as described by the institution in its application.

The Department will provide grants to individual eligible institutions or consortia of two or more eligible institutions.

Starting in March 2020, the novel coronavirus forced nearly all the Nation's secondary and postsecondary institutions to expand their use of, or transition fully to, remote learning. While some IHEs already had a significant online presence prior to the COVID-19 national emergency, others had little experience in delivering distance learning. For those institutions, the move to distance learning represented an abrupt and costly shift to a new instructional model that may have required the institution to purchase or lease equipment; develop or procure a learning management system; develop or procure distance learning content; train faculty and staff to engage in instruction and student support using technology; provide equipment; and pay internet access fees on behalf of students.

In addition, the shift to distance learning left many campuses with empty campus facilities, required them to refund portions of student tuition and fees, and reduced their revenue streams from ancillary programs and services. The Department is generally aware that there is a concern that student enrollments will continue to decline as a result of COVID-19 related disruptions among IHEs.<sup>12</sup> Therefore, new efforts are required to

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<sup>1</sup> <https://www.forbes.com/sites/richardvedder/2020/04/07/500-1000-colleges-to-disappear-survival-of-the-fittest/#5a0d019411a1>

<sup>2</sup> <https://www.mckinsey.com/industries/social-sector/our-insights/covid-19-and-us-higher-education-enrollment-preparing-leaders-for-fall#>

help institutions become more resilient in the face of continuing COVID-19 or other similar interruptions and to develop more cost-effective models of operation to make higher education more affordable. This program seeks to support those efforts for institutions that have the highest unmet needs related to coronavirus.

In the case of secondary schools, few had experience in providing instruction through distance learning, and many schools either ceased providing instruction to students for several weeks, ended the school year early, or transitioned to distance learning but reduced learning expectations and rigor in an effort to accommodate their lack of experience in providing distance education. Unfortunately, this means that even more students are likely to graduate from high school underprepared for the demands of postsecondary education, thereby reducing the rates at which they enter, persist through, and complete postsecondary education, including career and technical education.

Research shows that students who enter college having participated in concurrent enrollment programs are more likely to complete high school, enroll directly in four-year institutions, persist in postsecondary education, and accumulate more college credit, and these students are less likely to need developmental education as matriculated undergraduate students.<sup>3</sup> Therefore, the Department sees an opportunity to address this unmet need by

<sup>3</sup> <https://ccrc.tc.columbia.edu/media/k2/attachments/broadening-benefits-dual-enrollment-rp.pdf>

encouraging IHEs to expand dual enrollment opportunities, thus compensating for deficiencies of the Nation's K-12 system in serving students through distance learning during the national emergency, and increasing student readiness for, and success in pursuing, postsecondary education. Such efforts will also help stabilize enrollments at participating IHEs. For this reason, one of the competitive preference priorities for this program is the development or expansion of high-quality concurrent or dual enrollment programs, including career and technical education programs, for high school students who can earn college credits while earning their high school diploma.

In addition, the Department recognizes the stabilizing force the Historically Black Colleges and Universities (HBCUs), minority serving institutions (MSIs), and other institutions that are eligible to participate in title III or title V programs have in their communities. As such, institutions that are eligible to participate in title III or title V programs, and that are either located in a rural community or Opportunity Zone, or serve high school students through dual enrollment who live in or attend high school in a rural community or Opportunity Zone, including home schooled students, are given a competitive preference.

Applicants are encouraged to develop innovative solutions that expand remote learning opportunities, including for dual enrollment students. The proposed project design should be

supported by evidence that meets the standard of demonstrates a rationale (as defined in this notice). Applications may provide a framework that identifies key components on how the proposed strategy, program, or activity is informed by research or by the positive outcomes of earlier efforts that are similar to or serve as the foundation for the proposed project.<sup>4</sup> These positive outcomes must suggest that the proposed activity is likely to improve relevant outcomes (as defined in this notice). We encourage evidence that demonstrates a rationale for the proposed activity to ensure that some preliminary work has been done to demonstrate the merit of the proposal, while at the same time inviting the broadest possible range of innovative solutions that may not yet have been tested at scale or evaluated through experimental or quasi-experimental design.

Priorities: This notice contains one absolute priority and three competitive preference priorities. We are establishing these priorities for the FY 2020 grant competition and any subsequent year in which we make awards from the list of unfunded applications from this competition, in accordance with section 437(d)(1) of the General Education Provisions Act (GEPA), 20 U.S.C. 1232(d)(1).

Absolute Priority: This priority is an absolute priority. Under 34 CFR 75.105(c)(3), we consider only applications that meet this absolute priority.

<sup>4</sup> This type of action can also be described as a logic model, as defined by 34 CFR 77.1.

Expanding Opportunity and Building Institutional Resilience.

Projects that will provide financial support to IHEs with the greatest unmet needs related to coronavirus to enable them to resume operations, serve the needs of students, reduce disease transmission, and/or implement safe and effective instructional delivery models, that will enable safe in-person learning and expand remote learning opportunities when necessary.

Competitive Preference Priorities: These priorities are competitive preference priorities. Under 34 CFR 75.105(c)(2)(i), we award up to an additional sixteen points to an application, depending on how well the application meets these priorities.

These priorities are:

Competitive Preference Priority 1--Developing Resilient Instructional Delivery Models. (0-3 points)

Projects that propose to use grant funds to expand the institution's capacity to develop or expand instructional delivery models, such as remote learning opportunities, to students who cannot or choose not to attend classroom-based instruction both during and after the COVID-19 national emergency. Under section 741(a)(3) of the HEA, the Secretary is authorized to make grants to improve postsecondary education through the establishment and continuation of institutions, programs, consortia, collaborations, and other joint efforts that utilize distance education and technological advancements to

educate and train postsecondary students (including health professionals serving medically underserved populations). Under section 741(a)(5) of the HEA, the Secretary is authorized to make grants to improve postsecondary education through the design and introduction of cost-effective methods of instruction and operation. Consistent with these statutory goals, this competitive preference priority addresses both an institution's need to respond to disruptions in instruction related to coronavirus, and the FIPSE goals of introducing or expanding the use of technology, and potentially reducing the cost of instructional delivery using such mechanisms.

Competitive Preference Priority 2--Providing Dual Enrollment Opportunities to Students Who Live or Attend School in a Rural Community or Opportunity Zone. (0-10 points)

Projects that provide high-quality postsecondary dual enrollment opportunities, which may include career and technical education programs, to high school students who live in or attend high school (including students who are homeschooled) in rural communities or Opportunity Zones. For purposes of this competition, a community is "rural" if the community meets the qualifications for rural applicants established in section 114(e)(5)(A) of the Carl D. Perkins Career and Technical Education Act of 2006, as amended by the Strengthening Career and Technical Education for the 21st Century Act, and the applicant certifies



that it meets those qualifications in its application. To receive points for proposing to serve students who live in or attend high school in an Opportunity Zone, applicants must provide the census tract number(s) of the relevant Qualified Opportunity Zone, as designated by the Secretary of the Treasury under section 1400Z-1 of the Internal Revenue Code. This competitive preference priority aligns with section 741(a)(6) of the HEA, which authorizes the Secretary to make grants to support the introduction of institutional reforms designed to expand individual opportunities for entering and reentering postsecondary institutions and pursuing programs of postsecondary study tailored to individual needs.

Competitive Preference Priority 3--Title III and Title V Participating Institutions. (0-3 points)

Projects that--

(a) Are led by an institution that is eligible to receive assistance under title III or under title V of the HEA (3 points);

(b) Include as a consortium partner more than one such institution (2 points); or

(c) Include as a consortium partner one such institution (1 point).

Definitions: The definitions of "baseline," "demonstrates a rationale," "performance measure," "performance target," "project

component," and "relevant outcome" are from 34 CFR 77.1. The definition of "institution of higher education" is from section 101 of the HEA. We are establishing the definition of "distance education," for the FY 2020 grant competition and any subsequent year in which we make awards from the list of unfunded applications from this competition, in accordance with section 437(d)(1) of GEPA, 20 U.S.C. 1232(d)(1).

Baseline means the starting point from which performance is measured and targets are set.

Distance education means--

(1) Education that uses one or more of the technologies listed in paragraphs (2)(i) through (iv) of this definition to deliver instruction to students who are separated from the instructor or instructors and to support regular and substantive interaction between the students and the instructor or instructors, either synchronously or asynchronously.

(2) The technologies that may be used to offer distance education include--

(i) The internet;

(ii) One-way and two-way transmissions through open broadcast, closed circuit, cable, microwave, broadband lines, fiber optics, satellite, or wireless communications devices;

(iii) Audio conference; or

(iv) Other media used in a course in conjunction with any of the technologies listed in paragraph (2)(i) through (iii) of this definition.

(3) For purposes of this definition, an instructor is an individual responsible for delivering course content and who meets the qualifications for instruction established by an institution's accrediting agency.

(4) For purposes of this definition, substantive interaction is engaging students in teaching, learning, and assessment, consistent with the content under discussion, and also includes at least two of the following--

(i) Providing direct instruction;

(ii) Assessing or providing feedback on a student's coursework;

(iii) Providing information or responding to questions about the content of a course or competency;

(iv) Facilitating a group discussion regarding the content of a course or competency; or

(v) Other instructional activities approved by the institution's or program's accrediting agency.

(5) An institution ensures regular interaction between a student and an instructor or instructors by, prior to the student's completion of a course or competency--

(i) Providing the opportunity for substantive interactions with the student on a predictable and regular basis commensurate with the length of time and the amount of content in the course or competency; and

(ii) Monitoring the student's academic engagement and success and ensuring that an instructor is responsible for promptly and proactively engaging in substantive interaction with the student when needed on the basis of such monitoring, or upon request by the student.

Institution of higher education (IHE) means--

(a) An educational institution in any State that--

(1) Admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such a certificate, or persons who meet the requirements of section 484(d) of the HEA;

(2) Is legally authorized within such State to provide a program of education beyond secondary education;

(3) Provides an educational program for which the institution awards a bachelor's degree or provides not less than a 2-year program that is acceptable for full credit toward such a degree, or awards a degree that is acceptable for admission to a graduate or professional degree program, subject to review and approval by the Secretary;

(4) Is a public or other nonprofit institution; and

(5) Is accredited by a nationally recognized accrediting agency or association or, if not so accredited, is an institution that has been granted preaccreditation status by such an agency or association that has been recognized by the Secretary for the granting of pre-accreditation status, and the Secretary has determined that there is satisfactory assurance that the institution will meet the accreditation standards of such an agency or association within a reasonable time.

(b) The term also includes:

(1) Any school that provides not less than a 1-year program of training to prepare students for gainful employment in a recognized occupation and that meets the provisions of paragraphs (1), (2), (4), and (5) of paragraph (a) of this definition; and

(2) A public or nonprofit private educational institution in any State that, in lieu of the requirement in paragraph (a)(1) of this definition, admits as regular students individuals--

(A) Who are beyond the age of compulsory school attendance in the State in which the institution is located; or

(B) Who will be dually or concurrently enrolled in the institution and a secondary school.

Performance measure means any quantitative indicator, statistic, or metric used to gauge program or project performance.

Performance target means a level of performance that an

applicant would seek to meet during the course of a project or as a result of a project.

Project component means an activity, strategy, intervention, process, product, practice, or policy included in a project. Evidence may pertain to an individual project component or to a combination of project components (e.g., training teachers on instructional practices for English learners and follow-on coaching for these teachers).

Relevant outcome means the student outcome(s) or other outcome(s) the key project component is designed to improve, consistent with the specific goals of the program.

Application Requirements: The following application requirements are established for the FY 2020 grant competition and any subsequent year in which we make awards from the list of unfunded applications from this competition, in accordance with section 437(d)(1) of GEPA, 20 U.S.C. 1232(d)(1). Applicants must--

(1) Provide information about the number and percentage of the institution's students (or the number and percentage of students at each institution in a consortium) who were enrolled in title IV eligible programs during the term immediately prior to the term or scheduled break between terms in which March 13, 2020 occurred and were eligible to receive a Pell grant;

(2) Were underserved by other CARES Act programs either because--

(a) The institution did not receive a loan under the Paycheck Protection Program authorized by the CARES Act; and/or

(b) The institution serves large numbers of part-time students and, as such, received a reduced per-student allocation under section 18004(a)(1) of the CARES Act relative to institutions of the same or similar size (meaning total enrollments) that serve mostly full-time students; and

(c) Had other unmet needs relative to the novel coronavirus, as described by the institution in its application.

(3) Include a description of the institution's (or consortium of institutions') unmet needs related to the coronavirus not captured under (2);

(4) Include a timeline for implementing key elements of the applicant's proposed project under the absolute priority, as well as metrics by which the institution will measure its success in implementing the project and improving student outcomes; and

(5) Assure that the applicant will provide information to the Secretary, as requested, for evaluations that the Secretary may carry out.

Waiver of Proposed Rulemaking: Under the Administrative Procedure Act (5 U.S.C. 553), the Department generally offers interested parties the opportunity to comment on proposed priorities, selection criteria, definitions, and other requirements. Section 437(d)(1) of GEPA, however, allows the

Secretary to exempt from rulemaking requirements regulations governing the first grant competition under a new or substantially revised program authority. This is the first grant competition for this program under section 18004(a)(3) of the CARES Act, and therefore qualifies for this exemption. In order to ensure timely grant awards, the Secretary has decided to forgo public comment on the priorities, requirements, definitions, and selection criteria under section 437(d)(1) of GEPA.

Program Authority: Section 18004(a)(3) of Division B of the CARES Act, Pub. Law 116-36 (enacted March 27, 2020).

Applicable Regulations: (a) The Education Department General Administrative Regulations in 34 CFR parts 75, 77, 79, 81, 82, 84, 86, 97, 98, and 99. (b) The Office of Management and Budget Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) in 2 CFR part 180, as adopted and amended as regulations of the Department in 2 CFR part 3485. (c) The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR part 200, as adopted and amended as regulations of the Department in 2 CFR part 3474.

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$28,000,000. These estimated available funds are the amount available for approximately 19 grants under the FY 2020 CARES Act. The Department will



determine the number of awards to be made under the absolute priority based on the quality of applications received, and consistent with the selection criteria and competitive preference priorities. It will also determine the size of an award made to an eligible applicant based on a review of the eligible applicant's budget.

Estimated Range of Awards: \$1,000,000 - \$3,000,000.

Estimated Average Size of Awards: \$1,500,000.

Estimated Number of Awards: 19.

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

Project Period: Up to 24 months.

### III. Eligibility Information

1. Eligible Applicants: The eligible applicant is an IHE as defined in section 101 of the HEA, or a consortium of such IHEs.

2. Cost Sharing or Matching: This program does not require cost sharing or matching.

3. Subgrantees: A grantee under this competition may not award subgrants to entities to directly carry out project activities described in its application.

### IV. Application and Submission Information

1. Application Submission Instructions: 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 [www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf](http://www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf), which contain requirements and information on how to submit an application.

2. Intergovernmental Review: This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. However, under 34 CFR 79.8(a), we waive intergovernmental review in order to make timely awards.

3. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

Under section 741(d) of the HEA, no funds made available under this part may be used to provide direct financial assistance in the form of grants or scholarships to students who do not meet the requirements of section 484(a) of the HEA. However, nothing in that section prevents a student who does not meet the requirements of section 484(a) from participating in programs funded under this part.

4. Recommended Page Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. We recommend that you (1) limit the application

narrative to no more than 25 pages and (2) use the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.

The recommended page limit does not apply to Part I, the cover sheet; Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; or the one-page abstract, the resumes, the letters of support, or the appendices. However, the recommended page limit does apply to all of the application narrative.

5. Notice of Intent to Apply: We will be able to develop a more efficient process for reviewing grant applications if we know the approximate number of applicants that intend to apply for funding under this competition. Therefore, the Secretary strongly encourages each potential applicant to notify us of the applicant's intent to submit an application by sending an email to Karen.Epps@ed.gov with *Intent to Apply* in the subject line.

Applicants that do not send a notice of intent to apply may still apply for funding.

## V. Application Review Information

1. Selection Criteria: The selection criteria for this competition are from 34 CFR 75.210 or are established for the FY 2020 grant competition and any subsequent year in which we make awards from the list of unfunded applications from this competition, in accordance with section 437(d)(1) of GEPA, 20 U.S.C. 1232(d)(1). The points assigned to each criterion are indicated in the parentheses next to the criterion. An applicant may earn up to a total of 95 points based on the selection criteria for the application.

### A. Greatest Unmet Needs. (up to 30 points)

In determining the institutions that have the greatest unmet needs related to the coronavirus, the Secretary considers the extent to which the institution:

(1) Serves a population of students in which more than 30 percent of its undergraduate students received a Pell Grant.

(a) 30 percent to 40 percent (7 points).

(b) 41 percent to 50 percent (8 points).

(c) 51 percent to 60 percent (9 points).

(d) Greater than 60 percent (10 points).

(2) Did not receive a loan under the Paycheck Protection Program loan authorized by the CARES Act. (5 points)

(3) Serves a student population that includes large percentages of part-time students, thus resulting in a smaller allocation for the institution under section 18004(a)(1) of the CARES Act. The impact of the percentage of part-time student enrollment will be evaluated as follows:

(a) 20 to 30 percent of students in the institution's most recent IPEDS report were enrolled part-time or less (6 points).

(b) 31 to 40 percent of students in the institution's most recent IPEDS report were enrolled part-time or less (7 points).

(c) 41 to 50 percent of students in the institution's most recent IPEDS report were enrolled part-time or less (8 points).

(d) 51 to 60 percent of students in the institution's most recent IPEDS report were enrolled part-time or less (9 points).

(e) 60 percent or more of students in the institution's most recent IPEDS report were enrolled part-time or less (10 points).

(4) Provides additional information to demonstrate that the institution has significant unmet needs related to the coronavirus for reasons other than those outlined in factors (A) (1) to (3) above (up to 5 points).

(GEPA Waiver)

B. Quality of the Project Services and Project Design. (up to 40 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) (34 CFR 75.210)

In addition, the Secretary considers--

(1) The extent to which the proposed project is an exceptional approach to the absolute priority and includes a detailed project plan for addressing the absolute priority. (up to 10 points) (GEPA Waiver)

(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) (34 CFR 75.210)

(3) The likelihood that the proposed activities will enable the institution to become more resilient to ongoing coronavirus impacts and future challenges and to reduce the cost of higher education for students and families served. (up to 10 points) (GEPA Waiver)

(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) (34 CFR 75.210)

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

The Secretary considers the quality of the management plan and adequacy of resources for the proposed project.

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) (34 CFR 75.210)

(2) The extent to which the budget is adequate to support the proposed project. (up to 5 points) (34 CFR 75.210)

(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) (34 CFR 75.210)

(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) (34 CFR 75.210)

2. Proposed Use of Funds: Applicants must describe the activities that will be supported with grant funds, consistent with allowable uses of funds under this program and the goals of the absolute priority.

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

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

Before making awards, we will screen applications submitted in accordance with the requirements in this notice to determine whether applications have met eligibility and other requirements. This screening process may occur at various stages of the



process; applicants that are determined to be ineligible will not receive a grant, regardless of peer reviewer scores or comments.

Peer reviewers will read, prepare a written evaluation of, and score the assigned applications, using the selection criteria and competitive preference priorities provided in this notice.

4. Risk Assessment and Specific Conditions: Consistent with 2 CFR 200.205, before awarding grants under this competition the Department conducts a review of the risks posed by applicants. Under 2 CFR 3474.10, the Secretary may impose specific conditions and, in appropriate circumstances, high-risk conditions on a grant if the applicant or grantee is not financially stable; has a history of unsatisfactory performance; has a financial or other management system that does not meet the standards in 2 CFR part 200, subpart D; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

5. Integrity and Performance System: If you are selected under this competition to receive an award that over the course of the project period may exceed the simplified acquisition threshold (currently \$250,000), under 2 CFR 200.205(a)(2), we must make a judgment about your integrity, business ethics, and record of performance under Federal awards--that is, the risk posed by you as an applicant--before we make an award. In doing so, we must consider any information about you that is in the integrity and performance system (currently referred to as the

Federal Awardee Performance and Integrity Information System (FAPIIS)), accessible through the System for Award Management. You may review and comment on any information about yourself that a Federal agency previously entered and that is currently in FAPIIS.

Please note that, if the total value of your currently active grants, cooperative agreements, and procurement contracts from the Federal Government exceeds \$10,000,000, the reporting requirements in 2 CFR part 200, Appendix XII, require you to report certain integrity information to FAPIIS semiannually. Please review the requirements in 2 CFR part 200, Appendix XII, if this grant plus all the other Federal funds you receive exceed \$10,000,000.

## VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN); or we may send you an email containing a link to access an electronic version of your GAN. We may notify you informally, also.

If your application is not evaluated or not selected for funding, we will notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the

application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. 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. When the deliverable consists of modifications to pre-existing works, the license extends only to those modifications that can be separately identified and only to the extent that open licensing is permitted under the terms of any licenses or other legal restrictions on the use of pre-existing works. Additionally, a grantee or subgrantee that is awarded competitive grant funds must have a plan to disseminate these public grant deliverables. This dissemination plan can be developed and submitted after your application has been reviewed and selected for funding. For additional information on the open licensing requirements please refer to 2 CFR 3474.20(c).

4. Reporting: (a) If you apply for a grant under this competition, you must ensure that you have in place the necessary

processes and systems to comply with the reporting requirements in 2 CFR part 170 should you receive funding under the competition. This does not apply if you have an exception under 2 CFR 170.110(b).

(b) In addition to annual performance reporting, a grantee must comply with the monthly reporting requirements of the Federal Funding Accountability and Transparency Act of 2006 (FFATA), which will serve to discharge a grantee's quarterly reporting requirements under section 15011 of the CARES Act.

(c) At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multiyear award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to [www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html).

(d) Under 34 CFR 75.250(b), the Secretary may provide a grantee with additional funding for data collection analysis and reporting. In this case the Secretary establishes a data collection period.

5. Performance Measures: We have established the following performance measures for the IREPO Grants program:

(1) The number of online classes offered by the institution prior to the novel coronavirus, and the number offered during the project period;

(2) The number of students enrolled in online classes prior to the novel coronavirus, and the number enrolled in online classes during the project period;

(3) Average annual cost of tuition and fees paid by all students during the 2019-2020 financial aid award year, and the average annual cost of tuition and fees paid by all students during the project period.

(4) Average annual Federal student loan size among students and parents who took title IV loans during the 2019-2020 financial aid award year and during the project period.

(5) Total enrollment at the institution at the beginning of the term in which the novel coronavirus national emergency was declared, or if that declaration took place during a break between terms, the enrollment at the institution at the beginning of the term prior to the break during which the national emergency was declared; and total enrollment during each term during the project period.

(6) For projects that include dual enrollment opportunities for students:

(a) The number of dual enrollment students served by the institution or consortium of institutions during the 2019-2020

award year, and the number of dual enrollment students served by the institution or consortium during the project period (disaggregated by gender, race, and whether or not they lived in or were educated in a rural community or Opportunity Zone);

(b) The total number of dual enrollment classes completed by students served by the project; the average number of classes completed by students served by the project; and the average number of college credits earned by those students as a result of this project; and

(c) The cost per student of each successfully completed dual enrollment class supported by these grant funds, including costs of instruction and costs of ancillary or support services (and any differences in cost between dual enrollment classes provided to students at their high school versus those provided to students by the grantee IHE).

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

Applicants must provide the following information as directed under 34 CFR 75.110(b) and (c):

(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.

All grantees must submit an annual performance report with information that is responsive to these performance measures.

VII. Other Information

Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) on request to the program contact person listed under FOR FURTHER INFORMATION CONTACT.

Electronic Access to This Document: The official version of this document is the document published in the *Federal Register*. You may access the official edition of the *Federal Register* and the Code of Federal Regulations at [www.govinfo.gov](http://www.govinfo.gov). At this site you can view this document, as well as all other documents of this Department published in the *Federal Register*, in text or Portable Document Format (PDF). To use PDF you must have Adobe Acrobat Reader, which is available free at the site.

You may also access documents of the Department published in the *Federal Register* by using the article search feature at [www.federalregister.gov](http://www.federalregister.gov). Specifically, through the advanced search feature at this site, you can limit your search to documents published by the Department.

Dated:

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Robert L. King,  
*Assistant Secretary for the Office  
of Postsecondary Education.*



## Program Authority

**Program Authority:** Section 18004(a)(3) of Division B of the CARES Act, Pub. Law 116-36 (enacted March 27, 2020).

Section 18004(a)(3) of the CARES Act directs the Secretary to allocate 2.5 percent of the \$13.95 billion Higher Education Emergency Relief Fund (HEERF) funds appropriated by the Act to provide grants to institutions under part B of title VII of the Higher Education Act of 1965, as amended (HEA), for institutions that the Department has determined have the greatest unmet needs related to coronavirus. Part B of title VII of the HEA establishes the FIPSE. FIPSE grants, including grants under this program, are limited to institutions of higher education, as defined in section 101 of the HEA.

FIPSE grants are required, by statute, to support improvements in higher education through reforms, improvements, or innovations in postsecondary education programs, opportunities, and delivery models. Section 18004(a)(3) of the CARES Act provides funding specifically for the FIPSE program, and section 18004(d) of the Act directs the Secretary to give priority to IHEs that received less than \$500,000 combined under the IHE formula grants authorized by section 18004(a)(1) of the CARES Act and the grants authorized by section 18004(a)(2) of the Act and that demonstrate the greatest unmet needs related to expenses associated with coronavirus.

Read together, section 18004(a)(3) and (d) of the CARES Act gives the Department discretion to determine which public and not-for-profit IHEs that are eligible for FIPSE grants should receive section 18004(a)(3) IREPO grants. Given the statutory directive to the Department to provide priority to institutions that received less than \$500,000 from the other HEERF grants, the Department's general understanding that all IHEs have been significantly impacted by the coronavirus national emergency, and to facilitate the expedient delivery of emergency funds to IHEs, the Department, in its discretion, decided to provide section 18004(a)(3) grant awards to all eligible IHEs (public and not-for-profit institutions) that had received less than \$500,000 collectively from the other HEERF grants, in amounts that would mean that each such IHE would receive \$500,000 total from all its HEERF grants.

The Department has already announced a first round of allocations under section 18004(a)(3) specifically for institutions that received less than \$500,000 combined under the grants authorized by section 18004(a)(1) and (a)(2). Section 18004(a)(3) allows for a broad range of uses for IREPO grants, by stating that they may be used "to defray expenses (including lost revenue, reimbursement for expenses already incurred, technology costs associated with a transition to distance education, faculty and staff trainings, payroll) incurred by IHEs and for

grants to students for any component of the student’s cost of attendance (as defined under section 472 of the Higher Education Act), including food, housing, course materials, technology, health care, and child care.”

To disburse the remainder of the \$348.8 million set aside for section 18004(a)(3) awards, the Department believes it should run a grant competition that complies with the requirements of the FIPSE grant program, in that the use of these funds will result in improvements in postsecondary education and opportunity, and that complies with the requirements of the CARES Act in giving priority to institutions with the greatest unmet needs related to coronavirus. Section 18004(a)(3) does not define the term “greatest unmet needs related to coronavirus.” While section 18004(a)(3) allows funds to be used to “defray expenses” and for “grants to students,” given that Congress chose FIPSE as the program through which these grants would be issued, expenditures under this program may be used to defray expenses associated with coronavirus, but must also result in improvements in postsecondary education. As a result, the Department believes it is reasonable to establish priorities, selection criteria, definitions, and other requirements for the IREPO Grant Program competition that would serve the IHEs with the greatest unmet coronavirus-related needs and support the purpose of improving postsecondary education in response to coronavirus-related challenges.

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## **EXECUTIVE ORDER 12372**

### **Intergovernmental Review of Federal Programs**

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This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. However, under 34 CFR 79.8(a), we waive intergovernmental review in order to make timely awards.

## General Education Provisions Act (GEPA)

### Section 427

Section 427 requires each applicant 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 section allows applicants discretion in developing the required description. The statute highlights six barriers that can impede equitable access or participation that you may address: *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.

\*Notes:

- Applicants are required to address this provision by uploading a statement to the ED GEPA 427 Form that must be downloaded from Grants.gov.
- All applicants must include information in their applications to address this provision in order to receive funding under this program.

# Government Performance and Results Act (GPRA)

## **What is GPRA?**

The Government Performance and Results Act of 1993 (GPRA) is a straightforward statute that requires all federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

## **How has the Department of Education Responded to the GPRA Requirements?**

As required by GPRA, the Department of Education prepared a strategic plan for 2018-2022. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

**Goal 1:** Support state and local efforts to improve learning outcomes for all P-12 students in every community.

**Goal 2:** Expand postsecondary educational opportunities, improve outcomes to foster economic opportunity and promote an informed, thoughtful and productive citizenry.

**Goal 3:** Strengthen the quality, accessibility and use of education data through better management, increased privacy protections and transparency.

**Goal 4:** Reform the effectiveness, efficiency and accountability of the Department.

## **What are the Performance Indicators for the IREPO Program?**

We have established the following performance measures for the IREPO Grants program:

- (1) The number of online classes offered by the institution prior to the novel coronavirus, and the number offered during the project period;
- (2) The number of students enrolled in online classes prior to the novel coronavirus, and the number enrolled in online classes during the project period;
- (3) Average annual cost of tuition and fees paid by all students during the 2019-2020 financial aid award year, and the average annual cost of tuition and fees paid by all students during the project period.

(4) Average annual Federal student loan size among students and parents who took title IV loans during the 2019-2020 financial aid award year and during the project period.

(5) Total enrollment at the institution at the beginning of the term in which the novel coronavirus national emergency was declared, or if that declaration took place during a break between terms, the enrollment at the institution at the beginning of the term prior to the break during which the national emergency was declared; and total enrollment during each term during the project period.

(6) For projects that include dual enrollment opportunities for students:

(a) The number of dual enrollment students served by the institution or consortium of institutions during the 2019-2020 award year, and the number of dual enrollment students served by the institution or consortium during the project period (disaggregated by gender, race, and whether or not they lived in or were educated in a rural community or Opportunity Zone);

(b) The total number of dual enrollment classes completed by students served by the project; the average number of classes completed by students served by the project; and the average number of college credits earned by those students as a result of this project; and

(c) The cost per student of each successfully completed dual enrollment class supported by these grant funds, including costs of instruction and costs of ancillary or support services (and any differences in cost between dual enrollment classes provided to students at their high school versus those provided to students by the grantee IHE).

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

Applicants must provide the following information as directed under 34 CFR 75.110(b) and (c):

(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.

**How does the Department of Education determine whether performance goals have been met?**

An applicant that receives a grant award will be required to submit annual progress reports and a final report as a condition of the award. The reports will document the extent to which project goals and objectives are met.

## Instructions for Completing the Application

The IREPO application within Grants.gov consists of various forms and assurances. Remember to complete all required forms and upload all attachments to the appropriate forms. **Note:** We strongly recommend that all attachments be in .pdf format. Although Grants.gov allows various file types to be uploaded, you should only upload .pdf files when submitting applications to the Department of Education. This is due to functionality constraints within the Department's grants system which interfaces with Grants.gov to receive applications.

The forms are as follows:

1. **Application for Federal Assistance (SF 424)** - Complete all required fields.
2. **Assurances – Non-Construction Programs (SF 424B)** - Complete all required fields.
3. **Certification Regarding Lobbying** - Complete all required fields.
4. **Disclosure of Lobbying Activities (SF-LLL)** - Complete all required fields.
5. **GEPA Section 427 requirement** - Applicants must upload a GEPA statement here.  
Instructions are found within this application.
6. **Department of Education Supplemental Information for the SF 424** - Complete all required fields.
7. **U.S. Department of Education Budget Information Non-Construction Programs (SF 524)** - Applicants should include costs for all project years. Section B is where the applicant should include any non-federal support for the program. This program does not require a non-federal match. Section C of this form should be left blank. Applicants will upload their Budget Narrative to the "Budget Narrative Attachment Form" within Grants.gov.
8. **ED Abstract Form** - Here is where you will upload a one-page project abstract that will provide an overview of the proposed project. Include the name of the applicant institution. The abstract will not be counted against your page count. You must upload the abstract in .pdf format.
9. **Project Narrative Attachment Form** - Here is where you will upload the responses to the selection criteria and if applicable, the responses to the absolute priority and the competitive preference priorities. Your submitted responses in this section will be used to evaluate your application submitted for this competition. Recommended page limit is 25 pages.
10. **Budget Narrative Attachment Form** - Here is where you will upload a detailed supporting narrative explaining the proposed costs for each year of the performance period. This narrative will not count against your page count. Total costs per year should mimic the costs stated on the ED-524 form. Include the level of effort (time commitment) per year for the proposed Project Director. You must upload the supporting narrative in .pdf format.
11. **Other Attachments Form** – Here is where you will upload the information requested in the performance measures section of the Notice Inviting Applications. Additionally, please note that this is where you would also include resumes of project director, if already identified.



**NOTE:** Please do not attach any miscellaneous narratives, supporting files, or application components to the standard forms (SF Forms) within Grants.gov. Although the forms accept optional attachments, please do not upload attachments there. If you deem it necessary, you may upload miscellaneous attachments to “Other Attachments Form,” but be mindful that uploaded information that is not required in the Notice may not be reviewed.

Remember, all attachments should be in .pdf format. Although Grants.gov allows various file types to be uploaded, you should only upload .pdf files when submitting applications to the Department of Education. This is due to functionality constraints within the Department’s grants system which interfaces with Grants.gov to receive applications.

## Instructions for the Project Narrative

**The project narrative must be uploaded to the “Project Narrative Attachment Form” in Grants.gov. The narrative should be uploaded as a .pdf**

Before preparing the Project Narrative, applicants should review the *Federal Register* Notice for specific guidance and requirements.

The Secretary evaluates an application according to the selection criteria and if applicable the responses to the competitive preference priorities included in the *Federal Register* Notice Inviting Applications for this program. The Project Narrative is where you provide detailed responses to each selection criterion and if applicable, the response to the absolute and the competitive preference priorities. The maximum possible score for each category of selection criterion is indicated in parenthesis. For ease of reading by the reviewers, applicants should follow the sequence of the criteria as provided below. The Project Narrative should be written in a concise and clear manner and be consecutively numbered. We recommend that you limit the section of the narrative that addresses the selection criteria and the priority response to no more than **25** pages. Please include a Table of Contents as the first page of the application narrative. The Table of Contents is **not** included in your page count. You should upload your project narrative in .pdf format. The Project Narrative is mandatory, so if you use any other format, it will not be received by the Department’s grants system and your application may be deemed ineligible. **Note:** If you choose to respond to the competitive preference priorities, include a separate bold heading for each priority. Be sure to provide separate heading when responding to the absolute priority, which is required. Please note that you will not receive any additional points for your response to the absolute priority, however, if your application does not include a response, the application will not be reviewed and thus not eligible for funding.

**Formatting Recommendations:** A “page” is 8.5” x 11”, on one side only, with 1-inch margins at the top bottom, and both sides. Double space (no more than three lines per vertical inch) all text in the application narrative, except titles, headings, footnotes, quotations, references, captions and all text in charts, tables, and graphs. Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. Use font size 12.

**Applicants MUST address each of the following selection criteria in the Project Narrative:**

- |   |                   |
|---|-------------------|
| a. Greatest Unmet Need                                  | (up to 30 points) |
| b. Quality of the Project Services and Project Design   | (up to 40 points) |
| c. Quality of Management Plan and Adequacy of Resources | (up to 25 points) |

**Maximum Score for Selection Criteria**

**95 points**

<b>Maximum Score for Competitive Preference Priority 1</b>	<b>3 points</b>
<b>Maximum Score for Competitive Preference Priority 2</b>	<b>10 points</b>
<b>Maximum Score for Competitive Preference Priority 3</b>	<b>3 points</b>

**TOTAL POSSIBLE SCORE PER APPLICATION** **111 POINTS**

**SELECTION CRITERIA**

**A. Greatest Unmet Needs. (up to 30 points)**

In determining the institutions that have the greatest unmet needs related to the coronavirus, the Secretary considers the extent to which the institution:

- (1) Serves a population of students in which more than 30 percent of its undergraduate students received a Pell Grant.
  - (a) 30 percent to 40 percent (7 points).
  - (b) 41 percent to 50 percent (8 points).
  - (c) 51 percent to 60 percent (9 points).
  - (d) Greater than 60 percent (10 points).
  
- (2) Did not receive a loan under the Paycheck Protection Program loan authorized by the CARES Act. (5 points)
  
- (3) Serves a student population that includes large percentages of part-time students, thus resulting in a smaller allocation for the institution under section 18004(a)(1) of the CARES Act. The impact of the percentage of part-time student enrollment will be evaluated as follows:
  - (a) 20 to 30 percent of students in the institution’s most recent IPEDS report were enrolled part-time or less (6 points).
  - (b) 31 to 40 percent of students in the institution’s most recent IPEDS report were enrolled part-time or less (7 points).
  - (c) 41 to 50 percent of students in the institution’s most recent IPEDS report were enrolled part-time or less (8 points).
  - (d) 51 to 60 percent of students in the institution’s most recent IPEDS report were enrolled part-time or less (9 points).
  - (e) 60 percent or more of students in the institution’s most recent IPEDS report were enrolled part-time or less (10 points).
  
- (4) Provides additional information to demonstrate that the institution has significant unmet needs related to the coronavirus for reasons other than those outlined in factors (A)(1) to (3) above (up to 5 points).

**B. Quality of the Project Services and Project Design. (up to 40 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) (34 CFR 75.210)

In addition, the Secretary considers--

- (1) The extent to which the proposed project is an exceptional approach to the absolute priority 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) (34 CFR 75.210)
- (3) The likelihood that the proposed activities will enable the institution to become more resilient to ongoing coronavirus impacts and future challenges and to reduce the cost of higher education for students and families served. (up to 10 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) (34 CFR 75.210)

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

The Secretary considers the quality of the management plan and adequacy of resources for the proposed project. 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) (34 CFR 75.210)
- (2) The extent to which the budget is adequate to support the proposed project. (up to 5 points) (34 CFR 75.210)
- (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) (34 CFR 75.210)
- (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) (34 CFR 75.210)

## **PRIORITIES**

### **Competitive Preference Priorities**

If applicable, include your response within the Project Narrative. Use a **bold** heading. Applicants may respond to one or all competitive preference priorities. The points are awarded on the quality of each response.

#### **Competitive Preference Priority 1 (up to 3 additional points).**

Developing Resilient Instructional Delivery Models.

#### **Competitive Preference Priority 2 (up to 10 additional points).**

Providing Dual Enrollment Opportunities to Students Who Live or Attend School in a Rural Community or Opportunity Zone.

#### **Competitive Preference Priority 3 (up to 3 additional points).**

Projects that include Title III and Title V Participating Institutions.

### **Absolute Priority (Required)**

This priority is an absolute priority. Under 34 CFR 75.105(c)(3), we consider only applications that meet this absolute priority.

Expanding Opportunity and Building Institutional Resilience.

## **Instructions for Standard Forms**

- **APPLICATION FOR FEDERAL ASSISTANCE (SF 424)**
- **U.S. DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR THE SF-424**
- **U.S. DEPARTMENT OF EDUCATION BUDGET INFORMATION NON-CONSTRUCTION PROGRAMS (ED 524)**
- **DISCLOSURE OF LOBBYING ACTIVITIES (SF-LLL)**
- **GENERAL EDUCATION PROVISIONS ACT (GEPA)**

## 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 pre-applications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required 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.	<b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Pre-application</li> <li>• Application</li> <li>• 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.</li> </ul>	10.	<b>Name of Federal Agency:</b> (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	<b>Catalog of Federal Domestic Assistance Number/Title:</b> 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.	<b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• 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)</li> </ul>	12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	<b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	<b>Areas Affected by Project:</b> 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.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.	16.	<b>Congressional Districts Of:</b> (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 5th <sup>th</sup> district, CA-012 for California 12 <sup>th</sup> district, NC-103 for North Carolina's 103 <sup>rd</sup> district. <ul style="list-style-type: none"> <li>• 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.</li> <li>• If nationwide, i.e. all districts within all states are affected, enter US-all.</li> <li>• If the program/project is outside the US, enter 00-000.</li> </ul>
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.		
5b.	<b>Federal Award Identifier:</b> 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.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.			

	<p><b>Applicant Information:</b> Enter the following in accordance with agency instructions:</p> <p><b>a. Legal Name:</b> (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.</p> <p><b>b. Employer/Taxpayer Number (EIN/TIN):</b> (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.</p> <p><b>c. Organizational DUNS:</b> (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> <p><b>d. Address:</b> 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><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p> <p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> 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>	17.	<p><b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.</p>		
		18.	<p><b>Estimated Funding:</b> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.</p>		
		19.	<p><b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> 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>		
		20.	<p><b>Is the Applicant Delinquent on any Federal Debt?</b> (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><b>Type of Applicant: (Required)</b>  <b>Select up to three applicant type(s) in accordance with agency instructions.</b></p> <table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p> </td> <td style="width: 50%; vertical-align: top;"> <p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p> </td> </tr> </table>	<p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p>	21.	<p><b>Authorized Representative:</b> (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>
<p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p>				





## INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR 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.

2. **Novice Applicant.** Check “Yes” or “No” only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, leave blank.

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

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

**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.

**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 Department of Education Supplemental Information for SF 424.”)

3a. **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. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.”

3a. **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 page entitled “Definitions for

Department of Education Supplemental Information for SF 424

3a. **Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (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. 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.

**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.

### 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 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street, S.W. Room 7076, Washington, DC 20202-4260.*

# DEFINITIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

(Attachment to Instructions for Supplemental Information for SF 424)

## Definitions:

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or sub-grant 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." *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

#### —Human Subject

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." (1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met. [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

#### B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research

involves observation of public behavior and the investigator(s) participate in the activities being observed. [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II . Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked “Yes” for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative.

Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

### **A. Exempt Research Narrative.**

If you marked “Yes” for item 3 a. and designated exemption numbers(s), provide the “exempt research” narrative. 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 a. you must provide the “nonexempt research” narrative. 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 Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S.

Department of Education, Washington, DC 20202-4250, telephone: (202) 245-6120, 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 OMB Standard 424 in the upper right corner of the form (if applicable).

## Instructions for ED 524

### 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. Please consult with your Business Office prior to submitting this form.

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

All applicants must complete Section A and provide a breakdown 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. (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 or another federal agency (Other) issued the approved agreement. If you check "Other," specify the name of the federal agency that issued the approved agreement. (3): 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 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

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. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
3. 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.

4. Provide other explanations or comments you deem necessary.

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

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

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or sub-award recipient. Identify the tier of the sub-awardee, e.g., the first sub-awardee of the prime is the 1st tier. Sub-awards 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.



## INSTRUCTIONS FOR COMPLETION OF GENERAL EDUCATION PROVISIONS ACT (GEPA)

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

### To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

### What Does This Provision Require?

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. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-

funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

### What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

(4) An applicant that proposes a project to increase school safety might describe the special efforts it will take to address concern of lesbian, gay, bisexual, and transgender students, and efforts to reach out to and involve the families of LGBT students

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

#### **Estimated Burden Statement for GEPA Requirements**

**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 1.5 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 (Public Law 103-382. 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 1894-0005.**

## Application Checklist

Here's a checklist to use to ensure your successful submission of your proposal. Please make sure all items are checked before submitting your proposal in Grants.gov.

All items listed on this checklist are required.

**Application for Federal Assistance (SF 424)** – All required fields are complete.

**Department of Education Supplemental Information for SF 424** – All required fields are complete.

**Department of Education Budget Information Non-Construction Programs Form (ED 524)**  
– All required fields are complete.

**Assurances for Non-Construction Programs (SF-424B)** – All required fields are complete.

**Certification Regarding Lobbying** – All required fields are complete.

**Disclosure of Lobbying Activities (SF-LLL)** – All required fields are complete.

**ED GEPA 427 Form** – All required fields are complete and the GEPA statement has been uploaded to the form.

**One-Page Project Abstract** – The one-page abstract has been uploaded in .pdf format to the “ED Abstract Form” in Grants.gov.

**Project Narrative** – Responses to all Selection Criteria and if applicable, the response to the Absolute and Competitive Preference Priority/Priorities. All documents are uploaded in .pdf format to the “Project Narrative Attachment Form” in Grants.gov.

**Budget Narrative** – Supporting narrative for the proposed budget has been completed for all budget years of the performance period. Costs match the costs stated on the ED-524 Budget Form. The Narrative has been uploaded in .pdf format to the “Budget Narrative Attachment Form.”

## 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 1840-0848. Public reporting burden for this collection of information is estimated to average 75 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* (CARES Act). If you have any comments concerning the accuracy of the time estimate, suggestions for improving this individual collection, or if you have comments or concerns regarding the status of your individual form, application or survey, please contact Karen Epps, U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20202, [karen.epps@ed.gov](mailto:karen.epps@ed.gov) directly.