

**U.S. Department of Education
Office of Elementary and Secondary Education
Office of Safe and Supportive Schools
Washington, D.C. 20202-6450**

Fiscal Year 2022

**Application for New Grants Under
the Project Prevent Grant Program**

ALN 84.184M



**Dated Material - Open Immediately
Closing Date: July 17, 2022**

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Paperwork Burden Statement

According to the Paperwork reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is: . Public reporting burden for this collection of information is estimated to average 40 hours per response, including the time for reviewing instructions, searching existing data resources, 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 a benefit EDGAR (34 CFR 75.104(a)).

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Nicole White, Project Prevent Grant Program, U.S. Department of Education, 400 Maryland Avenue, SW, Room #3E326, Washington D.C. 20202-6450. [Note: Please do not return the completed application to this address.]

Table of Contents

Project Prevent Grant Fast Facts.....	5
Program Information.....	6
Background: Effects of Children’s Exposure to Violence and the Federal Response.....	6
Frequently Asked Questions.....	17
Technical Assistance Workshops for Prospective Applicants.....	25
Tips for Preparing and Submitting an Application.....	26
Application Submission Procedures.....	28
Application Transmittal Instructions.....	28
Submitting Applications with Adobe Reader Software.....	31
Grants.gov Submission Procedures and Tips for Applicants.....	31
Application Instructions.....	36
Electronic Application Format.....	36
Electronic Application Submission Checklist.....	37
Part 1: Preliminary Documents.....	38
Part 2: Budget Information.....	45
Part 3: ED Abstract Form.....	48
Part 5: Budget Narrative.....	53
Important Information Regarding Indirect Costs.....	56
Part 6: Other Attachment Form.....	57
Part 7: Assurances and Certifications.....	58
Part 8: Intergovernmental Review of Federal Programs (Executive Order 12372).....	61
Reporting and Accountability.....	62
Legal and Regulatory Information.....	67
Notice Inviting Applications.....	67
Authorizing Legislation.....	92

United States Department of Education
OFFICE OF ELEMENTARY AND SECONDARY EDUCATION
OFFICE OF SAFE AND SUPPORTIVE SCHOOLS



Dear Colleague:

Thank you for your interest in the Project Prevent Grant Program, administered by the Office of Elementary and Secondary Education of the U.S. Department of Education (Department). This grant competition will provide funds to local educational agencies (LEAs) impacted by community violence and to expand the capacity of LEAs to implement community- and school-based strategies to help prevent community violence and mitigate the impacts of exposure to community violence.

Please take the time to review the applicable priorities, selection criteria, and all of the application instructions thoroughly. An application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the program (EDGAR §75.216 (b) and (c)). This competition has three priorities - two absolute priorities, and one competitive preference priority. The absolute priorities and competitive preference priority are being established in accordance with section 437(d)(1) of the General Education Provisions Act (GEPA), 20 U.S.C. 1232(d)(1).

For this competition it is **mandatory** for applicants to use the government-wide website, Grants.gov (<http://www.grants.gov>), to apply. Please note that the Grants.gov site works differently than the Department's e-Application System. We strongly encourage you to familiarize yourself with Grants.gov and strongly recommend that you register *and* submit early. Applications submitted to Grants.gov for the Department will now be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (Grants.gov recommends Adobe Reader 10.1.14). Please review the **Submitting Applications with Adobe Reader Software** and **Education Submission Procedures and Tips for Applicants** forms found within this package for further information and guidance related to this requirement.

Using fiscal year 2022 funds, the Department expects to award approximately \$10,000,000 for new grants under this competition. We will award discretionary grants on a competitive basis for a project period of up to 60 months. **Grants are expected to be awarded by September 30, 2022.**

Please visit our program website at <http://www2.ed.gov/programs/projectprevent/index.html> for further information. If you have any questions about the program after reviewing the application package, please contact Nicole White by telephone at (202) 453-6729 or via email at Project.Prevent@ed.gov

Bryan Williams, Director

Office of Safe and Supportive Schools

Project Prevent Grant Fast Facts

Eligible Applicants: Local educational agencies (LEAs), i.e., public school districts including charter schools that are considered LEAs under State law.

Purpose: The purpose of the Project Prevent Grant Program is to provide grants to local educational agencies (LEAs) impacted by community violence and to expand the capacity of LEAs to implement community- and school-based strategies to help prevent community violence and mitigate the impacts of exposure to community violence.

Application Deadline Date: July 17, 2022

Application Submission: Applications must be submitted electronically via Grants.gov (www.grants.gov)

Project Period: Up to 60 months

Estimated Available Funds: \$10,000,000

Estimated Range of Awards: \$250,000 to \$1,000,000

Estimated Average Size of Awards: \$487,500 (for each year of funding requested)

Estimated Number of Awards: 20

Competition Manager:

- Nicole White at Project.Prevent@ed.gov or (202) 453-6729

Program Information

Background: Effects of Children’s Exposure to Violence and the Federal Response

Children and youth’s exposure to community violence, whether as victims or witnesses, is often associated with long-term physical, psychological, and emotional harms. Research has demonstrated that community violence is a risk factor for experiencing an adverse childhood experience (ACE) such as abuse, neglect, witnessing violence, or having a family member who is incarcerated, and has an impact on future violence and victimization in a community.¹ ACEs can lead children and youth to experience depression, anxiety, and post-traumatic disorders; have difficulty in, or disconnect from, school and the workforce; and engage in delinquency or violent acts, potentially perpetuating the conditions that contribute to a cycle of community violence.

Several Federal agencies have worked to address the issues surrounding children and youth’s exposure to community violence. Since 1980, the Centers for Disease Control and Prevention has been studying patterns of violence and the effects of violence on communities and individuals, as well as advancing strategies to help prevent violence and mitigate the impacts of exposure to violence.² Furthermore, in 2010, Attorney General Eric Holder launched the Defending Childhood initiative to better understand and address the problem of children’s exposure to community violence. As part of this initiative, in December 2012 the Attorney General’s Task Force on Children Exposed to Violence released a report and national action plan that has helped inform the development of this program.³

In addition, in 2012 the U.S. Department of Health and Human Services launched a national effort to “reduce the pervasive, harmful, and costly health impact of community violence and trauma by integrating trauma-informed approaches throughout health, behavioral health, and related systems and addressing the behavioral health needs of people involved in or at risk of involvement in the criminal and juvenile justice systems.” This includes the outlining of “[Principles and Guidance for a Trauma-Informed Approach](#).”⁴

Community violence, which is defined in this document, is a significant public health, public safety, and community infrastructure concern nationwide and is a leading cause of death, injury, and intergenerational trauma for people in the United States. Community violence imposes enormous human, social, and economic costs, including disruption to employment and hindering of a community’s social and economic development.⁵ While the vast majority of young people

1 Centers for Disease Control and Prevention. (2020, April 3). Adverse Childhood Experiences (ACEs). Retrieved from: www.cdc.gov/violenceprevention/aces/riskprotectivefactors.html.

2 National Center for Injury Prevention and Control, Division of Violence Prevention. Retrieved from: www.cdc.gov/violenceprevention.

3 U.S. Department of Justice. (2012). *Report of the Attorney General’s National Task Force on Children Exposed to Violence*. Retrieved from: www.justice.gov/defendingchildhood/task-force.html.

4 Substance Abuse & Mental Health Services Administration. (2012). *SAMHSA’s Working Definition of Trauma and Principles and Guidance for a Trauma-Informed Approach*. Retrieved from: [SAMHSA’s Concept of Trauma and Guidance for a Trauma-Informed Approach](#).

5 U.S. Department of Health and Human Services. *Crime and Violence - Healthy People 2030*. Retrieved from: <https://health.gov/healthypeople/objectives-and-data/social-determinants-health/literature-summaries/crime-and-violence>.

resiliently persevere, those who have been victims of violence are at substantially higher risk of being violently re-attacked or killed. Additionally, both direct and indirect violence exposure have been associated with poor economic outcomes and poor health outcomes, including chronic illness, anxiety, depression, and substance misuse.⁶

Programs facilitated in schools by counselors, mental health providers, and community leaders for students who have been exposed to or are at high risk of involvement in community violence have been shown to help students develop the social and emotional resiliency skills needed to navigate difficult circumstances outside of the classroom to turn away from violence and reengage in school.⁷ When properly implemented and consistently funded, coordinated, community-based strategies that utilize trauma-responsive care and interrupt cycles of community violence may produce lifesaving and cost-saving results in a short period of time. These strategies identify those at the highest risk, coordinate individualized wraparound resources, provide pathways to healing and stability, and monitor and support long-term success.

The Biden-Harris Administration is taking a number of steps to prioritize investment in community violence interventions. Community violence interventions are proven strategies for reducing gun violence in urban communities through approaches other than incarceration.⁸ These approaches include effective community-based violence reduction initiatives to reduce crime and build safer, thriving communities.

Eligibility

This competition limits eligibility to LEAs, including charter schools that are considered LEAs under State law.

Authority

This competition is authorized under 20 U.S.C. 7131; the U.S. Department of Education Appropriations Act, 2019, Title III of Division H of P.L. 113-76.

Official Documents Notice

The official document governing this competition is the Notice Inviting Applications published in the [Federal Register](#) on May 10, 2022 (See Section III -- [Legal and Regulatory Documents] of this application package), hereafter referenced as the Notice Inviting Applications. This notice also is available electronically at the following Web sites:

www.ed.gov/legislation/FedRegister and www.gpoaccess.gov/nara.

Project Period

The project period for these grants is up to 60 months (5 budget periods of 12 months each). The exact start date is not known at this time. We estimate awards will be announced by late

6 Break the Cycle of Violence Act, S. 2275, 117th Cong. (2021). Retrieved from: <https://www.govinfo.gov/content/pkg/BILLS-117s2275is/html/BILLS-117s2275is.htm>.

7 Chicago Lab Crime Report. Retrieved from: <https://www.youth-guidance.org/bam/>.

8 The White House. *FACT SHEET: Biden-Harris Administration Announces Initial Actions to Address the Gun Violence Public Health Epidemic*. Retrieved from: www.whitehouse.gov/briefing-room/statements-releases/2021/04/07/fact-sheet-biden-harris-administration-announces-initial-actions-to-address-the-gun-violence-public-health-epidemic/.

September 2022. Projects will be funded for the first year with an option for four additional years contingent upon demonstration of substantial progress by the grantee and the availability of future funds. **Note: Applicants must submit ED Form 524 and a detailed budget narrative for each budget period that funding is requested (see instructions and sample following in this application package).**

Estimated Award Information

We estimate we will make approximately 20 new awards. Projects will be funded for approximately \$250,000 to \$1,000,000 depending on the scope of work. These figures are only estimates and do not bind the U.S. Department of Education (the Department) to a specific number of grants or amount of any grant. Contingent upon the availability of funds and the quality of applications, we may make additional awards in fiscal year (FY) 2023 from the list of unfunded applications from this competition.

Matching Funds

This program does not require a matching contribution from the grantee, however, if it proposes matching funds, we will monitor the grant to ensure the match is met and the grantee will be expected to report annually on the matching funds as well as Federal funds.

Private School Participation

In order to ensure that grant program activities address the needs of private school children, the applicant must engage in timely and meaningful consultation with appropriate private school officials during the design and development of the proposed grant project. This consultation must take place before the applicant makes any decision that affects the opportunities of eligible private school children, teachers, and other educational personnel to participate. Administrative direction and control over grant funds must remain with the grantee (See section 9501, Participation by Private School Children and Teachers, of the Elementary and Secondary Education Act of 1965 (ESEA), as amended).

Project Director Time Commitment

Applicants are requested to provide the percent of the Project Director's time that will be dedicated to the grant project if funded. For example, if the Project Director works 40 hours per week and spends 20 hours of that week working on grant activities, then the time commitment for the Project Director would be 50 percent. We suggest that applicants include this information in the budget narrative or that they add this information to the Project Director line on the Supplemental Information for Standard Form 424.

Travel Budget

Applicants must budget funds for one person to attend the Project Director's Meeting, only required in Year 1 of the grant. Applicants should include funds for transportation, lodging for one night, and per diem costs. There are no meeting or registration costs for our grantees. This meeting will most likely be held in Washington, DC. If this meeting is held virtually, the funding budgeted for this activity may be used for another professional development opportunity.

E-Mail Addresses

As part of our review of the application, we may need to contact the applicant with questions for clarification. Please be sure your application contains valid e-mail addresses for the Project Director and Authorized Representative (or another party designated to answer questions in the event the Project Director and Authorized Representative are unavailable).

Application Due Date

All applications must be submitted electronically through the Grants.gov portal and must be submitted before 11:59:59 p.m., Washington, DC time, on the deadline date for applications.

Applications may not be emailed or faxed.

Note: Under very extraordinary circumstances, the Department may change the closing date for a competition. When this occurs, we announce such a change in a notice published in the Federal Register. Waivers for individual applications failing to meet the deadline will not be granted, except in the circumstances described in the section under electronic submission of applications.

Review of Applications and Notification of Award

The review of applications and notification of awards for this grant competition requires approximately 8 to 10 weeks depending on the number of applications we receive. We expect to notify successful applicants of their grant awards by late September 2022. Unsuccessful applicants will be notified within 60 days after awards are announced.

Human Subjects Research Activities

Please see Item 3 of the instructions for Supplemental Information for Standard Form 424 in Section IV of this application package. Projects funded under this grant program may be subject to protection of human subjects research requirements. If you have any questions about your responsibilities under these requirements, please contact the Department's Protection of Human Subjects Coordinator at 202-245-8090.

The U.S. Department of Education's Expectations

By submitting an application for this program, applicants agree to fully cooperate with any evaluation efforts conducted by the Department and its contractors. At a minimum, grantees are expected to maintain records on how their program is operating; maintain records on the extent to which their program objectives are being met; include specific performance measures in their evaluation plan; and make ongoing project information, findings, and products available to ensure the dissemination of knowledge gained from this effort during the grant period.

Reports

Each grantee is required to submit an annual and final report to demonstrate progress toward meeting program performance measures and project objectives. For multiple-year projects, these reports are also evaluated to determine whether substantial progress has been made to justify a continuation award. For projects funded for one year, only a final report is required.

Absolute Priorities

For FY 2022 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, these priorities are absolute priorities. Under 34 CFR 75.105(c)(3), we consider only those applications that meet these priorities.

- **Absolute Priority 1 -- Addressing the Impacts of Community Violence**
Projects that implement community- and school-based strategies to help prevent community violence and mitigate the impacts of children and youth's exposure to community violence in collaboration with local community-based organizations (e.g., local civic or community service organizations, local faith-based organizations, or local foundations or non-profit organizations).
- **Absolute Priority 2 -- Established Partnership with a Local Community-Based Organization**
An application that includes at least one memorandum of agreement (MOA) or memorandum of understanding (MOU) signed by the authorized representative of a local community-based organization that agrees to partner with the applicant on the proposed project and provide resources or administer services that are likely to substantially contribute to positive outcomes for the proposed project. The MOA or MOU must clearly delineate the roles and responsibilities of each entity.

Note: Applicants that fail to meet the absolute priority will be considered ineligible and not considered for funding.

Projects funded under this priority may use up to 12 months during the first year of the project period for program planning. Applicants that propose to use this option must provide sufficient justification for why this program planning time is necessary, provide the intended outcomes of program planning in Year 1, and include a description of the proposed strategies and activities to be supported, such as developing baseline data as described in the Performance Measures section of this notice.

Competitive Preference Priority

For FY 2022 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, these priorities are competitive preference priorities. Under 34

CFR 75.105.(c)(2)(i), we award an additional eight points to an application that meets Competitive Preference Priority 1.

Note: An applicant must identify in the abstract section of its application the competitive preference priority it wishes the Department to consider. The Department will not review or award points under any competitive preference priority for any application that fails to do so.

- **Competitive Preference Priority 1 - - Supporting Children and Youth from Low-Income Backgrounds (0 or 8 points).**

In its application, an applicant must demonstrate, based on Small Area Income and Poverty Estimates (SAIPE) data from the U.S. Census Bureau or, for an LEA for which SAIPE data are not available, the same State-derived equivalent of SAIPE data that the State uses to make allocations under part A of title I of the Elementary and Secondary Education Act of 1965, as amended (ESEA), one or more of the following:

- (a) At least 25 percent of the students enrolled in the LEA to be served by the proposed project are from families with an income below the poverty line.
- (b) At least 30 percent of the students enrolled in the LEA to be served by the proposed project are from families with an income below the poverty line.
- (c) At least 35 percent of the students enrolled in the LEA to be served by the proposed project are from families with an income below the poverty line.
- (d) At least 40 percent of the students enrolled in the LEA to be served by the proposed project are from families with an income below the poverty line.
- (e) At least 45 percent of the students enrolled in the LEA to be served by the proposed project are from families with an income below the poverty line.

Application Requirements

The following requirements apply to all applications submitted under this competition:

(1) Description of the severity and magnitude of the problem and identification of schools to be served by the proposed project.

- (a) Identify the schools proposed to be served by project activities and describe how community violence affects students in those schools;
- (b) Describe the community violence that affects students in those schools, including information such as incidents of community violence or violent crime, rates of child abuse and neglect, and other school and community crime and safety data, including on a per capita basis (such as homicides per 100,000 persons); findings from student mental health screenings or assessments, school climate surveys, and student engagement surveys; demographic data provided by U.S. Census surveys; and other relevant data and information; and
- (c) Provide a comparison of the school and community data cited to similar data at the State or local level, if available.

(2) Collaboration and coordination with community-based organizations.

Applicants must--

- (a) Describe how they intend to work collaboratively with community-based organizations to achieve project goals and objectives;
- (b) Provide evidence of collaboration and coordination through letters of support, memoranda of agreement, or memoranda of understanding from at least one community-based organization; and
- (c) Describe how they will use grant program funds to supplement, rather than supplant, existing or new efforts to reduce community violence and mitigate the direct and indirect effects of community violence on students.

(3) Project Activities.

Applicants must propose to conduct three or more of the following:

- (a) Professional development opportunities for LEA and school mental health staff (e.g., counselors, psychologists, and social workers) on how to screen for and respond to violence-related trauma and implement appropriate school-based interventions to help prevent community violence and mitigate the impacts of children and youth's exposure to community violence.
- (b) Activities designed to improve the range, availability, and quality of school-based mental health services by hiring school and clinical psychologists, school counselors, or school social workers with expertise or training in violence prevention, trauma-informed care, and healing-centered strategies, and qualified to respond to the mental health needs of students who have experienced trauma as a result of exposure to community violence.
- (c) Training for school staff (e.g., teachers, administrators, and support staff), community partners, youth, and parents on the effects of exposure to community violence, as well as the importance of screening students and providing interventions to help students cope with traumatic events.
- (d) Developing or improving processes to better target services to students who are exposed to community violence and to assess such students who may be experiencing resulting mental, social, emotional, or behavioral disorders.
- (e) Enhancing linkages between LEA mental health services and community mental health systems to help ensure affected students receive referrals to treatment as appropriate.
- (f) Undertaking activities in collaboration and coordination with law enforcement to address community violence affecting students, to support victims' rights, and to promote public safety.

(4) Delivery of a continuum of evidenced-based programs and practices.

Applicants must--

- (a) Describe the continuum of evidence-based, culturally competent, and developmentally appropriate (as defined in 34 CFR 77.1(c)) programs and practices that will be implemented at the school and community level and how these programs and

practices will be organized to provide differentiated support based on student need, to help break the cycle of community violence. These programs and practices must include all of the following:

- (i) Interventions and activities that are available to all students in a school with the goal of preventing negative or violent behavior (such as harassment, bullying, fighting, gang participation, sexual assault, and substance abuse) and enhancing student knowledge and interpersonal and emotional skills regarding positive behavior (such as communication and problem-solving, empathy, and conflict management).
 - (ii) Interventions and activities related to anger management, conflict management, promotion of positive behavior, and development of protective factors.
 - (iii) Interventions and services, such as mentorship programming, that target individual students who are at a higher risk for committing or being a victim of violence.
- (b) Describe the research and evidence supporting the proposed programs and practices and the expected effects on the target population.

5. Framework for planning, implementation, and sustainability.

Applicants must--

- (a) Describe how the proposed project is integrated and aligned with the mission and vision of the LEA, including a description of the relationship of the project to the LEA's existing school safety or related plan;
- (b) Describe the anticipated challenges to success of the project and how they will be addressed, such as mitigating turnover at the LEA leadership, school leadership, and staff levels; and
- (c) Include a timeline of activities for—
 - (i) Planning that includes: Conducting a needs assessment that is comprehensive and examines areas for improvement, both within the school and the community, related to learning conditions that create a safe and healthy environment for students; creating a logic model (as defined in 34 CFR 77.1); completing resource mapping; selecting evidence-based programs; developing evaluation plans; and engaging community and school partners and stakeholders;
 - (ii) Implementation that includes: Training on and execution of evidence-based, culturally competent, and developmentally appropriate programs; continuing engagement with stakeholders; communicating and collaborating strategically with community partners; and evaluating program implementation; and
 - (iii) Sustainability that includes: Further developing and expanding on the project's successes beyond the end of the grant, at the school and community levels, in alignment with other related efforts.

Definitions

The following definitions apply to this competition:

Community Violence means firearm injuries, assaults, homicides, and other acts of interpersonal violence committed outside the context of a familial or romantic relationship.

Local educational agency (LEA) means:

(1) A public board of education or other public authority legally constituted within a State for either administrative control or direction of, or to perform a service function for, public elementary schools or secondary schools in a city, county, township, school district, or other political subdivision of a State, or of or for a combination of school districts or counties that is recognized in a State as an administrative agency for its public elementary schools or secondary schools.

(2) The term includes any other public institution or agency having administrative control and direction of a public elementary school or secondary school.

(3) The term includes an elementary school or secondary school funded by the Bureau of Indian Affairs but only to the extent that including the school makes the school eligible for programs for which specific eligibility is not provided to the school in another provision of law and the school does not have a student population that is smaller than the student population of the local educational agency receiving assistance under this Act with the smallest student population, except that the school shall not be subject to the jurisdiction of any State educational agency other than the Bureau of Indian Affairs.

(4) The term includes educational service agencies and consortia of those agencies.

(5) The term includes the State educational agency in a State in which the State educational agency is the sole educational agency for all public schools.

Project Prevent Grant Program Resource List

American Counseling Association provides counseling professionals and educators with resources, services, and information. <http://www.counseling.org/>

American School Counselor Association provides resources suggested by school counselors. <http://www.schoolcounselor.org>

MentalHealth.gov is a website created to educate and guide those interested in mental health issues. <http://www.mentalhealth.gov>

National Association of School Psychologists (NASP) is a not-for-profit association representing more than 25,000 school psychologists from across the United States and abroad. www.nasponline.org

The National Center on Safe Supportive Learning Environments (NCSSLE) provides training and support to state administrators, school and district administrators, institutions of higher education, teachers, support staff at schools, communities and families, and students. It also seeks to improve schools' conditions for learning through measurement and program

implementation, so that all students have the opportunity to realize academic success in safe and supportive environments. <http://safesupportivelearning.ed.gov>

National Institutes of Mental Health (NIMH) the mission of NIMH is to transform the understanding and treatment of mental illnesses through basic and clinical research, paving the way for prevention, recovery, and cure.

<http://www.nimh.nih.gov/health/publications/suicide-in-the-us-statistics-and-prevention/index.shtml>

School Social Worker Association of America (SSWAA) is dedicated to promoting the profession of school social work and the professional development of school social workers in order to enhance the educational experience of students and their families.

<http://www.sswaa.org/>

The National Center for Trauma-Informed Care (NCTIC) is the Substance Abuse and Mental Health Services Administration's technical assistance center dedicated to building awareness of trauma-informed care and promoting the implementation of trauma-informed practices in programs and services. <http://www.samhsa.gov/nctic/>

Youth.gov was created by the Interagency Working Group on Youth Programs (IWGYP), which is composed of representatives from 18 federal government agencies that support programs and services focusing on youth. Through the Youth Topics series on the website, the IWGYP provides information, strategies, tools, and resources for youth, families, schools and community organizations related to a variety of cross-cutting topics that affect youth, such as: youth violence prevention, gang prevention, school climate, youth mental health, and more.

Project Prevent Grant Program Resource List: Federal Registries Useful for Selecting Evidenced-based Programs and Practices

What Works Clearinghouse (WWC) is an initiative of the Institute for Education Sciences at the U.S. Department of Education. The goal of the WWC is to be a resource for informed education decision making. To reach this goal, the WWC identifies studies that provide credible and reliable evidence of the effectiveness of a given practice, program, or policy (referred to as "interventions"), and disseminates summary information and reports on the WWC website at <http://ies.ed.gov/ncee/wwc/default.aspx>

Youth.gov is a Federal government resource that allows website users to search for youth focused evidence-based programs. It allows for a search by risk and protective factor or using a keyword search. Finally, it contains information about selecting, implementing, and evaluating evidence-based and innovative strategies and programs to support youth.

The National Registry of Evidence-based Programs and Practices (NREPP) is a searchable online database of mental health and substance abuse interventions. All interventions in the registry have met NREPP's minimum requirements for review and have been independently

assessed and rated for Quality of Research and Readiness for Dissemination.
www.nrepp.samhsa.gov

[CrimeSolutions.gov](http://www.crimesolutions.gov) is an online resource to help practitioners and policymakers understand what works in justice-related programs and practices. Its purpose is to assist in practical decision making and program implementation by gathering information on specific justice-related programs and practices and reviewing the existing evaluation and meta-analysis research against standard criteria. www.crimesolutions.gov

[U.S. Department of Justice, Listing of Resources on Evidence-Based Programs and Practices.](http://www.bja.gov/evaluation/evidence-based.htm)
www.bja.gov/evaluation/evidence-based.htm

NOTE: The Department does not endorse any of the programs or practices listed above in the federally supported registries, nor does inclusion in registries mean they meet the minimum threshold for evidenced-based programs and practices as defined in the Notice Inviting Applications. It is also possible that certain programs and practices meet this minimum threshold but, for various reasons, are not included in any of the registries. This resource list is intended for informational purposes only, and to aid applicants in researching appropriate evidenced-based program and practices that respond to the absolute priority and application requirements and meet the unique needs of their target population.

Frequently Asked Questions

What is the deadline date for this competition?

- The competition deadline for the Project Prevent Grant Program is July 17, 2022.

May I get an extension of the deadline date?

- Waivers for individual applications failing to meet the deadline will not be granted, except in the circumstances described in the [Federal Register](#) notice. Under very extraordinary circumstances the Department may change the closing date for a grant competition. When this occurs, the Department announces such a change in a notice published in the [Federal Register](#).

What is an indirect cost?

- An indirect cost is an expense that you incur that is necessary to implementing the grant, but may be difficult to identify directly with your grant. For example, indirect costs may include money spent for heat, light, rent, telephone, security, accounting, and Internet use.
- See page 17 of this application package and the section “Important Information Regarding Indirect Costs” for further information.

How do I obtain a negotiated, restricted indirect cost rate?

- Your organization may already have a negotiated, restricted indirect cost rate with a Federal government agency. If your organization has not negotiated this rate in the past, please contact the Department’s Indirect Cost Group at Indirectcostgroup@ed.gov.

Who in my organization may be able to provide information about our negotiated, restricted indirect cost rate?

- If you do not know your negotiated, restricted indirect cost rate, please contact your business office. In most cases, State educational agencies (SEAs) calculate and assign indirect cost rates to its LEAs. Please note you will need to submit proof of this cost rate, such as a signed letter or a page from a State Web site. This proof of your cost rate will need to be uploaded to the Other Attachments Form section in Grants.gov.

What is an administrative cost?

Administrative costs are normal and customary expenses of administering the grant. For example, since the project director is responsible for administering the grant, their salary and benefit costs are taken out of the administrative cost threshold, as well as any other costs the applicant may have for carrying out the grant.

For my GEPA 427 statement (see page 59) is it adequate to state that our organization does not discriminate on the basis of race, religion, sex, etc.?

- No. An organization's non-discrimination statement is not sufficient to meet the GEPA requirements. A GEPA statement should outline an entity's potential barriers and solutions to equal access, specific to the proposed project.

How does the Freedom of Information Act affect my application?

- The Freedom of Information Act (FOIA) provides that any person has the right to request access to federal agency records or information. All U.S. Government agencies are required to disclose records upon receiving a written request for them, except for those records that are protected from disclosure by the nine exemptions listed in the FOIA. All applications submitted for funding consideration under this grant competition are subject to the FOIA. To read the text of the FOIA, visit <http://www.ed.gov/policy/gen/leg/foia/foiatoc.html>.

Is this program covered by Executive Order 12372?

- Yes. This means applicants must submit a copy of their application to their State Single Point of Contact for review and upload the transmittal letter in the Other Attachments Form section in Grants.gov (refer to page 56). On the application for Federal Assistance (Standard Form 424), you must check box (a) in item 19 and provide the date on which you made your application available for review. Note that the Department is prohibited from making an award to an entity that has not provided an opportunity for its State to review the application. The only exceptions to this requirement are applicants from States that have chosen not to participate or have indicated they do not wish to review applications from this competition. In either of these cases, applicants should check box (b). Do not check box (c) since this grant program is covered by Executive Order 12372. For more information about this requirement, see the Intergovernmental Review of Federal Programs section in this application package.

What is required from an applicant whose State Single Point of Contact indicates that they are not reviewing applications for this grant competition?

- Applicants should include a copy of such a response from the State Single Point of Contact in their application package submitted to the Department and check the appropriate line on the SF 424 form.

By what date do applicants have to submit their application to their State Single Point of Contact, if participating?

- Applicants must submit their application to the State Single Point of Contact by the deadline date for transmitting their application to the Department.

What steps should the applicant's Authorized Representative take before signing a grant application?

- The standard form that serves as a cover sheet for grant applications includes a certification statement that accompanies the authorized representative's signature. That certification indicates that the authorized representative's signature means that the information provided in the grant application is true, complete, and to the best of the authorized representative's knowledge, and that any false, fictitious, or fraudulent statements or claims may subject the authorized representative to administrative, civil, or criminal penalties. As a result, an authorized representative should carefully review a grant application before signing in order to be sure that all of the information contained in the application package is correct. Additionally, an authorized representative should be sure that the application describes a project that has the organization's support and reflects an approach that the organization is committed to implementing.

What kinds of activities are likely to be "human subject research"?

- The Department's regulations for the protection of human subjects, 34 CFR Part 97, defines research as a systematic investigation (including program evaluation) designed to develop or contribute to general knowledge. A "systematic" investigation typically uses scientific methods (such as adequate sample sizes, surveys, control groups, and/or randomization). Research becomes "human subjects" research when the researcher obtains data about an individual through an intervention or otherwise obtains identifiable private information about individuals for research purposes. For additional information on human subjects research go to:
<http://www.ed.gov/about/offices/list/ocfo/humansub.html>.

Are there guidelines for how much money can be spent on consultants?

- No. Under EDGAR 75.515, a grantee must use its general policies and practices when it hires, uses, and pays a consultant as part of the project staff. However, grant funds may **not** be used to pay a consultant unless there is a need in the project for the services of that consultant and the grantee cannot meet that need by using an employee rather than a consultant.

Are there any restrictions related to external entities or individuals (who are not LEA employees) who assist the LEA in writing the grant application and who wish to potentially work on grant activities if an award is made?

- All procurement transactions by grantees using federal funds must be conducted in a manner providing full and open competition, consistent with the standards in Section 80.36 (for SEAs and LEAs) of the Education Department General Administrative Regulations (EDGAR). This section requires that grantees use their own procurement procedures (which reflect State and local laws and regulations) to select contractors or other vendors, provided that those procedures meet certain standards described in EDGAR.

EDGAR is available online at: www.ed.gov/policy/fund/reg/edgarReg/edgar.html

If a vendor or individual not employed by the applicant assists in preparing an application for a Department grant, and subsequently is interested in providing contract services after the applicant receives a grant award, a close examination of all activities may be warranted to ensure the above procurement procedures were followed, consistent with fair and open competition, and other restrictions not violated.

What is the project and budget period for these grants?

- The project period for this grant is up to five years (60 months). Each grant year is considered its own budget period. The application should include a description of the proposed activities for all five years, as well as a budget narrative that includes information about Federal *and* non-Federal funds for each budget year. Continuation awards are made based on an applicant's ability to demonstrate substantial progress in their required annual performance reports.

An applicant may propose a project period of less than five years (60 months) if the goals and objectives of the project can be achieved in that time.

Projects funded under this priority may use up to 12 months during the first year of the project period for program planning. Applicants that propose to use this option must provide sufficient justification for why this program planning time is necessary, provide the intended outcomes of program planning in Year 1, and include a description of the proposed strategies and activities to be supported, such as developing baseline data as described in the Performance Measures section of this notice.

What priority and application requirements must all applicants address to be considered?

- Applicants must address the two absolute priorities: Addressing the Impacts of Community Violence AND Established Partnership with a Local Community-Based Organization.
- Applicants must also address the application requirements: (1) Description of the severity and magnitude of the problem and identification of schools to be served by the proposed project; (2) Collaboration and coordination with Community-Based Organizations; (3)

Project Activities; (4) Delivery of a continuum of evidenced-based programs; and (5) Framework for planning, implementation, and sustainability.

Who is eligible to apply?

- This competition limits eligibility to LEAs, as defined in the notice inviting application.
- NOTE: Only entities that meet the definition of LEA may receive funding under this program. If the definition of LEA is based on special considerations under state law (such as charter schools, charter management organizations, area educational districts, educational service center, or other similar entities) proof of LEA status should be uploaded as an attachment with the application. If possible, this should take the form of a letter from the applicable SEA verifying the status of the entity as an LEA.

May I submit an application as a school or on behalf of my local school?

- No. The only eligible recipients are LEAs (school districts) including charter schools that are considered LEAs under State law. An application submitted by an individual school, or on behalf of the school by education foundations, consultants, and community-based organizations, will not be considered unless it meets the definition of an LEA. See the note above under who is eligible to apply.

Are colleges or universities eligible to apply for this grant?

- No. Colleges and universities are not considered as LEAs and thus are not eligible for this grant. Only entities that meet the definition of an LEA may receive funding under this program. See the note above under who is eligible to apply.

Are charter schools eligible for this program?

- Charter schools that are considered LEAs under State law are eligible to apply for funding under this program. If funded, the administration of the project must be maintained at the Charter school. Charter schools should provide proof of LEA status. See the note above under who is eligible to apply.

Are Area Educational Districts, Educational Service Centers or other similar entities eligible for this program?

- If these entities are considered LEAs under State law, they are eligible to apply for funding under this program. See the note above under who is eligible to apply.

May an LEA submit multiple applications — each proposing to serve different schools?

- No. LEAs may only submit one application. If multiple applications are submitted, we will ask for clarification prior to reviewing them about which application the LEA wishes to be considered.

Do I have to submit my application electronically?

- Yes. Unless you qualify for an exception in accordance with the instructions found in the Notice Inviting Applications, you must submit your application electronically.

How do I submit my grant electronically?

For more information on using Grants.gov, please refer to the Notice Inviting Applications for this competition published in the [Federal Register](#); the Grants.gov Submission Procedures and Tips document found in this application package; and/or visit www.grants.gov.

How do I register to submit my grant electronically?

- If you are a new user, you will need to register to use Grants.gov. For detailed information on the Registration Steps see the Grants.gov Submission Tips and Procedures for Applicants on pages 32-35 of this document or please go to: http://www.grants.gov/applicants/get_registered.jsp.

How should I submit forms with signatures?

- We *strongly encourage* you to scan and upload signed versions of the forms, in a .PDF format, to the **Other Attachments Form** section of the application package on Grants.gov or you may fax the signed forms to the Department.
- These documents may be faxed to the attention of Nicole White at 202-453-6742 and must be received within three days of your application submission.

Are there any compatibility restrictions?

- You must submit your application in a .PDF (Portable Document) format in order for your application to submit successfully to the Department. If you submit your application in any other format, we will not be able to access your document. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are not .PDF files or are password protected files will not be read. If you need assistance converting your files to a .PDF format, please refer to this Grants.gov webpage with links to conversion programs: http://www.grants.gov/help/download_software.jsp#pdf_conversion_programs

What should I use as the project start date?

- Should you receive a grant, the start date for a project may have to be flexible, depending on when funds can be awarded, and funds obligated. If necessary, your proposed project start date will be modified to a date shortly after the award date.

Can grant funds be used to support professional development activities?

- Yes. Grant funds may be used to support professional development activities, as long as the activities directly support the purposes and intent of this grant program. See application Requirement 3.

Can grant funds be used to hire mental health professionals?

- Yes. Under application Requirement 3 the applicant must propose three or more activities which may include: improving the range, availability, and quality of school-based mental health services by hiring qualified school psychologists, school counselors, or school social workers with expertise or training in violence prevention and responding to the mental health needs of students who have experienced trauma as a result of exposure to violence.

Are we required to identify in the abstract section of the application the competitive preference priority (or priorities) we address for purposes of earning competitive preference priority points?

- Yes. An applicant must identify in the abstract section of its application the competitive preference priority it wishes the Department to consider. The Department will not review or award points under any competitive preference priority for any application that fails to do so.

What additional information should be provided to address the competitive preference priority (or priorities) and where should we provide supporting information to address the competitive preference priority (or priorities) for the purposes of earning competitive preference priority points?

- You should discuss in detail in the application narrative and how you will be addressing the competitive preference priority (or priorities), as part of the overall proposed project goals and objectives in the application narrative.

What level of evidence is required to meet application Requirement 4 (Delivery of a continuum of evidenced-based programs and practices)?

- The threshold for evidence-based programs is those that, at a minimum, are supported by evidence of promise (as defined in 34 CFR 77.1(c)):

Evidence of promise means there is empirical evidence to support the theoretical linkage(s) between at least one critical component and at least one relevant outcome presented in the logic model for the proposed process, product, strategy, or practice. Specifically, evidence of promise means the conditions in paragraphs (a) and (b) of this section are met:

- (i) There is at least one study that is a—
 - (A) Correlational study with statistical controls for selection bias;
 - (B) Quasi-experimental study that meets the What Works Clearinghouse Evidence Standards with reservations;
 - (C) Randomized controlled trial that meets the What Works Clearinghouse Evidence Standards with or without reservations.
- (ii) The study referenced in paragraph (a) found a statistically significant or substantively important (defined as a difference of 0.25 standard deviations or larger), favorable association between at least one critical component and one relevant outcome presented in the logic model for the proposed process, product, strategy, or practice.

NOTE: What Works Clearinghouse Procedures and Standards Handbook (Version 2.1, September 2011), which can currently be found at the following link:
<http://ies.ed.gov/ncee/wwc/DocumentSum.aspx?sid=19>.

Are there resources to help applicants find evidenced-based programs and practices for meeting the requirements of this grant competition?

- Yes. On page 15 we list several funded registries and resources for examining the evidence related to various programs and practices.

Who do I contact for more information about this grant competition?

- Any questions pertaining to this grant competition should be directed to Nicole White, U.S. Department of Education, 400 Maryland Avenue, SW, Washington, DC 20202-6450, Phone: 202-453-6729, Fax: 202-453-6742, Email: Project.Prevent@ed.gov

Technical Assistance Workshops for Prospective Applicants

Technical Assistance – The Office of Safe and Supportive Schools will conduct technical assistance (TA) conference calls designed to assist applicants who might have questions related to the application process and procedure for this grant program. Applicants are encouraged to read through the entire application package **before** participating in a TA call. The tentative dates

and times are listed below. Applicants should reference our website at: <http://www2.ed.gov/programs/projectprevent/index.html> for follow-up information related to these conference calls.

- **June 24, 2022 at 2:00 P.M., Washington, DC time**

Tips for Preparing and Submitting an Application

Beginning the Application Process

- Read this application package in its entirety and make sure you follow all of the instructions.
- Use the tools we have provided to help you, including:
 - ✓ Frequently Asked Questions section in this application package.
 - ✓ Resources related to this specific grant competition on our Web site at <http://www.ed.gov/programs/elseccounseling/index.html>
- If you do not understand an instruction or requirement, contact Nicole White, U.S Department of Education, Office of Safe and Supportive Schools at 202-453-6729 or Project.Prevent@ed.gov for information about this grant competition.

Preparing Your Application

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

Submitting Your Application

- Use the checklist provided in this application package to ensure your application is complete before submitting it.
- Make sure all required forms are included and signed by an authorized representative of your organization.
- Transmit your application by the deadline date and time. When submitting your application electronically, you must use Grants.gov at: www.grants.gov. Unless you qualify for an exception in accordance with the instructions found in the Notice Inviting Applications, you must submit your application electronically.

What Happens Next?

- If you submit your application electronically, the PR/Award number will be generated automatically when you submit your application. Please refer to this PR/Award number if you need to contact us about your application.
- Staff members screen each application to ensure that all program eligibility requirements are met and that all forms are included and signed by the Authorized Representative.
- Your application will be assigned to a three-person panel of independent reviewers who will evaluate and score your proposal according to the selection criteria in this package. Your application will receive a score from 0 to 100, depending upon how well it addresses the selection criteria. Agency staff will award any appropriate competitive preference points. Competitive preference points will be in addition to points awarded by peer reviewers.
- A Grant Award Notification will be sent to applicants whose proposals rank high enough to be awarded a grant. Both successful and unsuccessful applicants will receive peer reviewers' comments approximately 6 to 8 weeks after grant awards are announced. Unsuccessful applicants also will receive a notification letter. Please be sure your application contains a valid mailing address for both the Project Director and the Authorized Representative so that reviewers' comments can be successfully delivered.

Application Submission Procedures

The deadline for submission of the Project Prevent Grant Program application through Grants.gov is July 17, 2022.

Application Transmittal Instructions

Attention Electronic Applicants: This program **requires** the electronic submission of applications--specific requirements and instructions can be found in the [Federal Register](#) notice. Please note that you **must** follow the Application Procedures as described in the [Federal Register](#) notice announcing the grant competition.

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

Applications Submitted Electronically

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

Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system **no later than 11:59:59 p.m., Washington, DC time, on the application deadline date**. Except as otherwise noted in [Federal Register](#) notice for this competition, we will not consider your application if it is date and time stamped by the Grants.gov system later than 11:59:59 p.m., Washington, DC time, on the application deadline date.

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

Please note the following:

- You must attach any narrative sections of your application as files in a **.pdf** (Portable Document) format. **If you upload a file type other than a .pdf file, or submit a password-protected file, we will not review that material.**
- Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.
- When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters. The amount of time it can take to upload an

application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.

- Your electronic application must comply with any page-limit requirements described in this application package.
- If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

According to the instructions found in the [Federal Register](#) notice, only those requesting and qualifying for an Exception to the electronic submission requirement may submit an application via mail, commercial carrier or by hand delivery.

Submission of Paper Applications by Mail:

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

U.S. Department of Education
Application Control Center
Attention: (Assistance Listing Number 84.184M)
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.

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

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

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: (Assistance Listing Number 84.184M)
550 12th Street, SW.
Room 7039, Potomac Center Plaza
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

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 ALN, including suffix letter, if any, of the competition under which you are submitting your application; and
- (2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

Submitting Applications with Adobe Reader Software

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

Please note: The compatible version of Adobe Reader is **required** for viewing, editing and submitting a complete grant application package for the Department of Education through Grants.gov. Applicants should confirm the compatibility of their Adobe Reader version **before** downloading the application. To ensure applicants have a version of Adobe Reader on their computer that is compatible with Grants.gov, applicants are encouraged to visit Grants.gov BEFORE attempting to submit an application [to check compatibility](#)

Important issues to consider:

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

Applicants are reminded that they should submit their application a day or two in advance of the closing date as detailed in the [Federal Register](#) Notice. If you have any questions regarding this matter, please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726

Grants.gov Submission Procedures and Tips for Applicants

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

ATTENTION – Adobe Forms and PDF Files Required

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 10.1.14). (Please note that in early 2013, Grants.gov discovered an issue with the newest version of Adobe Reader XI but it was subsequently resolved.) We strongly recommend that you review details on how to submit an application on www.Grants.gov before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Also, applicants are required to upload their attachments in .pdf format only. (See details below under “Attaching Files – Additional Tips.”) If you have any questions regarding this matter, please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

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

Primary information about SAM is available at www.sam.gov. However, to further assist you with obtaining and registering your DUNS number and TIN in SAM or updating your existing SAM account, the Department 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. Washington, DC time on the deadline date.

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

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov received your application submission on time and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 11:59:59 p.m. Washington, DC time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned. Once the Department 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. Washington, D.C. time, on the deadline date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site:

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

For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Error Messages document at:

<http://www.grants.gov/web/grants/support/technical-support/troubleshooting/encountering-error-messages.html>.

If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

Submission Problems – What should you do?

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

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

If electronic submission is required, you must submit an electronic application before 11:59:59 p.m., unless you follow the procedures in the [Federal Register](#) notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the [Federal Register](#) notice for detailed instructions.)

Helpful Hints When Working with Grants.gov

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

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

Dial-Up Internet Connections

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

MAC Users

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

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

Attaching Files – Additional Tips

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

1. Ensure that you attach **.PDF files only** for any attachments to your application, and they must be in a **read-only, non-modifiable format**. PDF files are the only Education approved file type accepted as detailed in the [Federal Register](#) application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are not .PDF files or are password

protected files will not be read. If you need assistance converting your files to a .pdf format, please refer to the following Grants.gov webpage with links to conversion programs under the heading of additional resources:

<http://www.grants.gov/web/grants/support/technical-support/software/pdf-conversion-software.html>

2. 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.
3. When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded files must be less than 50 characters in the file name, contain no spaces, no special characters (example: -, &, *, %, /, #, \) including periods (.), blank spaces and accent marks. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.
4. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

*Please note that the Central Contractor Registry (CCR) was replaced by the System for Award Management (SAM) effective July 30, 2012. For more information on the migration of CCR data to SAM, grant applicants should read this information located on Grants.gov:

<http://grants-gov.blogspot.com/2012/07/information-about-pending-migration.html#!/2012/07/information-about-pending-migration.html>

11/2013

Application Instructions

Electronic Application Format

Applications for grants under this competition must be submitted electronically, unless you qualify for an exception to the electronic submission requirement in accordance with the instructions in this application package.

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

Important note: Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2).

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

We strongly recommend that you review these details on www.Grants.gov before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Applicants will no longer need to use the PureEdge software to create or submit an application. If you have any questions regarding this matter, please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

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

Electronic Application Submission Checklist

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

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

Part 1: Preliminary Documents

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

Part 2: Budget Information

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

Part 3: ED Abstract Form

- Project Abstract

Part 4: Project Narrative Attachment Form

- Application Narrative

Part 5: Budget Narrative Attachment Form

- Budget Narrative

Part 6: Other Attachments Form

- Individual Resumes for Project Directors & Key Personnel
- Letter of Support for Promise Zone Priority (If applicant applies under this priority)
- Executive Order 12372 Transmittal Letter (If State Participates – refer to page 60)
- Indirect Cost Rate Agreement

Part 7: Assurances and Certifications

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

Part 8: Intergovernmental Review (Executive Order 12372)

- State Single Point of Contact (SPOC) List

Part 1: Preliminary Documents

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

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

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

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

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

INSTRUCTIONS FOR THE SF-424

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

Item	Entry:	Item	Entry:
1.	<p>Type of Submission: (Required) Select one type of submission in accordance with agency instructions.</p> <ul style="list-style-type: none"> • Pre-application • Application • Changed/Corrected Application – Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date. 	10.	<p>Name Of Federal Agency: (Required) Enter the name of the federal agency from which assistance is being requested with this application.</p>
		11.	<p>Catalog Of Federal Domestic Assistance Number/Title: Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.</p>
2.	<p>Type of Application: (Required) Select one type of application in accordance with agency instructions.</p> <ul style="list-style-type: none"> • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the federal government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. <p>A. Increase Award D. Decrease Duration B. Decrease Award E. Other (specify) C. Increase Duration</p>	12.	<p>Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement.</p>
		13.	<p>Competition Identification Number/Title: Enter the competition identification number and title of the competition under which assistance is requested, if applicable.</p>
		14.	<p>Areas Affected By Project: This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.</p>
3.	<p>Date Received: Leave this field blank. This date will be assigned by the Federal agency.</p>	15.	<p>Descriptive Title of Applicant's Project: (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.</p>
4.	<p>Applicant Identifier: Enter the entity identifier assigned buy the Federal agency, if any, or the applicant's control number if applicable.</p>		
5a.	<p>Federal Entity Identifier: Enter the number assigned to your organization by the federal agency, if any.</p>	16.	<p>Congressional Districts Of: 16a. (Required) Enter the applicant's congressional district. 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina's 103 district. If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.</p>
5b.	<p>Federal Award Identifier: For new applications, enter NA. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.</p>		
6.	<p>Date Received by State: Leave this field blank. This date will be assigned by the state, if applicable.</p>		
7.	<p>State Application Identifier: Leave this field blank. This identifier will be assigned by the state, if applicable.</p>		
8.	<p>Applicant Information: Enter the following in accordance with agency instructions:</p>		
	<p>a. Legal Name: (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting www.Grants.gov.</p>	17.	<p>Proposed Project Start and End Dates: (Required) Enter the proposed start date and end date of the project.</p>
	<p>b. Employer/Taxpayer Number (EIN/TIN): (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-</p>	18.	<p>Estimated Funding: (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the</p>

Item	Entry:	Item	Entry:																								
	4444444.		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.																								
	c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting www.Grants.gov.	19.	Is Application Subject to Review by State Under Executive Order 12372 Process? (Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.																								
	d. Address: Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).	20.	Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.																								
	e. Organizational Unit: Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.	21.	Authorized Representative: To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)																								
	f. Name and contact information of person to be contacted on matters involving this application: Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.																										
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.																										
	<table border="0"> <tr> <td>A. State Government</td> <td>M. Nonprofit</td> </tr> <tr> <td>B. County Government</td> <td>N. Private Institution of Higher Education</td> </tr> <tr> <td>C. City or Township Government</td> <td>O. Individual</td> </tr> <tr> <td>D. Special District Government</td> <td>P. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td>E. Regional Organization</td> <td>Q. Small Business</td> </tr> <tr> <td>F. U.S. Territory or Possession</td> <td>R. Hispanic-serving Institution</td> </tr> <tr> <td>G. Independent School District</td> <td>S. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td>H. Public/State Controlled Institution of Higher Education</td> <td>T. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td>I. Indian/Native American Tribal Government (Federally Recognized)</td> <td>U. Alaska Native and Native Hawaiian Serving Institutions</td> </tr> <tr> <td>J. Indian/Native American Tribal Government (Other than Federally Recognized)</td> <td>V. Non-US Entity</td> </tr> <tr> <td>K. Indian/Native American Tribally Designated Organization</td> <td>W. Other (specify)</td> </tr> <tr> <td>L. Public/Indian Housing Authority</td> <td></td> </tr> </table>	A. State Government	M. Nonprofit	B. County Government	N. Private Institution of Higher Education	C. City or Township Government	O. Individual	D. Special District Government	P. For-Profit Organization (Other than Small Business)	E. Regional Organization	Q. Small Business	F. U.S. Territory or Possession	R. Hispanic-serving Institution	G. Independent School District	S. Historically Black Colleges and Universities (HBCUs)	H. Public/State Controlled Institution of Higher Education	T. Tribally Controlled Colleges and Universities (TCCUs)	I. Indian/Native American Tribal Government (Federally Recognized)	U. Alaska Native and Native Hawaiian Serving Institutions	J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Non-US Entity	K. Indian/Native American Tribally Designated Organization	W. Other (specify)	L. Public/Indian Housing Authority			
A. State Government	M. Nonprofit																										
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L. Public/Indian Housing Authority																											

[U.S Department of Education note: As of spring, 2010, the FON discussed in Block 12 of the instructions can be found via the following URL: http://www.grants.gov/applicants/find_grant_opportunities.jsp.]

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

1. Project Director. Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application. Items marked with an asterisk (*) are mandatory.

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

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

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

3a. If Not Human Subjects Research. Check “No” if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable.

3a. If Human Subjects Research. Check “Yes” if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check “Yes” even if the research is exempt from the regulations for the protection of human subjects. (See I. B. “Exemptions” in attached page entitled “Definitions for U.S. Department of Education Supplemental Information for SF-424.”)

3b. If Human Subjects Research is Exempt from the Human Subjects Regulations. Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Check the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for U.S. Department of Education Supplemental Information for the SF-424.”

3b. If Human Subjects Research is Not Exempt from Human Subjects Regulations. Check “No” if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the attached page entitled “Definitions for U.S. Department of Education Supplemental Information for the SF-424.”

3b. Human Subjects Assurance Number. If the applicant has an approved Federal Wide Assurance (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. (A list of current FWAs is available at: <http://ohrp.cit.nih.gov/search/asearch.asp#ASUR>) If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

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

Note about Institutional Review Board Approval. ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

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

Paperwork Burden Statement. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1894-0007. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-0170. If you have comments or concerns regarding the status of your individual submission of this form write directly to: (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

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

Definitions:

Novice Applicant (See 34 CFR 75.225)

For discretionary grant programs, novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge. Activities which meet this definition constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Human Subject

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

B. Exemptions.

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

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods. ***If an educational practice is being introduced to the site and is not widely used for similar populations, it is not covered by this exemption.***

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

Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed. [Children are defined as persons who have not attained the legal age for consent to treatments or procedures

involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

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

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects. ***[This exemption applies only to retrospective studies using data collected before the initiation of the research.]***

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs. ***[The standards of this exemption are rarely met because it was designed to apply only to specific research conducted by HHS at the time the regulations were established. We will strictly construe this exemption because it was not intended to apply to ED research.]***

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

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked “Yes” for Item 3.b. of the U.S. Department of Education Supplemental Information for the SF 424, the applicant must attach a human subjects “exempt research” or “nonexempt research” narrative to the U.S. Department of Education Supplemental Information for the SF-424 form. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

A. Exempt Research Narrative.

If you marked “Yes” for item 3.b. and designated exemption numbers(s), attach the “exempt research” narrative to the U.S. Department of Education Supplemental Information for the SF-424. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked “No” for item 3.b. you must attach the “nonexempt research” narrative to the U.S. Department of Education Supplemental Information for the SF-424. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) Human Subjects Involvement and Characteristics:

Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) Sources of Materials: Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) Recruitment and Informed Consent: Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) Potential Risks: Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) Protection Against Risk: Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for

monitoring the data collected to ensure the safety of the subjects.

(6) Importance of the Knowledge to be Gained: Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) Collaborating Site(s): If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

***Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4331, telephone: (202) 245-8090, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site:
<http://www.ed.gov/about/offices/list/ocfo/humansub.html>***

NOTE: The **State Applicant Identifier** on the SF-424 is for State Use only. Please complete it on the SF-424 in the upper right corner of the form (if applicable).

Part 2: Budget Information

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

This part of your application contains information about the Federal funding you are requesting. Remember that you must provide all requested budget information for each year of the project (up to 60 months) and the total column in order to be considered for Federal funding. Specific instructions for completing the budget forms are provided within this application package.

Instructions for completing ED Form 524 Section A:

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

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

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

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

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

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

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

Construction (Line 7): Not applicable.

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

Total Direct Costs (Line 9): The sum of Lines 1-8.

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

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

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

Instructions for ED 524

General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. You may access the Education Department General Administrative Regulations, 34 CFR 74 – 86 and 97-99, on ED’s website at: <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

You must 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 break-down by the applicable budget categories shown in lines 1-11.

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

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

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

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

Indirect Cost Information: If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. If you checked “no,” ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:

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

(b) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.

(2): If you checked “yes” in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED, another Federal agency (Other) or State agency issued the approved agreement. If you check “Other,” specify the name of the Federal or other agency that issued the approved agreement.

(3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a

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

Section B - Budget Summary Non-Federal Funds

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

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

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

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

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

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

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. For non-Federal funds or resources listed in Section B that are used to meet a cost-sharing or matching requirement or provided as a voluntary cost-sharing or matching commitment, you must include:
 - a. The specific costs or contributions by budget category;
 - b. The source of the costs or contributions; and
 - c. In the case of third-party in-kind contributions, a description of how the value was determined for the donated or contributed goods or services.

[Please review ED’s general cost sharing and matching regulations, which include specific limitations, in 34 CFR 74.23, applicable to non-

governmental entities, and 80.24, applicable to governments, and the applicable Office of Management and Budget (OMB) cost principles for your entity type regarding donations, capital assets, depreciation and use allowances. OMB cost principle circulars are available on OMB’s website at: <http://www.whitehouse.gov/omb/circulars/index.html>]

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

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

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

5. Provide other explanations or comments you deem necessary.

Paperwork Burden Statement

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

Part 3: ED Abstract Form

This section should be attached as a single document to the ED Abstract Form in accordance with the instructions found on Grants.gov and should be organized in the following manner and include the following parts in order to expedite the review process.

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

Please note that Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.

When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.

Project Abstract

The project abstract should not exceed **one** double spaced page and should include a concise description of the following information:

- Project objectives and activities,
- Applicable priorities
- Proposed project outcomes
- Number of participants to be served

Note: Applicants may address the competitive preference priority. An applicant must identify in the abstract section of its application the competitive preference priority or priorities it wishes the Department to consider. The Department will not review or award points under any competitive preference priority for any application that fails to do so.

Part 4: Project Narrative Attachment Form

*This section should be attached as a **single** document to the Project Narrative Attachment Form in accordance with the instructions found on Grants.gov and should be organized in the following manner and include the following parts in order to expedite the review process.*

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

When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.

Table of Contents (The table of contents should cover the entire application – not just the Project Narrative)

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

Application Narrative

The application narrative responds to the selection criteria found in this application package and should follow the order of the selection criteria.

Applicants must limit this section of the application to the equivalent of no more than 50 double-spaced typewritten pages and adhere to the following guidelines:

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

Reviewers will not read any pages of your application that exceed the page limit.

The narrative must contain evidence that the applicant meets the absolute priorities and should contain and follow in sequence the information requested for each selection criterion. Applicants should ensure that the narrative addresses all of the application and program requirements listed and that the narrative is easy to read and logically developed in accordance with the selection criteria.

Selection Criteria for Program Narrative

The maximum score for all selection criteria is 100 points. The points or weights assigned to each criterion are indicated in parentheses. Non-Federal peer reviewers will review each application. They will be asked to evaluate and score each program narrative against the following selection criteria:

[Note: *The criteria may contain weighted subcriteria. Applicants must address each subcriterion to qualify for the maximum number of points for each criterion.*]

- 1) Need for Project – 15 points
- 2) Significance – 15 points
- 3) Quality of the Project Design – 15 points
- 4) Quality of the Project Services – 25 points
- 5) Quality of the Management Plan – 15 points
- 6) Quality of the Project Evaluation – 15 points

1. Need for Project (5 points)

In determining the need for the proposed project, the following factors are considered:

- A. The magnitude of the need for the services to be provided or the activities to be carried out by the proposed project. (10 points)
- B. 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. (5 points)

Note: In addressing this criterion, applicants may want to consider providing the description and information called for in Application Requirement as listed in the Notice Inviting Applications.

2. Significance (15 points)

In determining the significance of the proposed project, the following factors are considered:

- A. The extent to which the proposed project is likely to build local capacity to provide, improve or expand services that address the needs of the target population. (15 points)

Note: In addressing this criterion, applicants may want to consider providing a description of the information called for in Application Requirements as listed in the Notice Inviting Applications.

3. Quality of the Project Design (15 points)

In determining the quality of the design of the proposed project, the following factors are considered:

- A. The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs. (5 points)

- B. The extent to which the proposed project will integrate with or build on similar or related efforts to improve relevant outcomes (as defined in 34 CFR 77.1(c)), using existing funding streams from other programs or policies supported by community, State, and Federal resources. (5 points)
- C. The extent to which the proposed project is supported by evidence of promise (as defined in 34 CFR 77.1 (c)). (5 points)

Note: In addressing this criterion, applicants may want to consider providing a description of how the two absolute priorities will be met as well as the description and information called for in the Application Requirements as listed in the Notice Inviting Applications.

4. Quality of the Project Services (25 points)

In determining the quality of the management plan of the proposed project, the following factors are considered:

- A. 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.
- B. The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services.

Note: Applicants should discuss in detail in the application narrative how you will be addressing the competitive preference priority, as part of the overall proposed project goals and objectives in the application narrative.

5. Quality of the Management Plan (15 points)

In determining the quality of the management plan of the proposed project, the following factors are considered:

- C. 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. (15 points)

Note: Applicants may address this criterion in any way that they want. However, the applicant may want to consider providing a description of how the project will be structured and managed. Applicants may also wish to consider providing information on staff roles and responsibilities.

6. Quality of the Project Evaluation (15 points)

In determining the quality of the evaluation of the proposed project, the following factors are considered:

- A. The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project. (15 points)

Note: Under this criterion, applicants must provide a description and information related to the Project Evaluation and collection and reporting of performance information, called for in Section VI: Award Information (Performance Measures) of the Notice Inviting Applications as well as discussed on pages 63-67 of the application package (“Reporting and Accountability” section).

Note: If the applicant does not have experience with collection and reporting of performance data through other projects or research, the applicant should provide other evidence of capacity to successfully carry out data collection and reporting for its proposed project.

Part 5: Budget Narrative

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

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

When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.

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

This section requires an **itemized budget breakdown** for each project year and the **basis for estimating the costs** of personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs and any other projected expenditures. Be sure to complete an itemized budget breakdown and narrative for each year of the proposed project (up to 36 months).

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

Important Notes

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

Suggested Guidelines for the Budget Narrative

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

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

1. Personnel

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

2. Fringe Benefits

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

3. Travel

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

4. Equipment

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

5. Supplies

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

6. Contractual

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

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

7. Construction

- Not applicable.

8. Other

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

9. Total Direct Costs

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

10. Indirect Costs

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

11. Training Stipends

- Please provide total cost for training stipends.

12. Total Costs

- Sum total of direct costs, indirect costs, and stipends.
- Please provide total costs for each year of the project as well as grand total cost for the entire project (up to 60 months).

Important Information Regarding Indirect Costs

The Department of Education (ED) reimburses a grantee for part of its indirect costs incurred in projects funded by the Project Prevent Grant Program (ALN84.184M).

For this grant competition, you may charge indirect costs using the restricted negotiated rate with your cognizant federal agency (e.g., Department of Education, Department of Health and Human Services, Department of the Interior). Be sure to include evidence of a federally negotiated indirect cost rate.

Note: Applicants should use the appropriate program or operations rate specified in their institution's federally approved indirect cost rate agreement in their proposed project budgets. Individuals who apply for any grant competition through ED are not allowed to budget for an indirect cost rate. If you budget for contractual services, please note that indirect costs may be applied only to the first \$25,000 of each subcontract for each year of the project.

You are encouraged to give priority to direct services to students by limiting the indirect costs charged to the project. You will not be penalized for failure to reduce indirect costs nor will you gain competitive advantage if you do.

If you claim indirect costs in the budget for your proposed project and do not have a negotiated rate with the federal government, ED will establish a temporary indirect cost rate for your project (i.e., 10 percent of the direct salaries and wages included in the budget for the project). Grantees will be allowed to draw at the temporary rate during the first 90 days after ED made the grant, as determined by the date of the Grant Award Notification. If a grantee does not submit an indirect cost rate proposal to its cognizant agency within that first 90 days, the grantee will not be allowed to draw any more funds for indirect costs until it obtains a federally recognized indirect cost rate from its cognizant agency. For more information about indirect cost rates, visit www.ed.gov/about/offices/list/ocfo/intro.html.

Part 6: Other Attachment Form

Attach one or more documents to the Other Attachments Form in accordance with the instructions found on [Grants.gov](https://www.grants.gov). You may provide all of the required information in a single document, or in multiple documents.

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

Please note that Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.

When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.

- Individual Resumes for Project Directors and Key Personnel:** Provide brief resumes or job descriptions that describe their qualifications for the responsibilities they will carry out under the project.
- Memorandum of Agreement (MOA) or Memorandum of Understanding (MOU) with a Local Mental Health Agency:** You must attach the signed MOA or MOU with a local community-based organization in this section.
- Executive Order 12372:** You must attach a copy of the Single Point of Contact transmittal letter.
- Indirect Cost Rate Agreement:** You must attach a copy of the indirect cost rate agreement.

Part 7: Assurances and Certifications

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

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

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

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

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

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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

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

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

Section 427 **requires** each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally assisted program for students, teachers, and other program beneficiaries with special needs.

This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age.

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

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

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

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

This program falls under the rubric of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79. One of the objectives of the Executive order is to strengthen federalism--or the distribution of responsibility between localities, States, and the Federal government--by fostering intergovernmental partnerships. This idea includes supporting processes that State or local governments have devised for coordinating and reviewing proposed Federal financial grant applications.

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

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

http://www.whitehouse.gov/omb/grants_spoc

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--ALN 84.184M, U.S. Department of Education, room 7E200, 400 Maryland Avenue, SW., Washington, DC 20202.

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

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

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

Reporting and Accountability

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

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

Under 34 CFR 75.110,, performance measures have been established to evaluate the overall effectiveness of the Project Prevent Grant Program.

The performance measures for this program are:

- (1) **The percentage of grantees that report a measurable decrease in violent, aggressive, and disruptive behavior in schools served by the grant.**
- (2) **The percentage of grantees that report a measurable increase in the number of students in schools served by the grant receiving school-based and community mental health services to address student needs resulting from exposure to community violence.**
- (3) **The percentage of grantees that report a measurable increase in the school engagement (as defined in the Notice Inviting Applications) of students served by the grant.**
- (4) **The percentage of grantees that report a measurable increase in the quality of family engagement and grantee engagement with community-based organization(s), as defined and measured by the grantee.**

These performance measures constitute the Department's indicators of success for this program. Consequently, applicants for a grant under this program should give careful consideration to these measures in developing their projects, and particularly to how they will collect and report data for these measures. Grantees will be expected to collect and report data to the Department in their annual performance report and final performance reports (www.ed.gov/fund/grant/apply/appforms/ed524b_coverfill.pdf and www.ed.gov/fund/grant/apply/appforms/ed524b_statusfill.pdf).

We will aggregate data provided by grantees for these performance measures and use these data for a variety of purposes, including developing future budget proposals and improving the performance of the program. We also will share this performance data with Congress and may publish results from individual grants to illustrate how grant sites are making progress toward program objectives.

The Department has established project performance measures for assessing the effectiveness of the Project Prevent Grant Program.

The project performance measures for this program are:

- (1) **Annual decrease in violent, aggressive, and disruptive behavior in schools served by the grant.**
- (2) **Annual increase in the number of students in schools served by the grant receiving school-based and community mental health services to address student needs resulting from exposure to community violence.**
- (3) **Annual increase in the school engagement (as defined in the Notice Inviting Applications) of students served by the grant.**
- (4) **Annual increase in the quality of family engagement with community-based organization(s), as defined and measured by the grantee.**

Baseline Data – Applicants must provide baseline data (as defined in the Notice Inviting Applications) for each of the **project performance measures** listed above and explain why each proposed baseline is valid; or, 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.

Performance Measure Targets – The applicant must also propose annual targets for the measures listed on pages 61-64 of this application. Applications must provide the following information as directed under 34 CFR 75.110(b) and (c):

- (1) Why each proposed performance target is ambitious (as defined in the Notice Inviting Application) yet achievable compared to the baseline for the performance measure.
- (2) 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 (b) 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.

Note: If the applicant does not have experience with collection and reporting of performance data through other projects or research, the applicant should provide other evidence of capacity to successfully carry out data collection and reporting for its proposed project.

Reviewers of each application will score related selection criteria on the basis of how well an applicant has considered these project performance measures, the requirements for baseline data, and performance targets in conceptualizing the approach and evaluation of the project.

Please use the most recent data available and indicate the year in which the data was collected. Below is a sample table for each project performance measure. Applicants are encouraged to use the tables and methodology below to provide the required baseline data.

Performance Measure 1: Annual decrease in violent, aggressive, and disruptive behavior in schools served by the grant.

Schools participating in the grant	Number of students to be served by the grant (Baseline) (2020-2021)	Number of incidents for associated behavior (Baseline) (2020-2021)
XYZ Elementary	475	221
ABC Elementary	350	45
JKL Elementary	535	163
TOTAL	1,360	429

NOTE: The behavior reported must include incidents that involved referrals for disciplinary reasons in which a student was referred to school personnel (including, but not limited to, the principal, the vice principal, school security, or school-based mental health professionals) for violations of the LEA’s discipline code, and any provisions related to violent, aggressive, and disruptive behavior.

Performance Measure 2: Annual increase in the number of students in schools served by the grant receiving school-based and community mental health services to address student needs resulting from exposure to violence.

Schools participating in the grant	Number of students to be served by the grant (Baseline) (2020-2021)	Number of students receiving services (Baseline) (2020-2021)
XYZ Elementary	475	85
ABC Elementary	350	58
JKL Elementary	535	79
TOTAL	1,360	222

NOTE: Students counted as receiving services should be those proposed to be served by the grant and currently receiving school-based mental health services, or those provided by a community mental health service provider as a result of a referral from the school or LEA – in both cases to address student needs resulting from exposure to violence.

Performance Measure 3: Annual increase in the school engagement (as defined in the Notice Inviting Applications) of students served by the grant.

Schools participating in the grant	Number of students to be served by the grant (Baseline) (2020-2021)	Number of students engaged in school (Baseline) (2020-2021)
XYZ Elementary	475	201
ABC Elementary	350	166
JKL Elementary	535	284
TOTAL	1,360	651

NOTE: There are multiple instruments schools and LEAs may use to measure student engagement. A 2011 report funded by the U.S. Department of Education reviewed the characteristics of 21 instruments that measure student engagement in upper elementary through high school. It summarizes what each instrument measures, describes its purposes and uses, and provides technical information on its psychometric properties. The report is available online at: <http://ies.ed.gov/ncee/edlabs/projects/project.asp?ProjectID=268>

Performance Measure: Annual increase in the quality of family engagement with community-based organization(s), as defined and measured by the grantee.

Schools participating in the grant	Number of students to be served by the grant (Baseline) (2020-2021)	Number of families engaged in community-based organization(s) (Baseline) (2020-2021)
XYZ Elementary	475	201
ABC Elementary	350	166
JKL Elementary	535	284
TOTAL	1,360	651

NOTE: There are multiple instruments schools and LEAs may use to measure student engagement. A 2011 report funded by the U.S. Department of Education reviewed the characteristics of 21 instruments that measure student engagement in upper elementary through high school. It summarizes what each instrument measures, describes its purposes and uses, and provides technical information on its psychometric properties. The report is available online at: <http://ies.ed.gov/ncee/edlabs/projects/project.asp?ProjectID=268>

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

Legal and Regulatory Information

Authorizing Legislation

Elementary and Secondary Education Act of 1965, as amended

Title IV, Part A, Subpart 2, Section 4121 – Federal Activities

(a) Program Authorized—From funds made available to carry out this subpart under section 4003(2), the Secretary, in consultation with the Secretary of Health and Human Services, the Director of the Office of National Drug Control Policy, and the Attorney General, shall carry out programs to prevent the illegal use of drugs and violence among, and promote safety and discipline for, students. The Secretary shall carry out such programs directly, or through grants, contracts, or cooperative agreements with public and private entities and individuals, or through agreements with other federal agencies, and shall coordinate such programs with other appropriate federal activities. Such programs may include:

- 1) the development and demonstration of innovative strategies for the training of school personnel, parents, and members of the community for drug and violence prevention activities based on State and local needs;
- 2) the development, demonstration, scientifically based evaluation, and dissemination of innovative and high quality drug and violence prevention programs and activities, based on State and local needs, which may include-
 - a) alternative education models, either established within a school or separate and apart from an existing school, that are designed to promote drug and violence prevention, reduce disruptive behavior, reduce the need for repeat suspensions and expulsions, enable students to meet challenging State academic standards, and enable students to return to the regular classroom as soon as possible;
 - b) community service and service-learning projects, designed to rebuild safe and health neighborhoods and increase students' sense of individual responsibility
 - c) video-based projects developed by noncommercial telecommunications entities that provide young people with models for conflict resolution and responsible decision-making; and
 - d) child abuse education and prevention programs for elementary and secondary students;
- 3) the provision of information on drug abuse education and prevention to the Secretary of Health and Human Services for dissemination;
- 4) the provision of information on violence prevention and education and school safety to the Department of Justice for dissemination;
- 5) technical assistance to chief executive officers, State agencies, local educational agencies, and other recipients of funding under this part to build capacity to develop and implement high-quality, effective drug and violence prevention programs consistent with the principles of effectiveness in section 4115(a);
- 6) assistance to school systems that have particularly severe drug and violence problems, including hiring drug prevention and school safety coordinators, or assistance to support appropriate response efforts to crisis situations;
- 7) the development of education and training programs, curricula, instructional materials, and professional training and development for preventing and reducing the incidence of crimes and conflicts motivated by hate in localities most directly affected by hate crimes;

- 8) activities in communities designated as empowerment zones or enterprise communities that will connect schools to community-wide efforts to reduce drug and violence problems; and
- 9) other activities in accordance with the purpose of this part, based on State and local needs.

(b) Peer Review—The Secretary shall use a peer review process in reviewing applications for funds under this section.