

FY 2023

U.S. Department of  
Education  
Office of Career,  
Technical, and Adult  
Education  
Washington, DC  
20202-7142



**APPLICATION FOR GRANTS UNDER THE  
PERKINS INNOVATION AND MODERNIZATION  
GRANT PROGRAM**

Assistance Listing Number: **84.051F**

Form Approved: **Date TBD**

OMB No. **1830-NEW**

Expiration Date:

**Closing Date:**

## Table of Contents

Pre-Application Webinar.....	4
Executive Order 12372.....	4
Paperwork Burden Statement.....	4
<b>I. Background Information.....</b>	<b>5</b>
Program Overview.....	5
Addressing Your Questions.....	5
Intent to Apply.....	5
<b>II. Basic Application Information.....</b>	<b>6</b>
Perkins innovation and modernization Grant Program Competition Elements.....	7
<b>III. Application Submission Procedures.....</b>	<b>18</b>
Submission Procedures.....	18
<b>IV. Application Instructions.....</b>	<b>24</b>
Electronic Application Format.....	24
Completing and Submitting Your Application.....	24
A. Application Narrative Instructions.....	26
Instructions for ED Abstract Narrative.....	26
Instructions for Project Narrative.....	26
B. Budget Narratives.....	28
Instructions for budget Narratives.....	28
C. Other Attachment Form.....	33
Instructions for Appendix.....	33
D. Additional Information.....	34
Grant Selection Criteria.....	34
E. Optional Application Package Attachments.....	38
Optional Application Checklist.....	39
<b>V. Form Instructions.....</b>	<b>40</b>
<b>VI. Authorizing Legislation.....</b>	<b>53</b>

NOTE: The [Notice of Proposed Priorities, Requirements, Definitions, and Selection Criteria \(NPP\)](#) for the Perkins Innovation and Modernization Grant Program was published in the Federal Register on May 17, 2023. The Application Package instructions will be updated when the Notice Inviting Applications (NIA) is published in the *Federal Register*. The NIA will establish the priorities, requirements, definitions, and selection criteria for the program.



UNITED STATES DEPARTMENT OF EDUCATION  
OFFICE OF CAREER, TECHNICAL, AND ADULT EDUCATION

Dear Applicant:

Thank you for your interest in the Perkins Innovation and Modernization Grant Program! This opportunity is authorized by section 114(e) of the Carl D. Perkins Career and Technical Education Act of 2006, as amended by the Strengthening Career and Technical Education for the 21st Century Act (the Perkins Act). With this authority, we are seeking Career Connected High Schools (CCHS) projects that will transform public high schools by expanding existing and implementing new strategies and supports to help their students identify and navigate pathways to postsecondary education and career preparation, accrue college credit, pursue in-demand and high-value industry-recognized credentials, and gain direct experience in the workplace through work-based learning.

Please take time to review the **Notice Inviting Applications** published in the *Federal Register* on **[Date to be determined (TBD)]** and this application package thoroughly. You will need a clear understanding of the program background, absolute priority, competitive preference priorities, program and application requirements, definitions, selection criteria, and all of the application instructions. 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 if the application does not contain the information required under the program (EDGAR §75.216 (b) (c)). We ask applicants to view this initiative not just as an opportunity for additional funds, but as an opportunity to redesign CTE programming to better prepare students for successful careers.

For this competition, it is mandatory for applicants to use the government-wide website, Grants.gov (<http://www.grants.gov>) to apply. Be sure to read the Grants.gov Submission Procedures and Tips for Applicants in this application package for more information. We strongly urge you to familiarize yourself with Grants.gov and recommend that you register and submit your application early.

We invite you to attend a pre-application webinar on this grant initiative on **[Date 2023] at 2:00 p.m. EDT**. You will find registration information in this application package. Please email [PIMgrants@ed.gov](mailto:PIMgrants@ed.gov) if you have other questions. Again, thank you for your interest in this competition and your commitment to improving the quality of student learning in schools across this country.

Sincerely,

Sharon Miller

Director, Division of Academic and Technical Education  
Office of Career, Technical, and Adult Education  
U. S. Department of Education

## PRE-APPLICATION WEBINAR

The Department will host an informational session online, designed to help interested applicants with the application process, on **[Date 2023] at 2:00 pm EDT**. We encourage interested applicants to participate in this webinar. Registration is required for this event. You may register at the following link: <https://>

Participation in the webinar is voluntary. For those who are not able to attend, the training will be archived and available via a link posted on the Perkins Collaborative Resource Network (PCRN) Web site at [cte.ed.gov](https://cte.ed.gov).

## EXECUTIVE ORDER 12372

### Intergovernmental Review of Federal Programs

This program is subject to the requirement of the Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79. The objective of the Executive Order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance. Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. You may locate the name and contact information of State Single Point of Contact at:

<https://www.whitehouse.gov/wp-content/uploads/2020/04/SPOC-4-13-20.pdf>

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372—ALN 84.051F, 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.**

## PAPERWORK BURDEN STATEMENT

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 40 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit and voluntary. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number **1830-NEW**.

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

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## I. Background Information

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### PROGRAM OVERVIEW

**Program Office:** Office of Career, Technical, and Adult Education

**Grant Name:** Perkins Innovation and Modernization Grant Program

**Assistance Listing Number (ALN):** 84.051F

**Grant Type:** Discretionary/Competitive Grant

**Program Description:** The purpose of the Perkins Innovation and Modernization Grant Program is to identify, support, and evaluate Evidence-Based<sup>1</sup> and innovative strategies and activities to improve and modernize Career and Technical Education (CTE) and align workforce skills with labor market needs in CTE programs funded under the Carl D. Perkins Career and Technical Education Act of 2006, as amended by the Strengthening Career and Technical Education for the 21st Century Act (Perkins V or the Act).

### ADDRESSING YOUR QUESTIONS

The Department provides multiple avenues for interested applicants to ask questions to clarify their understanding of the Perkins Innovation and Modernization Grant Program competition and process. In addition to participating in the **Date 2023** pre-application webinar described on page 4 of this application package, interested applicants may send their questions to [PIMGrants@ed.gov](mailto:PIMGrants@ed.gov).

Applicants should keep in mind that the Department cannot provide guidance on specific applications.

### INTENT TO APPLY

We will be able to develop a more efficient process for reviewing grant applications if we can anticipate the number of applicants that intend to apply for funding under this competition. Therefore, we strongly encourage each potential applicant to notify us of the applicant's intent to submit an application for funding by sending a short email message with the applicant organization's name and address to [PIMGrants@ed.gov](mailto:PIMGrants@ed.gov) with "Intent to Apply" in the email subject line. Applicants that do not provide this email notification may still apply for funding.

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<sup>1</sup> All defined terms are denoted with capitals. For definitions, see the *Federal Register* Notice Inviting Applications .

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## II. Basic Application Information

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Perkins Innovation and Modernization Grants (84.051F) Application available: [Date 2023]

Pre-Application Information Webinar for potential applicants: [Date 2023]

Intent to Apply: [Date 2023]

Deadline for transmitting applications: [Date 2023]

Estimated Award Announcement: [Date 2023]

### NOTICE INVITING APPLICATIONS

The full text of the Notice Inviting Applications (NIA) for the FY 2023 Perkins Innovation and Modernization Grant Program competition can be found on the *Federal Register* Web site at: <https://www.federalregister.gov>. For convenience, the FY 2023 Perkins Innovation and Modernization Grant Program NIA is also posted on the [PCRN website](#).

#### Deadline

All applications must be received on or before **11:59:59 p.m. Eastern Time, on [Date 2023]**. All applications must be submitted electronically via [Grants.gov](#). Your application must be fully uploaded and submitted, and must be date and time stamped by the Grants.gov system no later than 11:59:59 p.m. Eastern Time, on the application deadline date. Late applications will not be accepted. The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date and time. Only applications that are successfully submitted by the established deadline will be peer reviewed.

An applicant may check the status of its application, any time after submission, by using the "Track My Application" feature available from the upper navigation on the Grants.gov site. Applicants may also check the status of a submission by logging into their Grants.gov account using the Applicant Login. After logging in, an applicant should click on the "Check Application Status" link on the left-hand menu.

#### Application Package Instructions

Please note that the Perkins Innovation and Modernization Grant Program Application Package is for applicants to download and use as a guide only. All Perkins Innovation and Modernization Grant Program applications must be submitted electronically via Grants.gov, unless 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.

## PERKINS INNOVATION AND MODERNIZATION GRANT PROGRAM COMPETITION ELEMENTS

### I. Eligibility

The following entities are eligible to apply under this competition. Definitions for these entities are included in the Perkins Innovation and Modernization Grant Program NIA:

- (a) An Eligible Entity.
- (b) An Eligible Institution.
- (c) An Eligible Recipient.

Note: An Eligible Entity must comply with the regulations in 34 CFR 75.127 through 75.129, which address group applications.

Rural Applicants: Consistent with section 114(e)(5) of Perkins V, the Department plans to award at least 25 percent of the available funds to applicants serving eligible rural communities, contingent on receipt of a sufficient number of applications of sufficient quality. To qualify as a rural applicant under section 114(e)(5)(A), an applicant must meet at least one of the following requirements:

- (a) The applicant is--
  - (1) An LEA with an urban-centric district locale code of 32, 33, 41, 42, or 43, as determined by the Secretary;
  - (2) An IHE primarily serving one or more areas served by an LEA with an urban-centric district locale code of 32, 33, 41, 42, or 43, as determined by the Secretary;
  - (3) A consortium of such LEAs or such IHEs described in clause (1) or (2), above;
  - (4) An educational service agency or a nonprofit organization in partnership with such an LEA or such an IHE, in clause (1) or (2), above; or
  - (5) An applicant described in clause (1) or (2) in partnership with an SEA.

Note: For the purposes of meeting the statutory rural set aside, an applicant must meet the requirements as listed above and provide the necessary locale codes in its grant application. Applicants are encouraged to retrieve locale codes from the National Center for Education Statistics School District search tool (<https://nces.ed.gov/ccd/districtsearch/>), where districts can be looked up individually to retrieve locale codes.

### II. Absolute, Competitive, and Invitational Priorities

The NIA will establish the absolute, competitive and invitational priorities. An applicant that is eligible to apply to the Perkins Innovation and Modernization Grant Program competition will not be considered for funding if the Department finds that it fails to meet an absolute priority or a requirement set forth in the NIA. For this reason, we strongly encourage each applicant to respond carefully and fully to the absolute priority and to each requirement. Responding to the competitive and invitational priorities is optional.

The FY 2023 Perkins Innovation and Modernization Grant Program NPP proposes the following:

**Proposed Priority 1 – Career-Connected High Schools.**

To meet this priority, an applicant must submit a detailed 5-year planning and implementation plan to increase the alignment of the last 2 years of high school and the first 2 years of postsecondary education in one or more high schools that describes the extent to which the applicant is currently implementing career-connected learning, with supporting data if available; and describes how the applicant will increase the proportion of students who graduate from high school with one or more of the following four pillars of career connected learning:

(a) Education and career goals documented in a personalized postsecondary education and career plan (as defined in this notice) that was updated in each year of high school through a system of career guidance and academic counseling (as defined in section 3(7) of Perkins V) and postsecondary education navigation supports;

(b) Postsecondary credits earned from dual or concurrent enrollment programs (as defined in section 3 of Perkins V);

(c) Work experience gained through participation in one or more work-based learning opportunities (as defined in section 3 of Perkins V) for which they received wages or academic credit or both; or

(d) An in-demand and high-value industry-recognized credential (as defined in this notice).

**Proposed Priority 2 – Partnerships--** To meet this priority, an application—

(1) Must be submitted by an applicant that includes one or more partners in each of the following categories:

(A) A local educational agency (including a public charter school local educational agency), an area career and technical education school, an educational service agency serving secondary school students, an Indian Tribe, Tribal organization, or Tribal educational agency, eligible to receive assistance under section 131 of Perkins V;

(B) A community or technical college or other institution of higher education (IHE) eligible to receive assistance under section 132 of Perkins V; and

(C) A business or industry representative partner, which may include representatives of local or regional businesses or industries;

(2) May include any other relevant community stakeholders, such as local workforce development boards, labor-management partnerships, youth-serving organizations, and nonprofit organizations; and

(3) Must include a partnership agreement or proposed memorandum of understanding (MOU) among all members of the application, identified at the time of the application, that describes the role of each partner in carrying out the proposed project and the process for a formal MOU to be established.

**Proposed Priority 3 – Partnerships State and Regional Partnerships.**

To meet this priority--

**(a) State Partnership--A State partnership application--**



(1) must be submitted by an applicant that includes one or more partners in each of the following categories:

(A) A State agency, such as an SEA, State higher education agency or system, State workforce development agency, Governor's office, or a State economic development agency; and

(B) An LEA (including a public charter school local educational agency), an area career and technical education school, an educational service agency, an Indian Tribe, Tribal organization, or Tribal educational agency, eligible to receive assistance under section 131 of Perkins V;

(C) A community or technical college or another IHE eligible to receive assistance under section 132 of Perkins V;

(D) A business or industry representative partner, which may include representatives of local or regional businesses or industries; and

(2) May include any other relevant community stakeholders, such as local workforce development boards, youth-serving organizations, and nonprofit organizations; and

(3) Must include a description of how the project will be coordinated among partners and will leverage State resources in the achievement of program outcomes and the partnership's scope of activities that will support development or implementation of one or more of the pillars of career-connected learning, which may include setting up a governance structure to support implementation, reviewing or changing State policies, setting goals, using data to inform decisions, and convening stakeholders; and

(4) Must include a partnership agreement or proposed memorandum of understanding (MOU) among all partner entities, identified at the time of the application, that describes the role of each member of the partnership in carrying out the proposed project and the process for a formal MOU to be established.

**(b) Regional Partnership--A regional partnership application—**

(1) Must be submitted by a partnership that includes one or more members from each of the following categories:

(A) An LEA (including a public charter school that operates as an LEA), an area career and technical education school, an educational service agency, an Indian Tribe, Tribal organization, or Tribal educational agency, eligible to receive assistance under section 131 of Perkins V;

(B) A community or technical college or another IHE eligible to receive assistance under section 132 of Perkins V;

(C) A business or industry representative partner, which may include representatives of local or regional businesses or industries; and

(2) Must propose to serve two or more LEAs in the same State or region;

(3) May include any other relevant community stakeholders, such as local workforce development boards, youth-serving organizations, and non-profit organizations; and

(4) Must include a description of how the project will be coordinated among partners that share a common economic region or labor market area, utilize labor market information to support development or implementation of the four pillars of career-connected learning, and leverage regional, State, or other resources in the achievement of program outcomes; and

(5) Must include a partnership agreement or proposed memorandum of understanding (MOU) among all partner entities, identified at the time of the application, that describes the role of each member of the partnership in carrying out the proposed project and the process for a formal MOU to be established.

#### **Proposed Priority 4 – Serving Students from Families with Low Incomes. (NFP)**

To meet this priority, applicants must submit a plan to predominantly serve students from families with low incomes. The plan must include--

(a) The specific activities the applicant proposes to ensure that the project will predominantly serve students from low-income families;

(b) The timeline for implementing the activities;

(c) The parties responsible for implementing the activities;

(d) The key data sources and measures demonstrating that the project is designed to predominantly serve students from low-income families; and

(e) Evidence that at least 51 percent of the students to be served by the project are from low-income families.

When demonstrating that the project is designed to predominantly serve secondary students from low-income families, the applicant must use one or more of the following data sources and measures for projects that will serve secondary students:

- children aged 5 through 17 in poverty counted in the most recent census data approved by the Secretary; students eligible for a free or reduced-price lunch under the Richard B. Russell National School Lunch Act (42 U.S.C. 1751 et seq.);
- students whose families receive assistance under the State program funded under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.);
- students who are eligible to receive medical assistance under the Medicaid program; residence in a Census tract, a set of contiguous Census tracts, an American Indian Reservation, Oklahoma Tribal Statistical Area (as defined by the U.S. Census Bureau), Alaska Native Village Statistical Area or Alaska Native Regional Corporation Area, Native Hawaiian Homeland Area, or other Tribal land as defined by the Secretary of Labor in guidance, or a county that has a poverty rate of at least 25 percent as set every 5 years using American Community Survey 5-year data; or a composite of such indicators.
- Applicants may use data from elementary or middle schools that feed into a secondary school to establish that 51 percent of the students to be served by the project are students from low-income families.

For projects that will serve postsecondary students, the applicant must use one or more of the following data sources to demonstrate that the project is designed to predominantly serve students from families with low-incomes: students who are recipients of Federal Pell Grants or tuition assistance from the Bureau of Indian Education; students who receive, or whose families receive, assistance under the State program funded under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.); students who are eligible to receive medical assistance under the Medicaid program; or a composite of such indicators

**Proposed Priority 5 -- Rural Communities. (NFP)**

To meet this priority, an applicant must demonstrate that the proposed project will serve students residing in rural communities (as defined in this notice) and identify, by name, National Center for Education Statistics (NCES) LEA identification number, and NCES locale code, the rural LEA(s) that it proposes to serve in its grant application. Applicants may retrieve locale codes from the NCES School District search tool ([nces.ed.gov/ccd/districtsearch/](https://nces.ed.gov/ccd/districtsearch/)).

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**III. Requirements**

The NIA will establish any **application requirements** that eligible applicants must meet in order to be considered for funding. The FY 2023 Perkins Innovation and Modernization Grant Program NPP proposes the following application requirements:

**1. Demonstration of Matching Funds.**

(a) Each applicant must provide from non-Federal sources (e.g., State, local, or private sources) an amount equal to not less than 50 percent of funds provided under the grant, which may be provided in cash or through in-kind contributions, to carry out activities supported by the grant unless it receives a waiver due to exceptional circumstances. The applicant must include in its grant application a budget detailing the source of the matching funds or a request to waive the entirety or a portion of the matching requirement due to exceptional circumstances.

(b) An applicant that is unable to meet the matching requirement must include in its application a request to the Secretary to reduce the matching requirement, including the amount of the requested reduction, the total remaining match contribution, an explanation and evidence of the exceptional circumstances that make it difficult for the applicant to provide matching funds, and an indication as to whether it can carry out its proposed project if the matching requirement is not waived.

**2. Programs of Study.**

Each applicant must identify and describe in its application the course sequences in the programs of study that will be offered by high schools in the proposed project, including the associate, bachelor's, advanced degree, or certificate of completion of a Registered Apprenticeship that students may earn by completing each program of study, and how students served by the proposed project will have equitable access to such programs of study.

### **3. Secondary and Postsecondary Alignment.**

Each applicant must describe how it has aligned or will align the secondary coursework offered to students in funded projects to meet the entrance requirements and expectations for placement in credit-bearing coursework at public, in-state IHEs. If the alignment has not been achieved at the time of application, this description must include a timeline for completion of this work by the end of the first year of the project, as well as information on the persons who will be responsible for these activities and their roles and qualifications.

### **4. Articulation and Credit Transfer Agreements.**

Each applicant must include in its application an assurance that by no later than the end of the first year of the project, LEAs, and IHEs participating in the project will execute articulation or credit transfer agreements that ensure that postsecondary credits earned by students in dual or concurrent enrollment programs supported by the project will be accepted for transfer at each participating IHE and count toward the requirements for earning culminating postsecondary credentials for programs of study offered to students through the project.

The NIA will establish any **program requirements** that grants must meet during the project period. The FY 2023 Perkins Innovation and Modernization Grant Program NPP proposes the following program requirements:

#### **1. Matching Contributions.**

(a) A grantee must provide from non-Federal sources (e.g., State, local, or private sources), an amount equal to not less than 50 percent of funds provided under the grant, which may be provided in cash or through in-kind contributions, to carry out activities supported by the grant, except that the Secretary may waive the matching funds requirement, on a case-by-case basis, upon a showing of exceptional circumstances, such as (but not limited to)—

(1) The difficulty of raising matching funds for a program to serve a rural area.

(2) The difficulty of raising matching funds on Tribal land.

(3) The difficulty of raising matching funds in areas with a concentration of local educational agencies or schools with a high percentage of students aged 5 through 17--

(A) who are living in poverty, as counted in the most recent census data approved by the Secretary;

(B) who are eligible for a free or reduced-price lunch under the Richard B. Russell National School Lunch Act (42 U.S.C. 1751 et seq.);

(C) whose families receive assistance under the State program funded under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.); or

(D) who are eligible to receive medical assistance under the Medicaid program.

(4) The difficulty of raising matching funds by an institution of higher education that, during the current or preceding year, has been granted a waiver by the Department of certain non-Federal cost-sharing requirements under the Federal Work Study program, the Federal Supplemental Educational Opportunity Grants program, or the TRIO Student Support Services program because it has low education and general expenditures and serves a large proportion of students receiving need-based assistance under Title IV of the Higher Education Act.

(b) Non-Federal funds used by a grantee to support activities allowable under this program prior to its receipt of the grant may be used to meet the matching requirements of this program. The prohibition against supplanting non-Federal funds in section 211(a) of Perkins V applies to grant funds provided under this program but does not apply to the matching requirement.

(c) Matching funds provided by a grantee may be met over the full duration of the grant award period, rather than per year, except that the grantee must make progress towards meeting the matching requirement in each year of the grant award period.

## **2. Programs of Study.**

By no later than the end of the first year of the project, courses in programs of study offered by grantees to students for completion during high school must be designed to meet the entrance requirements and expectations for placement in credit-bearing coursework at public, in-state IHEs. The programs of study offered to students by grantees may include opportunities to attain an industry-recognized credential or a postsecondary certificate that participating students may earn during high school but must culminate with an associate, bachelor's, or advanced degree, or completion of a Registered Apprenticeship Program, upon completion of additional postsecondary education after high school graduation.

## **3. Independent Evaluation.**

(a) The independent evaluation (as defined in this notice) supported by a grantee must, in accordance with instructions and definitions provided by the Secretary, report annually the number and percentage of students who graduated from high schools served by the proposed project who, prior to or upon graduation--

(1) Earned, through their successful participation in dual or concurrent enrollment programs in academic or career and technical education subject areas --

(i) any postsecondary credits; and, separately,

(ii) 12 or more postsecondary credits.

(2) Completed 40 or more hours of work-based learning for which they received wages or academic credit, or both.

(3) Attained an industry-recognized credential that is in-demand in the local, regional, or State labor market and associated with one or more jobs with median earnings that exceed the median earnings of a high school graduate.

(4) Met, in each year of high school, with a school counselor, college adviser, career coach, or other appropriately trained adult for education and career counseling during which they reviewed and updated a personalized postsecondary educational and career plan (as defined by this notice).

(b) The outcomes described in paragraph (a) must be disaggregated by--

(1) Subgroups of students, described in section 1111(c)(2)(B) of the ESEA; and

(2) Special populations, as defined by section 3(48) of Perkins V; and

(c) The independent evaluation (as defined in this notice) supported by a grantee must also report annually on any project-specific indicators identified by the grantee.

#### **4. Final MOU.**

Within 120 days of receipt of its grant award, each grantee that submitted a partnership application must submit a final memorandum of understanding (MOU) among all partner entities that describes the roles and responsibilities of the partners in carrying out the project and its activities.

#### **5. Project Implementation Plan and Timeline.**

Each grantee must have a project plan that includes an implementation timeline with benchmarks to implement one or more of the four pillars of career-connected learning for students served by the project, as described in Proposed Priority 1, by no later than the end of the fifth year of the project. Each grantee will submit a progress report documenting progress on the implementation plan and the timeline on an annual basis.

### **IV. Reporting**

#### **Performance Measures**

Pursuant to the Government Performance and Results Act of 1993, the Department has established the following performance measures that it will use to evaluate the overall effectiveness of the grantee's project, as well as the Perkins Innovation and Modernization Grant Program as a whole. Each grantee will be required to report on student outcomes, as applicable, using the Perkins section 113 core indicators of performance. The core indicators of performance for CTE Concentrators at the secondary level are—

(a) The percentage of CTE Concentrators who graduates high school, as measured by the four-year adjusted cohort graduation rate (defined in section 8101 of the ESEA);

(b) The percentage of CTE Concentrators who graduate high school, as measured by extended-year adjusted cohort graduation rate (defined in section 8101 of the ESEA);

(c) CTE Concentrator proficiency in the challenging State academic standards adopted by the State under section 1111(b)(1) of the ESEA, as measured by the academic assessments in reading/language arts as described in section 1111(b)(2) of the ESEA;

(d) CTE Concentrator proficiency in the challenging State academic standards adopted by the State under section 1111(b)(1) of the ESEA, as measured by the academic assessments in mathematics as described in section 1111(b)(2) of the ESEA;

(e) CTE Concentrator proficiency in the challenging State academic standards adopted by the State under section 1111(b)(1) of the ESEA, as measured by the academic assessments in science as described in section 1111(b)(2) of the ESEA;

(f) At least one of the following:

(i) The percentage of CTE Concentrators graduating from high school having attained a Recognized Postsecondary Credential;

(ii) The percentage of CTE Concentrators graduating from high school having attained postsecondary credits in the relevant CTE program or Program of Study earned through a Dual or Concurrent Enrollment Program or another Credit Transfer Agreement; or

(iii) The percentage of CTE Concentrators graduating from high school having participated in Work-Based learning;

(g) The percentage of CTE Concentrators who, in the second quarter after exiting from secondary education, are in postsecondary education or advanced training, are in military service or a service program that receives assistance under title I of the National and Community Service Act of 1990 (42 U.S.C. 12511 et seq.), are volunteers as described in section 5(a) of the Peace Corps Act (22 U.S.C. 2504(a)), or are employed; and

(h) The percentage of CTE Concentrators in CTE programs and Programs of Study that lead to nontraditional fields.

The core indicators of performance for CTE Concentrators at the postsecondary level are—

(a) The percentage of CTE Concentrators who, during the second quarter after program completion, remain enrolled in postsecondary education, are in advanced training, military

service, or a service program that receives assistance under title I of the National and Community Service Act of 1990 (42 U.S.C. 12511 et seq.), are volunteers as described in section 5(a) of the Peace Corps Act (22 U.S.C. 2504(a)), or are placed or retained in employment;

(b) The percentage of CTE Concentrators who receive a Recognized Postsecondary Credential during participation in or within one year of program completion; and

(c) The percentage of CTE Concentrators in CTE programs and Programs of Study that lead to nontraditional fields.

**Project-Specific Performance Measures:**

Applicants also must propose project-specific Performance Measures and Performance Targets consistent with the objectives of the proposed project. Applications must provide the following information as directed under 34 CFR 75.110(b) and (c):

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

(b) Baseline data.

(i) Why each proposed Baseline is valid; or

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

(c) Performance Targets. Why each proposed Performance Target is ambitious yet achievable compared to the Baseline for the Performance Measure and when, during the project period, the applicant would meet the Performance Target(s).

(d) Data collection and reporting.

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

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



## V. Definitions

The FY 2023 Perkins Innovation and Modernization Grant Program NIA will establish the **definitions** for the program. The NPP proposes the following **definitions**:

Independent evaluation means an evaluation that is designed and carried out independent of and external to the grantee but in coordination with any employees of the grantee who developed a project component that is currently being implemented as part of the grant activities.

Industry-recognized credential means a credential that is--

- (a) Developed and offered by, or endorsed by, a nationally recognized industry association or organization representing a sizable portion of the industry sector, or a product vendor;
- (b) Awarded in recognition of an individual's attainment of measurable technical or occupational skills; and
- (c) Sought or accepted by multiple employers within an industry or sector as a recognized, preferred, or required credential for recruitment, hiring, retention, or advancement.

Personalized postsecondary educational and career plan means a plan, developed by the student and, to the greatest extent practicable, the student's family or guardian, in collaboration with a school counselor or other individual trained to provide career guidance and academic counseling (as defined in section 3(7) of Perkins V), that is used to help establish personalized academic and career goals, explore postsecondary and career opportunities, identify programs of study and work-based learning that advance the student's personalized postsecondary education and career goals, and establish appropriate milestones and timelines for tasks important to preparing for success after high school, including applying for postsecondary education and student financial aid, preparing a resume, and completing applications for employment.

Rural community means an area served by an LEA with an urban-centric district locale code of 32, 33, 41, 42, or 43, as determined by the Secretary and defined by the National Center for Education Statistics (NCES) Locale framework.

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### III. Application Submission Procedures

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#### SUBMISSION PROCEDURES

Applicants are required to follow the Common Instructions for Applicants to Department of Education Discretionary Grant Programs, published in the Federal Register on December 7, 2022 (87 FR 75045) and available at <https://www.federalregister.gov/d/2022-26554> which contain requirements and information on how to submit an application.

#### **Attention Applicants**

This program requires the electronic submission of applications. Specific requirements and instructions can be found in the Federal Register NIA announcing this grant competition. Please note that you must follow the “Application Submission Instructions” as described in the Federal Register NIA for this competition.

To submit an application on the Grants.gov website, hover over the “Applicant” tab. Select the “Apply for Grants” option, and then click on “Download a Grant Application Package.” Type in the ALN (formerly CFDA) 84.051F. Click “Download Package.” For assistance with the use of Grants.gov, please contact the Grants.gov Support Center, at 1-800-518- 4726, or email [support@grants.gov](mailto:support@grants.gov). You can access the website at <https://www.grants.gov/web/grants/support.html>.

We will reject your application if you submit it in paper format unless, as described in the common instructions, you follow the procedures outlined for a paper submission, which requires submission of a written notification to the Department no later than 14 calendar days before the application deadline date.

**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 website, 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 the Department.

Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than **11:59:59 p.m. Eastern Time** on the application deadline date. Except as otherwise noted in Federal Register NIA 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. Eastern Time on the application deadline date.

You should review and follow the *Grants.gov Submission Procedures and Tips for Applicants* 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.

On December 31, 2017, Grants.gov retired the Legacy PDF format for submitting grant applications. A Grants.gov applicant must apply online using Workspace, a shared environment where members of a grant team may simultaneously access and edit different web forms within an application. An applicant can create an individual Workspace for each application NIA and establish for that application a collaborative application package that allows more than one person in the applicant’s organization to

work concurrently on an application. The Grants.gov system also enables the applicant to reuse forms from previous submissions, check them in and out to complete them, and submit the application package. For access to further instructions on how to apply using Grants.gov, refer to: [www.grants.gov/web/grants/applicants/apply-for-grants.html](http://www.grants.gov/web/grants/applicants/apply-for-grants.html).

### **Grants.gov Submission Procedures and Tips for Applicants**

**Applications must be submitted through Grants.gov. The deadline for submission of all applications is [Date 2023] at 11:59:59 p.m. Eastern Time.**

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

#### **Browser Support**

The latest versions of Microsoft Internet Explorer (IE), Mozilla Firefox, Google Chrome, and Apple Safari are supported for use with Grants.gov. However, these web browsers undergo frequent changes and updates, so we recommend you have the latest version when using Grants.gov. Legacy versions of these web browsers may be functional, but you may experience issues. Grants.gov no longer provides support for Microsoft Internet Explorer 9 or below. For additional information or updates, please see the Grants.gov Browser information in the Applicant FAQs:

<http://www.grants.gov/web/grants/applicants/applicant-faqs.html#browse>

#### **ATTENTION - Workspace, Adobe Forms and PDF Files**

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

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

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

NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at: <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>

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

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

- 3) Submit a Workspace: An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.
- 4) Track a Workspace Submission: After successfully submitting a workspace application, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

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

### **Helpful Reminders**

- 3) **REGISTER EARLY** – Grants.gov registration involves many steps including registration on SAM ([www.sam.gov](http://www.sam.gov)), which usually takes approximately 7 to 10 business days, but can take longer depending on 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>.
  - Please note that your organization will need to update its SAM registration annually.
  - To register in SAM.gov, click on the “Get Started” link under the “Register Your Entity...” heading in SAM.gov.
  - Grantees, and other entities wanting to do business with the U.S. Department of Education (e.g., entities applying for a grant), that are not already registered in SAM.gov must complete the “Register Entity” registration option and NOT the “Get a Unique Entity ID” option.
  - The “Get a Unique Entity ID” option, which is not a full registration, is only available to entities for reporting purposes. Failing to complete the “Register Entity” option may result in

loss of funding, loss of applicant eligibility, and/or delays in receiving a grant award. Information about SAM is available at [www.SAM.gov](http://www.SAM.gov).

- To further assist you with registering in SAM or updating your existing SAM registration, see the Quick Start Guide for Grant Registrations and the Entity Registration Video at <https://sam.gov/content/entity-registration>.

**2. SUBMIT EARLY** – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded.

- The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well.
- If Grants.gov rejects your application (see step three below), you will need to resubmit successfully to Grants.gov before 11:59:59 p.m. Eastern Time on the deadline date.

You must provide the UEI on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This UEI is assigned to your organization in SAM at the time your organization registers in SAM. If you do not enter the UEI assigned by SAM on your application, Grants.gov will reject your application

**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. Eastern Time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned. Once the Department of Education receives your application from Grants.gov, an Agency Tracking Number (PR/award number) will be assigned to your application and will be available for viewing on Grants.gov's Track My Application link.

If the date/time received is later than 11:59:59 p.m. Eastern Time, on the deadline date, your application is late. If your application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: <http://www.grants.gov/web/grants/applicants/encountering-error-messages.html>.

For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Software Tip Sheet at: <http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

**Submission Problems - What should you do?:** If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800- 518-4726 or email at: [support@grants.gov](mailto:support@grants.gov) or access the Grants.gov Self-Service Knowledge Base web portal at: [HHS Grants.gov Service Portal - Grants.gov Self Service Portal \(servicenowservices.com\)](http://HHS.Grants.gov/ServicePortal)

We discourage paper applications, but if electronic submission is not possible (e.g., you do not have access to the internet), (1) you must provide a prior written notification that you intend to submit a paper application and (2) your paper application must be postmarked by the application deadline date. If you submit your prior written notification by email, it must be received by the Department no later than 14 calendar days before the application deadline date. If you mail your notification to the Department, it must be postmarked no later than 14 calendar days before the application deadline date (See the [2022 Common Instructions](#) for detailed instructions regarding this procedure).

**Helpful Hints When Working with Grants.gov:** Please go to <http://www.grants.gov/web/grants/support.html> for help with Grants.gov.

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

**Slow Internet Connections:** When using a slow internet connection, such as 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. Failure to fully upload an application by the deadline date and time will result in your application being marked late in the G5 system. If you do not have access to a high-speed internet connection, 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 14 calendar days before the application deadline date. (See the Federal Register notice for detailed instructions and the [2022 Common Instructions](#).)

**Attaching Files - Additional Tips:** Please note the following tips related to attaching files to your application:

- When you submit your application electronically, you must upload any narrative sections and all other attachments to your application as files in either Portable Document Format (PDF) or Microsoft Word. Although applicants have the option of uploading any narrative sections and all other attachments to their application in either PDF or Microsoft Word, we recommend applicants submit all documents as read-only flattened PDFs, meaning any fillable PDF files must be saved and submitted as non-fillable PDF files and not as interactive or fillable PDF files, to better ensure applications are processed in a more timely, accurate, and efficient manner.
- Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
- When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded file names must be fewer than 50 characters, and, in general, applicants should not use any special characters. However, Grants.gov does allow for the following UTF-8 characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign.

Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.

Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package with all attachments is less than 5 MB. Therefore, you may want to check the total size of your package before submission.

**Grants.gov System Maintenance**

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

Date	Details

## IV. Application Instructions

### ELECTRONIC APPLICATION FORMAT

All applicants interested in completing a Perkins Innovation and Modernization Grant Program application should first thoroughly review the **NIA for FY 2023** published in the *Federal Register* on [Date 2023] In addition to including the grant competition design elements (eligibility; priorities; requirements; performance measures) and selection criteria, **the NIA will orient applicants to the competition by providing important background information, key definitions, and other substantive requirements of the application process.** Applicants should pay close attention to the Selection Criteria as applications will be evaluated and scored against these criteria.

### COMPLETING AND SUBMITTING YOUR APPLICATION

**This list will be updated.** A complete application consists of the following components:

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

#### ED Standard Forms

- **Application for Federal Assistance (Form SF 424)**  
<https://www2.ed.gov/fund/grant/apply/appforms/sf-424-core-form.pdf>  
The entity name as listed on the SF-424 (Box 8a) must be the legal name of an entity eligible for a PIM grant.
- **ED Supplemental Information for SF 424**  
<https://www2.ed.gov/fund/grant/apply/appforms/sf424edsuppl.pdf>  
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 Unique Entity ID (UEI)). When applying electronically via Grants.gov, you will need to ensure that the UEI enter on your application is the same as the UEI your organization used when it registered with the System for Award Management.
- **Evidence Form**  
<https://www2.ed.gov/fund/grant/apply/appforms/evidence-form.pdf>
- **Grant Application Form for Project Objectives and Performance Measures Information**  
<https://www2.ed.gov/fund/grant/apply/appforms/1897-0017.pdf>
- **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 and the total column in order to be considered for Federal funding. Instructions for completing ED Form 524 Section A (Refer to the following link for additional instructions:  
<https://www2.ed.gov/fund/grant/apply/appforms/ed524.pdf>)

#### Assurances and Certifications

- **Disclosure of Lobbying Activities (Standard Form LLL)**
- **Grants.Gov Lobbying Form - "Certification Regarding Lobbying" (ED 80-013 Form)**



- **General Education Provisions Act (GEPA) Requirements – Section 427 (ED GEPA 427 form)**

### **Application Narrative:**

The PIM grant application will use the following Grants.gov Narrative Forms:

- ED Abstract Narrative Form
    - o The ED Abstract Narrative Form is where you will attach your project abstract. Specific instructions on what to include in the abstract are on page 29 of this application package.
  - Project Narrative Form
    - o The Project Narrative Form is where you will attach your responses to the Absolute Priority: Plan for Evidence-Based Field-Initiated Innovations as specified in the FY 19 Perkins Innovation and Modernization Grant Program NIA, the Program Requirements, Application Requirements (d) through (f), and the selection criteria. Applicants also have the option of addressing one or more of the Competitive Preference Priorities. Applicants should include a Table of Contents. Specific instructions are included on page 29 of this application package.
  - Budget Narrative Form
    - o The Budget Narrative Form is where you will attach a line item budget (ED 524) and budget narratives for the proposed project, including your responses to application requirements (b) and (c). The budget narratives should project all costs of the proposed project. The budget should reflect an annual budget for all 5 years of the proposed project. Specific instructions are included on pages 30-35 of this application package.
- NOTE:** If you have multiple documents to be attached to one of the above narrative sections, it is recommended that you merge them into one .PDF file and upload them to the appropriate narrative.
- Other Attachments Form (upload appendices here)
    - o The Other Attachments Form is where you will attach the application appendices. **Specific Appendix instructions will be updated to be consistent with the NIA.**

### INSTRUCTIONS FOR ED ABSTRACT NARRATIVE

Eligible applicants must submit an abstract. The abstract should be attached as a single document to the ED Abstract Form in accordance with the instructions found on [Grants.gov](https://www.grants.gov). The abstract should be no more than 1-2 paragraphs, [limited to 2000 characters], and should include the following items:

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

### INSTRUCTIONS FOR PROJECT NARRATIVE

The application's project narrative should be attached as a **single** document to the Project Narrative Attachment Form in accordance with the instructions found on [Grants.gov](https://www.grants.gov) and should include the following parts in order to expedite the review process:

- A table of contents;
- A description of the proposed project that an applicant would carry out if its application is funded;
- The applicant's response to the Selection Criteria. **The NIA will identify the maximum possible score for each criterion; and**
- The applicant's response to the Absolute Priority and Requirements, and to the Competitive Preference Priorities and Invitational Priority, if applicable.

The Project Narrative should follow the order of the Selection Criteria. It should contain clear headings to help the Department staff and peer reviewers match the narrative with the selection criteria because the application will be evaluated and scored against these criteria. Also, when addressing the criteria, applicants are encouraged to make explicit connections to the absolute priority, competitive preference priorities and invitational priority, if applicable, and requirements.

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

- (1) what types of data will be collected;
- (2) when various types of data will be collected;
- (3) what methods will be used;
- (4) what instruments will be developed and when;
- (5) how the data will be analyzed;
- (6) when reports of results and outcomes will be available; and
- (7) how the applicant will use the information collected through the evaluation to monitor progress of the funded project and to provide accountability information both about success at the initial site and effective strategies for replication in other settings.

Applicants are encouraged to devote an appropriate level of resources to project evaluation. Successful

applicants will be expected to report annually on the progress of each project or study included in the grant, including a description of preliminary or key findings and an explanation of any changes in goals, objectives, methodology, or planned products or publications.

**NOTE:** Upload any narrative sections and all other application attachments as files in a read-only, non-modifiable, flattened Portable Document Format (PDF). Any fillable PDF documents must be saved as flattened, non-fillable files. Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, flattened PDF (e.g., Word, Excel, etc.) or submit a password-protected file, the Department and reviewers will not review that material. Please note that this could result in your application not being considered for funding.

### **Formatting Guidelines**

We recommend applicants limit this section of the application to the equivalent of no more than **35** 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, including titles, headings, footnotes, quotations, references, captions, and text in charts, tables, figures, and graphs.
- Use one of the following fonts: Times New Roman, or Arial, in no smaller than 10 pitch (characters per inch) or 12 point or larger.

**NOTE:** The recommended page limit does not apply to the cover sheet; the budget section, including the narrative budget justification; the assurances and certifications; or the one-page abstract, the resumes, the bibliography, or the letters of support. However, the recommended page limit does apply to all of the application narrative.

### INSTRUCTIONS FOR BUDGET NARRATIVES

The budget narratives should be attached as a **single** document to the Budget Narrative Attachment Form in accordance with the instructions found on [Grants.gov](https://grants.gov). Ensure that you only attach the U.S. Department of Education approved file types detailed in the NIA (read-only, non-modifiable .pdf files). Also, do not upload any password-protected files to your application. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.

In accordance with 34 CFR 75.232, Department of Education staff perform a cost analysis of each project recommended for funding to ensure that costs relate to the activities and objectives of the project, are **reasonable, allowable and allocable**. The budget should only include costs that are allowable, reasonable and necessary for carrying out the objectives of the Perkins Innovation and Modernization Grant Program project. The budget should include an annual budget for all 5 years of the proposed project. Rules about allowable costs are set out in 2 C.F.R. 200, as adopted by the Department at 2 C.F.R. 3474. We may delete or reduce costs from the budget during this review.

**NOTE: The annual budget period and starting date will be established in the NIA and the instructions will be updated to reflect the NIA.** In a **single** document attached to the Budget Narrative Attachment Form, each application must provide the following two budget narratives:

#### 1. Federal Funds Budget Narrative

This first budget narrative must align with and break down the costs budgeted in **Section A of ED Form 524**. Section A - Budget Summary: U.S. Department of Education Funds should include all Perkins Innovation and Modernization Grant Program funds requested in support of the proposed project. See “Further Instructions for the Budget Narratives” for the expected format and level of detail.

#### 2. Non-Federal Funds Budget Narrative

There is a 50 percent match requirement for the Perkins Innovation and Modernization Grant Program. This second budget narrative must align with and break down the costs budgeted in **Section B of ED Form 524**. Section B - Budget Summary: Non-Federal Funds should include any non-Federal program funds, including in-kind resources, that will be used to provide the required 50 percent match. If the applicant or a project partner plans to contribute services or materials as part of the project's match, the value of those services or materials should be included in Section B of ED Form 524 and calculated according to 2 C.F.R. 200.306 and cost principles in Uniform Guidance at 2 C.F.R. 200.

**IMPORTANT NOTE:** Section 75.700 of the Education Department General Administrative regulations (EDGAR) (34 C.F.R. 75.700) requires each grantee to comply with the content of its approved application. Therefore, if an application is approved, the grantee is responsible for fulfilling its commitment of funds/in-kind resources set forth in Section B of ED Form 524 included in its application.

The budget narratives will serve to meet the requirements of Section C of ED Form 524. They should provide sufficient detail to:

- Give an **itemized budget breakdown** for each year of the proposed project (60 months);
- Show the **basis for estimating the costs** of personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs and any other projected expenditures;

- Show the **relationship** between all budgeted funds and project activities and outcomes;
- Show the total **amount that will be expended** as shown in the ED Form 524;
- Enable reviewers and project staff to understand how grant funds and non-federal funds/in-kind resources **in the ED Form 524** will be used.

### Further Instructions for the Budget Narrative

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 and the importance of each position to the success of the project.
- Provide the salary for each position under this project.
- Provide the amount of time (such as hours or percentage of time) to be spent by each position on this project.
- 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.
- Provide the basis for cost estimates or computations.
- Fees and expenses for consultants, if included, should be included under Contractual (line 6).

#### 2. Fringe Benefits

- Give the fringe benefit percentages of all personnel included under Personnel.
- Provide the rate and base on which fringe benefits are calculated.
- Do not include fringe benefits for salaries and wages that are treated as part of the indirect cost.
- Leave the line blank if needed.

#### 3. Travel

- Explain the purpose of the travel, how it aligns to the project goals and objectives, and who will travel.
- Provide an estimate for the number of trips and points of origin and destination.
- Provide an estimated cost for each trip.
- Include travel for 2 project representatives to attend an annual Perkins Innovation and Modernization Grant Program grantee meeting in Washington, DC for each year of the project.
- Travel for consultants or contractors should be included under Contractual (line 6).

#### 4. Equipment

- Indicate the cost of tangible, non-expendable personal property that has a usefulness greater than one year and acquisition costs that are the lesser of the capitalization level established by the applicant entity for financial statement purposes or \$5,000 per article. Lower limits may be established to maintain consistency with the applicant's purchasing policy.
- Indicate the type and estimated unit cost for each item to be purchased.
- Provide strong justification of the need for items of equipment to be purchased.
- Provide the basis for cost estimates or computations.

## 5. Supplies

- Supplies purchased with grant funds should directly benefit the project and be necessary for achieving project goals.
- Direct supplies and materials differ from equipment in that they are consumable, expendable, and of a relatively low unit cost. Provide an estimate of supplies by nature of expense or general category (e.g., instructional materials, office supplies, etc.).
- Explain the purpose of the supplies and how they relate to project success.
- Provide the basis for cost estimates or computations.
- Individual pieces of equipment that are under \$5,000 per unit are generally considered supplies. However, as noted in the example under Equipment, an applicant's organization may have a different equipment policy.

## 6. Contractual

- The contractual category should include all costs specifically incurred with actions that the applicant takes in conjunction with an established internal procurement system. Include consultant fees, expenses, and travel costs in this category if the consultant's services are obtained through a written binding agreement or contract.
- Describe the products to be acquired, and/or the professional services to be provided.
- Provide the purpose of the product(s) and/or services and their relation to project success.
- Contractors are not to be named in an application since contracts will be competed following the award of a grant. If an applicant proposes in its application to use an existing contract or prior selection of any vendor for any activities to be supported with Federal Perkins Innovation and Modernization Grant Program funds (or other Federal grant funds), the applicant must be prepared to demonstrate how it is in compliance with the "Procurement Practices" described in the "Application Information" section of this application package. Additionally, if an applicant intends to take advantage of the flexibility allowed in 34 C.F.R. 75.135 in order to use small purchase procurement procedures for contracts for data collection, data analysis, evaluation services or essential services, the applicant should carefully review the requirements in 34 C.F.R. 75.135 to ensure all required information is included in the application and budget narrative.
- Provide the projected cost per contractor and basis for cost estimates.
- For professional services contracts, provide the amounts of time to be devoted to the project, including the costs to be charged to this proposed grant award.

## 7. Construction

- Not applicable.

## 8. Other

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

## 9. Total Direct Costs

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

## 10. Indirect Costs

- The Department of Education (ED) generally reimburses a grantee for its indirect costs. These kinds of costs generally are recovered through an indirect cost rate that the grantee negotiates with its cognizant agency for indirect costs.
- The statute authorizing (NAME OF PROGRAM, CFDA #) contains a supplement- not-supplant provision that requires a reduction in the indirect cost rate so that costs that are unallowable under the supplement-not-supplant program are not recovered through the indirect cost rate. To ensure that these types of costs are not recovered, ED has established a restricted indirect cost rate. The detailed requirements of restricted rates are in the Education Department General Administrative Regulations (EDGAR) at §§75.563 and 76.563-569.
- All grantees under supplement-not-supplant programs may only recover indirect costs at the restricted rate. For guidance on how to calculate the restricted rate, an applicant that already has a negotiated indirect cost rate and that plans to submit an application under this program should review ED's website at: <http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>
- The applicant should then use this separate, restricted rate in projecting indirect costs in the budget submitted with its application.
- Applicants may have an accountant calculate a proposed restricted indirect cost rate using current information from their audited financial statements and actual cost data. Applicants should use this proposed restricted rate in their application materials and describe which of these methods they used to calculate the rate. Guidance related to calculating a restricted indirect cost rate can be found on ED's website at the above referenced link.
- Applicants must bear in mind that items of cost excluded from restricted indirect cost rates may not be charged to grants as direct cost items, nor may they be used to satisfy matching or cost-sharing requirements under a grant or charged to other Federal awards.
- If an applicant (that is not a State or local government) selected for funding under a restricted rate program has not already established a current indirect cost rate with its cognizant agency as a result of current or previous funding, ED generally will authorize the grantee to use a temporary rate of 10 percent of budgeted direct salaries and wages.
- Use of the temporary rate of 10 percent of budgeted direct salaries and wages is subject to the following limitations:
  1. The grantee must submit an indirect cost rate proposal its cognizant agency within 90 days after ED issues the GAN.
  2. If after the 90-day period, the grantee has not submitted an indirect cost rate proposal to its cognizant agency, the grantee may not charge its grant for indirect costs (except when ED finds exceptional circumstances) until it has negotiated an indirect cost rate agreement with its cognizant agency.
  3. The grantee may only recover indirect costs incurred on or after the date it submitted its indirect cost rate proposal to its cognizant agency or at the start of the of the project period, whichever of the two occurs later.
  4. The total amount of funds recovered by the grantee under the federally recognized indirect cost rate is reduced by the amount of indirect costs previously recovered under the temporary indirect cost rate.
  5. The grantee must obtain prior approval from ED to shift direct costs to indirect costs in order to recover indirect costs at a higher negotiated indirect cost rate.

6. The grantee may not request additional funds to recover indirect costs that it cannot recover by shifting direct costs to indirect costs.

- If an applicant other than a State or local government does not want to negotiate a restricted rate with its cognizant agency, the applicant has the option of charging indirect costs at 8 percent of the MTDC of its grant for the life of the grant in accordance with EDGAR §76.564(c), unless ED determines that the actual restricted indirect cost rate is lower than 8 percent of MTDC. If a non-governmental applicant chooses to charge indirect costs at 8 percent of its MTDC, it must maintain records available for audit, demonstrating that the applicant incurred indirect costs of at least 8 percent of MTDC.
- If this grant is made to a government under a program subject to a supplement-not-supplant requirement, the grantee must notify the cognizant agency that the grant is subject to a restricted indirect cost rate, as calculated under EDGAR §75.563 and §§76.564-76.569, and must provide ED's Indirect Cost Group with a copy of its indirect cost proposal. The Indirect Cost Group reviews the proposal and adjusts costs, as appropriate, to reduce the rate to the required restricted indirect cost rate.
- Applicants should be aware that ED is very often not the cognizant agency for its own grantees. For restricted indirect cost rates, ED will negotiate the rate with grantees and provide the approved restricted rate to the cognizant agency for inclusion on the rate agreement.
- Applicants with questions about using restricted indirect cost rates under this program should contact the program contact person shown in the NIA.

#### **11. Training Stipends**

- The training stipend line item only pertains to costs associated with long term training programs and college or university coursework, not workshops or short-term training or professional development offerings.
- Costs associated with professional development should be included under Other (line 8).

#### **12. Total Costs**

- Sum total of direct costs, indirect costs, and stipends.
- Please provide total costs for each year and for the entire project period (60 months).



## C. OTHER ATTACHMENT FORM

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

- Ensure that you only attach the U.S. Department of Education approved file types detailed in the NIA (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.

### INSTRUCTIONS FOR APPENDIX

Instructions for the appendices will be updated when the NIA is published.

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

**Appendix A:** Signed consortium agreement, if applicable

**Appendix B:** Individual Resumes for Project Director and Key Personnel

**Appendix C:** Letters of Commitment from project partners, if applicable

**Appendix D:** List of rural locale codes and demonstration of rural eligibility, if applicable  
Applicants are strongly encouraged to complete the rural eligibility checklist on page 39. Applicants applying as rural are encouraged to retrieve locale codes from the National Center for Education Statistics School District search tool (<https://nces.ed.gov/ccd/districtsearch/>), where districts can be looked up individually to retrieve locale codes.

**Appendix E:** Current Indirect Cost Rate Agreement

**Appendix F:** List of proprietary information found in the application, if applicable

**Appendix G:** Pursuant to Application Requirement (g) in Section 114 (e), applicants must submit a signed letter of assurance that the applicant will:

- (i) provide information to the Secretary, as requested, for evaluations that the Secretary may carry out; and
- (ii) make data available to third parties for validation, in accordance with applicable data privacy laws, including section 444 of the General Education Provisions Act (20 U.S.C. 1232g, commonly known as the Family Educational Rights and Privacy Act of 1974).

GRANT SELECTION CRITERIA

Selection Criteria will be established in the NIA.

Applicants should pay close attention to the selection criteria as applications will be evaluated and scored against these criteria. The maximum score for all the selection criteria will be established in the NIA. In addressing the criteria, applicants are encouraged to make explicit connections to the priorities and requirements listed elsewhere in this notice.

The selection criteria proposed in the FY 2023 NPP are as follows:

**(a) Significance**

In determining the significance of the project, the Secretary considers the following factors:

- (1) The extent to which the proposed project addresses a regional or local labor market need identified through a comprehensive local needs assessment carried out under section 134(c) of Perkins V or labor market information produced by the State or other entity that demonstrates the proposed project will address State, regional, or local labor market needs.
- (2) The extent to which the proposed project addresses significant barriers to enrollment and completion in dual or concurrent enrollment programs and will expand access to these programs for students served by the project.

**(b) Quality of the Project Design**

In determining the quality of the proposed project design and management plan, the Secretary considers the following factors:

- (1) The extent to which the proposed project is likely to be effective in increasing the successful participation in dual or concurrent enrollment programs (as defined by section 3 of Perkins V) by students who are not currently participating in such programs, and the likely magnitude of the increase.
- (2) The extent to which the proposed project will increase the successful participation in work-based learning opportunities (as defined by section 3 of Perkins V) for which they received wages or academic credit, or both, prior to graduation by students who are not currently participating in such opportunities, and the likely magnitude of the increase.
- (3) The extent to which the proposed project is likely to be effective in increasing successful participation in opportunities to attain an in-demand and high-value industry-recognized credential that is sought or accepted by multiple employers within an industry or sector as a recognized, preferred, or required credential for recruitment, hiring, retention, or advancement by students who are not currently participating in such opportunities, and the likely magnitude of the increase.
- (4) The extent to which the proposed project will implement strategies that are likely to be effective in eliminating or mitigating barriers to the successful participation by all students in dual or concurrent programs (as defined by section 3 of Perkins V), work-based learning opportunities (as defined by section 3 of Perkins V), and opportunities to attain in-demand and high-value industry-recognized credentials (as

defined in this notice), including such barriers as the out-of-pocket costs of tuition, books, and examination fees; transportation; and eligibility requirements that do not include multiple measures of assessing academic readiness.

(5) The extent to which the proposed project will provide all students effective and ongoing career guidance and academic counseling (as defined by section 3 of Perkins V) in each year of high school that-

(A) Will likely result, by no later than the end of the second year of the project, in a personalized postsecondary education and career plan for each student that is updated at least once annually with the assistance of a school counselor, career coach, mentor, or other adult trained to provide career guidance and counseling to high school students; and

(B) Includes the provision of current labor market information about careers in high-demand fields that pay living wages; advice and assistance in identifying, preparing for, and applying for postsecondary educational opportunities; information on Federal student financial aid programs; and assistance in applying for Federal student financial aid.

(6) The extent to which the proposed project is likely to prepare all students served by the project to enroll in postsecondary education following high school without need for remediation.

**(c) Quality of the Management Plan**

In determining the quality of the management plan, the Department proposes to consider one or more of the following factors:

(1) The extent to which the project goals are clear, complete, and coherent, and the extent to which the project activities constitute a complete plan aligned to those goals, including the identification of potential risks to project success and strategies to mitigate those risks;

(2) The extent to which the management plan articulates key responsibilities for each party involved in the project and also articulates well-defined objectives, including the timelines and milestones for completion of major project activities, the metrics that will be used to assess progress on an ongoing basis, and annual performance targets the applicant will use to monitor whether the project is achieving its goals;

(3) The adequacy of the project's staffing plan, particularly for the first year of the project, including:

(A) The identification of the project director and, in the case of projects with unfilled key personnel positions at the beginning of the project, a description of how critical work will proceed; and

(B) The extent to which the project director has experience managing projects similar in scope to that of the proposed project.

(4) The extent of the demonstrated commitment of any partners whose participation is critical to the project's long-term success, including the extent of any evidence of support or specific resources from employers and other stakeholders.

(5) The extent to which employers in the labor market served by the proposed project will be involved in making decisions with respect to the project's implementation and in carrying out its activities.

**(d) Support for rural communities.**

In determining the extent of the project's support for rural communities, the Department proposes to consider one or more of the following factors:

- (1) The extent to which the applicant presents a clear, well-documented plan for primarily serving students from rural communities.
- (2) The extent to which the applicant proposes a project that will improve the education and employment outcomes of students in rural communities.

**Note: Selection Criteria will be established in the NIA.** Consistent with 34 Part 75.209, the Secretary may establish selection criteria and factors based on statutory or regulatory provisions that apply to the authorized program, which may include, but are not limited to criteria and factors that reflect—

- A. Criteria contained in the program statute or regulations;
- B. Criteria in §75.210;
- C. Allowable activities specified in the program statute or regulations;
- D. Application content requirements specified in the program statute or regulations;
- E. Program purposes, as described in the program statute or regulations; or
- F. Other pre-award and post-award conditions specified in the program statute or regulations.

**Suggested Point Ranges for Rating Applicant Responses to the Selection Criteria.<sup>2</sup>**

Suggested point ranges will be updated when the NIA is published.

All applicants are required to respond to each of the selection criteria published in the NIA published in the *Federal Register* on **Date 2023**. Please assess applications based on the selection criteria. No outside factors, such as personal knowledge of past performance, or subjective judgments about what an application should contain may be considered. The application should be a comprehensive design for the proposed project. Therefore, it is imperative that reviewers read the application in its entirety to determine the overall quality of the proposed project and the quality of the applicant’s response to each of the selection criteria.

The numerical scores assigned to an applicant’s response to the selection criteria must be consistent with the comments written. Comments and scores should reflect the same overall assessment of the quality of the response. It is important that you do not pair a negative comment with a positive score and vice versa. Scores indicate how well or poorly the applicant responded to a selection criterion.

Shown below are suggested point ranges for an evaluation of each sub-criterion of the selection criteria:

Maximum point value	Quality of applicant’s response per sub-criterion		
	Inadequate	Partially Developed	Very Good to Excellent
5	0-1	2-3	4-5
10	0-5	6-8	9-10
15	0-8	9-11	12-15

The suggested point range for Competitive Preference Priorities are shown below:

Maximum point value	Quality of applicant’s response to Competitive Preference Priorities		
	Not Addressed	Partially Developed	Excellent
3	0	1-2	3
5	0-1	2-3	4-5
10	0-5	6-8	9-10
15	0-8	9-11	12-15

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<sup>2</sup> This document will be provided to peer reviewers to assist in the reviewing and scoring of each eligible applicant’s response to the selection criteria. It is included here for the applicants’ reference.

## E. OPTIONAL APPLICATION PACKAGE ATTACHMENTS

### OPTIONAL CHECKLIST FOR DOCUMENTING RURAL ELIGIBILITY AND LOCALE CODES

Instructions: This optional document captures how an applicant might document the eligibility requirements for rural applicants. In the designated sections below, applicants can provide information to support how they meet the described requirement and include page numbers as necessary.

To qualify as a rural applicant under the Perkins Innovation and Modernization Grant Program, an applicant **must meet at least one of the following requirements:**

(a) The applicant is:

- (1) A local educational agency with an urban-centric district locale code of 32, 33, 41, 42, or 43, as determined by the Secretary;
- (2) An institution of higher education primarily serving one or more areas served by an LEA with an urban-centric district locale code of 32, 33, 41, 42, or 43, as determined by the Secretary;
- (3) A consortium of such LEAs or such IHEs described in clause (1) or (2), above;
- (4) An educational service agency or a nonprofit organization in partnership with such an LEA or such an IHE, in clause (1) or (2), above; or
- (5) An applicant described in clause (1) or (2) in partnership with an SEA.

*Note: Applicants are encouraged to retrieve locale codes from the National Center for Education Statistics School District search tool (<https://nces.ed.gov/ccd/districtsearch/>), where districts can be looked up individually to retrieve locale codes.*

Identify applicant type above and provide supporting information, including locale codes, below:

## OPTIONAL APPLICATION CHECKLIST

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

All forms are available on Grants.gov. You may also find forms at: [Grant Application and Other Forms \(ed.gov\)](#).

### ED Standard Forms

- Application for Federal Assistance (SF 424)
- Department of Education Supplemental Information for SF 424
- Department of Education Budget Summary Form (ED 524 Sections A & B)
- Evidence Form
- Grant Application Form for Project Objectives and Performance Measures  
<https://www2.ed.gov/fund/grant/apply/appforms/1897-0017.pdf>

### Assurances and Certifications

- GEPA Section 427
- Disclosure of Lobbying Activities (Standard Form LLL)
- Assurances – Non-Construction Programs (SF 424B)
- Grants.gov Lobby form (formerly ED 80-0013 form)

### Application Narrative

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

### Appendices:

- Appendix A: Signed consortium agreement, if applicable
- Appendix B: Individual Resumes for Project Director and Key Personnel
- Appendix C: Letters of Commitment from project partners, if applicable
- Appendix D: Documentation of rural eligibility and list of rural locale codes, if applicable
- Appendix E: Current Indirect Cost Rate Agreement
- Appendix F: List of proprietary information found in the application, if applicable
- Appendix G: Assurances

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





Item	Entry:	Item:	Entry:
			the project.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or the applicant's control number if applicable.		
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the federal agency, if any.	16.	<b>Congressional Districts Of:</b> 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.
5b.	<b>Federal Award Identifier:</b> 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.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the state, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the state, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		
	<b>a. Legal Name:</b> (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 <a href="http://www.Grants.gov">www.Grants.gov</a> .	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	<b>Estimated Funding:</b> (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.

Item	Entry:	Item:	Entry:		
	<p><b>c. Organizational DUNS:</b> (Required) Enter the organization’s DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a>.</p>	19.	<p><b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> (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.</p>		
	<p><b>d. Address:</b> 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).</p>	20.	<p><b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.</p>		
	<p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.</p>	21.	<p><b>Authorized Representative:</b> 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.)</p>		
	<p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> 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.</p>				
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; vertical-align: top;"> <p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> </td> <td style="width: 50%; vertical-align: top;"> <p>M. Nonprofit</p> <p>N. Private Institution of Higher Education</p> <p>O. Individual</p> <p>P. For-Profit Organization (Other than Small Business)</p> <p>Q. Small Business</p> <p>R. Hispanic-</p> </td> </tr> </table>	<p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p>	<p>M. Nonprofit</p> <p>N. Private Institution of Higher Education</p> <p>O. Individual</p> <p>P. For-Profit Organization (Other than Small Business)</p> <p>Q. Small Business</p> <p>R. Hispanic-</p>		
<p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p>	<p>M. Nonprofit</p> <p>N. Private Institution of Higher Education</p> <p>O. Individual</p> <p>P. For-Profit Organization (Other than Small Business)</p> <p>Q. Small Business</p> <p>R. Hispanic-</p>				

Item	Entry:	Item:	Entry:
	G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority	serving Institution S. Historically Black Colleges and Universities (HBCUs) T. Tribally Controlled Colleges and Universities (TCCUs) U. Alaska Native and Native Hawaiian Serving Institutions V. Non-US Entity W. Other (specify)	

**[U.S Department of Education note:** As of summer, 2019, the FON discussed in Block 12 of the instructions can be found via the following URL: <https://www.grants.gov/web/grants/search-grants.html>.]

**Instructions for U.S. Department of Education  
Supplemental Information for the SF-424**  
<https://www.grants.gov/web/grants/forms/sf-424-family.html>

**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 [PIMGrants@ed.gov](mailto:PIMGrants@ed.gov), 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 Finance and Operations, 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).



## 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 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.

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.

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: <https://www2.ed.gov/about/offices/list/ocfo/fipao/abouticg.html>

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 cited within these instructions at: <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>. You may access requirements from 2 CFR 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards" cited within these instructions at: <https://www.federalregister.gov/articles/2013/12/26/2013-30465/uniform-administrative-requirements-cost-principles-and-audit-requirements-for-federal-awards>.

**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 (**complete (4) of this section when using the temporary rate**) subject to the following limitations:

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

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

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

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

(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 cost sharing and matching regulations found in 2 CFR 200.306.]
3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
  4. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.  
When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>. You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.
  5. Provide other explanations or comments you deem necessary.

## Paperwork Burden Statement

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

directly to [PROGRAM OFFICE], U.S. Department of Education, 400

Maryland Avenue, S.W., Washington, D.C. 20202.

## 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 Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
(b) Enter the full names of the individual(s) performing services and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 4040-0013. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (4040-0013), Washington, DC 20503

## **Instructions for GEPA 427 Form: EQUITY FOR STUDENTS, EDUCATORS, AND OTHER PROGRAM BENEFICIARIES (OMB Control Number 1894-0005)**

### **Form Overview:**

The U.S. Department of Education (Department) has updated its standard form, NOTICE TO ALL APPLICANTS: EQUITY FOR STUDENTS, EDUCATORS, AND OTHER PROGRAM BENEFICIARIES, used by applicants seeking Federal assistance under the Department's grant programs to address the General Education Provisions Act (GEPA) Section 427 ([20 U.S.C. 1228a](#)) requirements effective April 3, 2023.

GEPA Section 427 requires that applicants, based on the design of their proposed grant project, the participants, and community the project proposes to serve, and local circumstances, determine the extent to which identified barriers prevent equitable access to or participation in their federal grant projects.

The updated GEPA Section 427 form is electronically integrated into the Grants.gov system, and applicants are generally no longer required to upload a separate PDF document but will electronically complete and submit the form with the application package in Grants.gov.

### **Form Instructions:**

- Applicants may identify any barriers that may impede equitable access and participation in the proposed project or activity, including, but not limited to, barriers based on economic disadvantage, gender, race, ethnicity, color, national origin, disability, age, language, migrant status, rural status, homeless status or housing insecurity, pregnancy, parenting, or caregiving status, and sexual orientation.
- Applicants are not required to have mission statements or policies that align with equity in order to submit an application.
- Applicants may have already included some or all this required information in the narrative sections of their applications or their State Plans. In responding to this requirement, for each question, applicants may provide a cross-reference to the section(s) and page number(s) in their applications or State Plans that includes the information responsive to that question on this form or may restate that information on this form
- Applicants must respond to each question using the associated text box. Each text box allows approximately 4000 characters; therefore, if copying and pasting into the text box from another document be sure to check that everything copied.
- Applicants should use the "check for errors" button before they save the form. Applicants will receive an error message if any response is missing and will not be able to submit the application due to the missing information.
- Applicants that have already undertaken steps to address barriers must still provide an explanation and/or description of the steps already taken in each text box, as appropriate, to satisfy the GEPA Section 427 requirement.
- Applicants that believe no barriers exist must still provide an explanation and/or description to each question to validate that perception, as appropriate, to satisfy the GEPA Section 427 requirement.

### **Form Training:**

Applicants may learn more about GEPA Section 427 and the form updates by participating in a 30-minute computer-based training titled, *Ensuring Equitable Opportunities Under the GEPA Section 427*, at [Grants Training and Management Resources Online Grants Training Courses](#).

## VI. Authorizing Legislation

Perkins Innovation and Modernization Grant Program is authorized under Section 114(e) of the Carl D. Perkins Career and Technical Education Act of 2006, as amended by Perkins V.

### Section 114 (e) INNOVATION AND MODERNIZATION.—

**(1) GRANT PROGRAM.**--To identify, support, and rigorously evaluate evidence-based and innovative strategies and activities to improve and modernize career and technical education and align workforce skills with labor market needs as part of the State plan under section 122 and local application under section 134 and the requirements of this subsection, the Secretary may use not more than 20 percent of the amounts appropriated under subsection (f) to award grants to eligible entities, eligible institutions, or eligible recipients to carry out the activities described in paragraph (7).

### **(2) NON-FEDERAL MATCH.—**

**(A) MATCHING FUNDS REQUIRED.**--Except as provided under subparagraph (B), to receive a grant under this subsection, an eligible entity, eligible institution, or eligible recipient shall, through cash or in-kind contributions, provide matching funds from non-Federal sources in an amount equal to not less than 50 percent of the funds provided under such grant.

**(B) EXCEPTION.**--The Secretary may waive the matching fund requirement under subparagraph (A) if the eligible entity, eligible institution, or eligible recipient demonstrates exceptional circumstances.

**(3) APPLICATION.**--To receive a grant under this subsection, an eligible entity, eligible institution, or eligible recipient shall submit an application to the Secretary at such time, in such manner, and containing such information as the Secretary may require, including, at a minimum—

(A) an identification and designation of the agency, institution, or school responsible for the administration and supervision of the program assisted under this paragraph;

(B) a description of the budget for the project, the source and amount of the matching funds required under paragraph (2)(A), and how the applicant will continue the project after the grant period ends, if applicable;

(C) a description of how the applicant will use the grant funds, including how such funds will directly benefit students, including special populations, served by the applicant;

(D) a description of how the program assisted under this subsection will be coordinated with the activities carried out under section 124 or 135;

(E) a description of how the career and technical education programs or programs of study to be implemented with grant funds reflect the needs of regional, State, or local employers, as demonstrated by the comprehensive needs assessment under section 134(c);

(F) a description of how the program assisted under this subsection will be evaluated and how that evaluation may inform the report described in subsection (d)(2)(C); and

(G) an assurance that the applicant will—

- (i) provide information to the Secretary, as requested, for evaluations that the Secretary may carry out; and
- (ii) make data available to third parties for validation, in accordance with applicable data privacy laws, including section 444 of the General Education Provisions Act (20 U.S.C. 1232g, commonly known as the Family Educational Rights and Privacy Act of 1974).

**(4) PRIORITY.**--In awarding grants under this subsection, the Secretary shall give priority to applications from eligible entities, eligible institutions, or eligible recipients that will predominantly serve students from low-income families.

**(5) GEOGRAPHIC DIVERSITY.**—

(A) In general.--In awarding grants under this subsection, the Secretary shall award no less than 25 percent of the total available funds for any fiscal year to eligible entities, eligible institutions, or eligible recipients proposing to fund career and technical education activities that serve—

- (i) a local educational agency with an urban-centric district locale code of 32, 33, 41, 42, or 43, as determined by the Secretary;
- (ii) an institution of higher education primarily serving the one or more areas served by such a local educational agency;
- (iii) a consortium of such local educational agencies or such institutions of higher education;
- (iv) a partnership between—
  - (I) an educational service agency or a nonprofit organization; and
  - (II) such a local educational agency or such an institution of higher education; or
- (v) a partnership between—
  - (I) a grant recipient described in clause (i) or (ii); and
  - (II) a State educational agency.

(B) EXCEPTION.—Notwithstanding subparagraph (A), the Secretary shall reduce the amount of funds made available under such clause if the Secretary does not receive a sufficient number of applications of sufficient quality.

**(6) Duration.**—

(A) IN GENERAL.--Grants awarded under this subsection shall be for a period of not more than 3 years.

(B) EXTENSION.--The Secretary may extend such grants for not more than 1 additional 2-year period if the grantee demonstrates to the Secretary that the grantee is achieving the grantee's program objectives and, as applicable, has improved education outcomes for career and technical education students, including special populations.

**(7) USES OF FUNDS.**--An eligible entity, eligible institution, or eligible recipient that is awarded a grant under this subsection shall use the grant funds to create, develop, implement, replicate, or take to scale evidence-based, field-initiated innovations to modernize and improve effectiveness and alignment of career and

technical education and to improve student outcomes in career and technical education, and rigorously evaluate such innovations, through one or more of the following activities:

(A) Designing and implementing courses or programs of study aligned to labor market needs in new or emerging fields and working with industry to upgrade equipment, technology, and related curriculum used in career and technical education programs, which is needed for the development, expansion, and implementation of State-approved career and technical education programs of study, including—

(i) the development or acquisition of instructional materials associated with the equipment and technology purchased by an eligible entity, eligible institution, or eligible recipient through the grant; or

(ii) efforts to expand, develop, or implement programs designed to increase opportunities for students to take rigorous courses in coding or computer science subject areas, and support for statewide efforts to increase access and implementation of coding or computer science courses in order to meet local labor market needs in occupations that require skills in those subject areas.

(B) Improving career and technical education outcomes of students served by eligible entities, eligible institutions, or eligible recipients through activities such as—

(i) supporting the development and enhancement of innovative delivery models for career and technical education related work-based learning, including school-based simulated work sites, mentoring, work site visits, job shadowing, project-based learning, and skills-based and paid internships;

(ii) increasing the effective use of technology within career and technical education programs and programs of study;

(iii) supporting new models for integrating academic content at the secondary and postsecondary level in career and technical education; or

(iv) integrating science, technology, engineering, and mathematics fields, including computer science education, with career and technical education.

(C) Improving the transition of students—

(i) from secondary education to postsecondary education or employment through programs, activities, or services that may include the creation, development, or expansion of dual or concurrent enrollment programs, articulation agreements, credit transfer agreements, and competency-based education; or

(ii) from the completion of one postsecondary program to another postsecondary program that awards a recognized postsecondary credential.

(D) Supporting the development and enhancement of innovative delivery models for career and technical education.

(E) Working with industry to design and implement courses or programs of study aligned to labor market needs in new or emerging fields.



(F) Supporting innovative approaches to career and technical education by redesigning the high school experience for students, which may include evidence-based transitional support strategies for students who have not met postsecondary education eligibility requirements.

(G) Creating or expanding recruitment, retention, or professional development activities for career and technical education teachers, faculty, school leaders, administrators, specialized instructional support personnel, career guidance and academic counselors, and paraprofessionals, which may include—

(i) providing resources and training to improve instruction for, and provide appropriate accommodations to, special populations;

(ii) externships or site visits with business and industry;

(iii) the integration of coherent and rigorous academic content standards and career and technical education curricula, including through opportunities for appropriate academic and career and technical education teachers to jointly develop and implement curricula and pedagogical strategies;

(iv) mentoring by experienced teachers;

(v) providing resources or assistance with meeting State teacher licensure and credential requirements;  
or

(vi) training for career guidance and academic counselors at the secondary level to improve awareness of postsecondary education and postsecondary career options, and improve the ability of such counselors to communicate to students the career opportunities and employment trends.

(H) Improving CTE concentrator employment outcomes in non-traditional fields.

(I) Supporting the use of career and technical education programs and programs of study in a coordinated strategy to address identified employer needs and workforce shortages, such as shortages in the early childhood, elementary school, and secondary school education workforce.

(J) Providing integrated student support that addresses the comprehensive needs of students, such as incorporating accelerated and differentiated learning opportunities supported by evidence-based strategies for special populations.

(K) Establishing an online portal for career and technical education students, including special populations, preparing for postsecondary career and technical education, which may include opportunities for mentoring, gaining financial literacy skills, and identifying career opportunities and interests, and a platform to establish online savings accounts to be used exclusively for postsecondary career and technical education programs and programs of study.

(L) Developing and implementing a pay for success initiative.

**(8) Evaluation.**--Each eligible entity, eligible institution, or eligible recipient receiving a grant under this subsection shall provide for an independent evaluation of the activities carried out using such grant and submit to the Secretary an annual report that includes—

- (A) a description of how funds received under this paragraph were used;
- (B) the performance of the eligible entity, eligible institution, or eligible recipient with respect to, at a minimum, the performance indicators described under section 113, as applicable, and disaggregated by—
  - (i) subgroups of students described in section 1111(c)(2)(B) of the Elementary and Secondary Education Act of 1965;
  - (ii) special populations; and
  - (iii) as appropriate, each career and technical education program and program of study; and
- (C) a quantitative analysis of the effectiveness of the project carried out under this paragraph.