

FY 2018

U.S. Department
of Education
Office of
Innovation and
Improvement
Washington, DC
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[APPLICATION FOR GRANTS UNDER THE EXPANDING OPPORTUNITIES THROUGH QUALITY CHARTER SCHOOLS PROGRAM -- GRANTS TO STATE ENTITIES]

CFDA Number: **84.282A**

**Charter Schools Program Grants to
State Entities**

Form Approved

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I. Introduction



LETTER TO APPLICANT UNITED STATES DEPARTMENT OF EDUCATION Office of Innovation and Improvement

Dear Applicant,

Thank you for your interest in applying for a fiscal year (FY) 2018 Grant to State Entities (State entities) under the United States Department of Education's (Department's) Expanding Opportunity through Quality Charter Schools Program (CSP). For FY 2018, up to \$350 million are expected to be available to support the continued development of high-quality charter schools and the dissemination of charter school best practices throughout the nation. Approximately \$150 million of these funds are dedicated to this grant competition. The CSP is authorized under Title IV, Part C of the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the Every Student Succeeds Act of 2015 (ESSA) (20 U.S.C. 7221-7221j).

The purpose of the State entities competition (84.282A) is to award grants to State entities to enable them to award subgrants to eligible applicants to enable such eligible applicants to open and prepare for the operation of new charter schools and to replicate and expand high-quality charter schools. Grant funds may also be used to provide technical assistance, which may include technical assistance to eligible applicants and authorized public chartering agencies in opening and preparing for the operation of new charter schools, or replicating or expanding high-quality charter schools; and working with authorized public chartering agencies to improve authorizing quality, including developing capacity for, and conducting, fiscal oversight and auditing of charter schools.

Please read the document in the attached application package entitled *Grants.gov Submission Procedures and Tips for Applicants* which describes the submission procedures to ensure that your application is received in a timely and acceptable manner. Applications for funds under the FY 2018 State entities competition (CFDA 84.282A) must be submitted electronically using the governmentwide Grants.gov apply site at www.Grants.gov on or before the deadline date. The electronic submission of applications is required; therefore, you must submit an electronic application unless you follow the procedures in the Notice Inviting Applications for New Awards for FY2018 that was published in the Federal Register on March 9, 2018 (FY 2018 Notice) (83 FR 10455) and qualify for one of the exceptions to the electronic submission requirement. If you think you may need an exception, you are urged to review the requirements promptly in order to obtain prior approval from the Department within the timeline specified in the FY 2018 Notice.

Please note that the deadline for submission of a grant application under this competition is **Friday, March 20, 2018 4:30:00 p.m., Washington, DC time. Applications submitted late will not be accepted.** The Department is required to enforce the established deadline to ensure fairness to all applicants. We suggest that you submit your application several days before the deadline, and we strongly recommend that you do not wait until the last day to submit your application. Please note that prospective applicants must register with Grants.gov and the System for Award Management (SAM) as well as obtain several authorizations in order to submit an application. This registration process can take several weeks, so we recommend that you begin the process well in advance of the application deadline date.

A CSP program officer is available to provide technical assistance to applicants. If you have any questions about the program after reviewing the application package, please e-mail Amy B. Huber at CharterSchools@ed.gov. For questions or problems in navigating the Grants.gov system, please call the Grants.gov helpdesk at **1-800-518-4726**.

We look forward to receiving your application and appreciate your efforts in increasing the national understanding of the charter school model and expanding the number of high quality charter schools across the Nation.

Sincerely,

A handwritten signature in blue ink, appearing to read "Stefan Huh".

Stefan Huh
Director, Charter Schools Program
Office of Innovation and Improvement

400 MARYLAND AVE. SW, WASHINGTON, DC 20202
www.ed.gov

The Department of Education's mission is to promote student achievement and preparation for global competitiveness
by fostering educational excellence and ensuring equal access.

SUBMISSION PROCEDURES

IMPORTANT – PLEASE READ FIRST

U.S. Department of Education

Grants.gov Submission Procedures and Tips for Applicants

The deadline for submission of all FY 2018 State Entities applications through Grants.gov is April 20, 2018 at 4:30:00 P.M., Washington, DC 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.

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

ATTENTION – Adobe Forms and PDF Files Required

Applications submitted to Grants.gov for the U.S. Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader. Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov at this link: <http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>. We strongly recommend that you review these details on www.Grants.gov before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Also, applicants are required to upload their attachments in **.pdf** format only. (See details below under “Attaching Files – Additional Tips.”) If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

NEW: In addition to the Adobe form application package, Grants.gov now offers a new option called Workspace for application completion and submission. Workspace allows a team of registered Grants.gov applicants to use a shared online space for completing individual forms and submitting the final application. These forms can be filled out simultaneously by different users, instead of exchanging a single PDF package file via email or a flash drive as is used when completing the traditional Adobe application package. Please go to this Grants.gov link for more information and training, etc. on using Workspace: <http://www.grants.gov/web/grants/applicants/workspace-overview.html>.

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

Primary information about SAM is available at <https://www.sam.gov/>. However, to further assist you with obtaining and registering your DUNS number and TIN in SAM or updating your existing SAM account the Department of Education has prepared a SAM.gov Tip Sheet which you can find at: <http://www2.ed.gov/fund/grant/apply/sam-faqs.html>

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

time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully to Grants.gov before 4:30:00 p.m., Washington, DC time on the deadline date.

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

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov received your application submission on time and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m., Washington, DC time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned. Once the U. S. Department of Education receives your application from Grants.gov, an Agency Tracking Number (PR/award number) will be assigned to your application and will be available for viewing on Grants.gov’s Track My Application link.

If the date/time received is later than 4:30:00 p.m., Washington, DC 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 or access the Grants.gov Self-Service Knowledge Base web portal at: <https://grants-portal.psc.gov/Welcome.aspx?pt=Grants>

If electronic submission is required, you must submit an electronic application before 4:30:00 p.m., Washington, DC time, unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date. (See the Federal Register notice for detailed instructions.)

Helpful Hints When Working with Grants.gov

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

Please go to <http://www.grants.gov/web/grants/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>

Dial-Up Internet Connections

When using a dial up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant

submission using a dial up connection. **If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following the instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

Attaching Files – Additional Tips

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

- Ensure that you attach ***.PDF files only*** for any attachments to your application, and they must be in a **read-only, non-modifiable format**. PDF files are the only Department approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are ***not .PDF files or are password protected files will not be read.***
- Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
- When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded file names must be fewer than 50 characters, and, in general, applicants should not use any special characters. However, Grants.gov does allow for the following UTF-8 characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.

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

II. Program Background Information

PROGRAM OVERVIEW

Program Office: Office of Innovation and Improvement (OII)

Expanding Opportunity through Quality Charter Schools Program (CSP), Grants to State Entities

CFDA Number: 84.282A (Grants to State Entities)

Program Type: Discretionary/Competitive Grants

Also Known As: Grants to State Entities, Public Charter Schools Program, State Entity Grants

Program Description: The purpose of the CSP Grant to State Entities (State entities) competition (CFDA 84.282A) is to award grants to State entities to enable them to award subgrants to eligible applicants to enable such eligible applicants to open and prepare for the operation of new charter schools and to replicate (as defined in the Notice Inviting Applications (NIA)) and expand (as defined in the NIA) high-quality charter schools (as defined in the NIA). Grant funds must also be used to provide technical assistance, which may include technical assistance to eligible applicants and authorized public chartering agencies in opening and preparing for the operation of new charter schools, or replicating or expanding high-quality charter schools; and working with authorized public chartering agencies to improve authorizing quality, including developing capacity for, and conducting, fiscal oversight and auditing of charter schools.

Eligible Applicants: State entities in States with a State statute specifically authorizing the establishment of charter schools. Under section 4303(e)(1) of the ESEA, no State entity may receive a grant under this program for use in a State in which a State entity is currently using a grant received under this program.

The Department interprets the language in section 4303(e)(1) of the ESEA as applying only in cases where the active grant was awarded under the reauthorized program (the ESSA version of the ESEA). The Department has made one set of new section 4303 of the ESEA CSP State Entities grants, in FY 2017. Accordingly, no State entity may receive a grant under this competition for use in a State in which a State entity received a new State Entities grant in FY 2017 and is currently using the grant; these States are Indiana, Maryland, Minnesota, Mississippi, New Mexico, Oklahoma, Rhode Island, Texas, and Wisconsin.

State entities in States in which an SEA has a current CSP grant for SEAs that was awarded prior to FY 2017, under the ESEA, as amended by NCLB, are eligible to apply for a CSP State Entities grant under this competition, so long as no other State entity in the State has a current CSP State Entities grant. Therefore, a State entity located in a State in which an SEA has an active grant awarded prior to FY2017 (including an SEA with an active grant) is eligible to apply for a new award under this competition.

Please note: No applicant may receive a new award to conduct the same activities that are approved under the existing active SEA grant; newly proposed activities must be outside the scope of currently funded activities.

State Entity means --

- (a) A State educational agency;
- (b) A State charter school board;
- (c) A Governor of a State; or
- (d) A charter school support organization.

Eligible applicant, when used with respect to subgrants made by a State entity, means a developer that has--

- (a) Applied to an authorized public chartering authority to operate a charter school; and
- (b) Provided adequate and timely notice to that authority.

Funding Restrictions: A State entity receiving a grant under this program shall use **not less** than 90 percent of the grant funds to award subgrants to eligible applicants for activities related to opening and preparing for the operation of new charter school or to replicate or expand high-quality charter schools; reserve **not less** than seven percent of funds to provide technical assistance to eligible applicants and authorized public chartering agencies in opening and preparing for the operation of new charter schools or to replicate or expand high-quality charter schools and in improving authorizing quality, including developing capacity for, and conducting, fiscal oversight and auditing of charter schools; and reserve **not more** than three percent of funds for administrative costs, which may include technical assistance. A State entity may use a grant received under this program to carry out technical assistance activities authorized under this program directly or through grants, contracts, or cooperative agreements.

Additional information on funding restrictions including limitations on grants and subgrants can be found in the NIA.

AUTHORIZING LEGISLATION

Title IV, Part C of the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the Every Student Succeeds Act of 2015 (ESSA) (20 U.S.C. 7221-7221j).

Part C – EXPANDING OPPORTUNITY THROUGH QUALITY CHARTER SCHOOLS

SEC. 4301. PURPOSE.

It is the purpose of this part to --

- (1) improve the United States education system and education opportunities for all people in the United States by supporting innovation in public education in public school settings that prepare students to compete and contribute to the global economy and a stronger Nation;
- (2) provide financial assistance for the planning, program design, and initial implementation of charter schools;
- (3) increase the number of high-quality charter schools available to students across the United States; and
- (4) evaluate the impact of charter schools on student achievement, families, and communities, and share best practices between charter schools and other public schools;
- (5) encourage States to provide support to charter schools for facilities financing in an amount more nearly commensurate to the amount States typically provide for traditional public schools;
- (6) expand opportunities for children with disabilities, English learners, and other traditionally underserved students to attend charter schools and meet the challenging State academic standards;
- (7) support efforts to strengthen the charter school authorizing process to improve performance management, including transparency, oversight and monitoring (including financial audits), and evaluation of such schools; and
- (8) support quality, accountability, and transparency in the operational performance of all authorized public chartering agencies, including State educational agencies, local educational agencies, and other authorizing entities.

SEC. 4302. PROGRAM AUTHORIZED.

- (a) IN GENERAL- The Secretary may carry out a charter school program that supports charter schools that serve early childhood, elementary school, or secondary school students by—
- (1) supporting the startup of new charter schools, the replication of high-quality charter schools, and the expansion of high-quality charter schools;
 - (2) assisting charter schools in accessing credit to acquire and renovate facilities for school use; and
 - (3) carrying out national activities to support—
 - (A) the activities described in paragraph (1);
 - (B) the dissemination of best practices of charter schools for all schools;
 - (C) the evaluation of the impact of the charter school program under this part on schools participating in such program; and
 - (D) stronger charter school authorizing practices.

(b) FUNDING ALLOTMENT- From the amount made available under section 4311 for a fiscal year, the Secretary shall—

- (1) reserve 12.5 percent to support charter school facilities assistance under section 4304;
- (2) reserve 22.5 percent to carry out national activities under section 4305; and
- (3) use the remaining amount after the reservations under paragraphs (1) and (2) to carry out section 4303.

(c) PRIOR GRANTS AND SUBGRANTS- The recipient of a grant or subgrant under part B of title V (as such part was in effect on the day before the date of enactment of the Every Student Succeeds Act) shall continue to receive funds in accordance with the terms and conditions of such grant or subgrant.

SEC. 4303. GRANTS TO SUPPORT HIGH-QUALITY CHARTER SCHOOLS.

(a) STATE ENTITY DEFINED.—For purposes of this section, the term “State entity” means—

- (1) a State educational agency;
- (2) a State charter school board;
- (3) a Governor of a State; or
- (4) a charter school support organization.

(b) PROGRAM AUTHORIZED.—From the amount available under section 4302(b)(3), the Secretary shall award, on a competitive basis, grants to State entities having applications approved under subsection (f) to enable such entities to—

- (1) award subgrants to eligible applicants to enable eligible applicants to—
 - (A) open and prepare for the operation of new charter schools;
 - (B) open and prepare for the operation of replicated high-quality charter schools; or
 - (C) expand high-quality charter schools; and
- (2) provide technical assistance to eligible applicants and authorized public chartering agencies in carry out the activities described in paragraph (1), and work with authorized public chartering agencies in the state to improve authorizing quality, including developing capacity for, and conducting, fiscal oversight and auditing of charter schools.

(c) STATE ENTITY USES OF FUNDS.—

- (1) IN GENERAL. —A State entity receiving a grant under this section shall—
 - (A) use not less than 90 percent of the grant funds to award subgrants to eligible applicants, in accordance with the quality charter school program described in the State entity's application pursuant to subsection (f), for the purposes described in subsection (b)(1);
 - (B) reserve not less than 7 percent of such funds to carry out the activities described in subsection (b)(2); and
 - (C) reserve not more than 3 percent of such funds for administrative costs, which may include technical assistance.

(2) CONTRACTS AND GRANTS.—A State entity may use a grant received under this section to carry out the activities described in subsection (b)(2) directly or through grants, contracts, or cooperative agreements.

(3) RULE OF CONSTRUCTION. —

- (A) USE OF LOTTERY. —Nothing in this Act shall prohibit the Secretary from awarding grants to State entities, or prohibit State entities from awarding subgrants to eligible applicants, that use a weighted lottery to give slightly

better chances for admission to all, or a subset of, educationally disadvantaged students if—

(i) the use of weighted lotteries in favor of such students is not prohibited by State law, and such State law is consistent with laws described in section 4310(2)(G); and

(ii) such weighted lotteries are not used for the purpose of creating schools exclusively to serve a particular subset of students.

(B) STUDENTS WITH SPECIAL NEEDS. — Nothing in this paragraph shall be construed to prohibit schools from specializing in providing specific services for students with a demonstrated need for such services, such as students who need specialized instruction in reading, spelling, or writing.

(d) PROGRAM PERIODS; PEER REVIEW; DISTRIBUTION OF SUBGRANTS; WAIVERS. —

(1) PROGRAM PERIODS. —;

(A) GRANTS. —A grant awarded by the Secretary to a State entity under this section shall be for a period of not more than 5 years.

(B) SUBGRANTS. —A subgrant awarded by a State entity under this section shall be for a period of not more than 5 years, of which an eligible applicant may use not more than 18 months for planning and program design.

(2) PEER REVIEW The Secretary, and each State entity awarding subgrants under this section, shall use a peer-review process to review applications for assistance under this section.

(3) GRANT AWARDS. —

(A) IN GENERAL. —The Secretary—

(i) shall for each fiscal year for which funds are appropriated under section 4311—

(I) award not less than 3 grants under this section; and

(II) fully obligate the first 2 years of funds appropriated for the purpose of awarding grants under this section in the first fiscal year for which such grants are awarded; and

(ii) prior to the start of the third year of the grant period and each succeeding year of each grant awarded under this section to a state entity—

(I) shall review—

(aa) whether the State entity is using the grant funds for the agreed upon uses of funds; and

(bb) whether the full amount of the grant will be needed for the remainder of the grant period; and

(II) may, as determined necessary based on that review, terminate or reduce the amount of the grant and reallocate the remaining grant funds to other state entities—

(aa) by using such funds to award grants under this section to other State entities; or

(bb) in a fiscal year in which the amount of such remaining funds is insufficient to award grants under item (aa), in accordance with subparagraph (B).

(B) REMAINING FUNDING —For a fiscal year for which there are remaining grant funds under this paragraph, but the amount of such funds is insufficient to award a grant to a State entity under this section, the Secretary shall use such remaining grants funds—

(i) to supplement funding for grants under section 4305(A0(2), but not to supplant—

(I) The funds reserved under section 4305(a)(2); and

(II) funds otherwise reserved under section 4302(b)(2) to carry out national activities under section 4305;

(ii) to award grants to State entities to carry out the activities described in subsection (b)(1) for the next fiscal year; or

(iii) to award one year of a grant under subsection (b)(1) to a high-scoring State entity, in an amount at or above the minimum amount the State entity needs to be successful for such year.

(4) DIVERSITY OF PROJECTS. —Each State entity awarding subgrants under this section shall award subgrants in a manner that, to the extent practicable and applicable, ensures that such subgrants—

(A) are distributed throughout different areas, including urban, suburban, and rural areas; and

(B) will assist charter schools representing a variety of educational approaches.

(5) WAIVERS. —The Secretary may waive any statutory or regulatory requirement over which the Secretary exercises administrative authority, except any such requirement relating to the elements of a charter school described in section 4310(2), if—

(A) the waiver is requested in an approved application under this section; and

(b) the Secretary determines that granting such waiver will promote the purpose of this part.

(e) LIMITATIONS. —

(1) GRANTS. —No State entity may receive a grant under this section for use in a State in which a State entity is currently using a grant received under this section.

(2) SUBGRANTS. —An eligible applicant may not receive more than 1 subgrant under this section for each individual charter school for a 5-year period, unless the eligible applicant demonstrates to the State entity that such individual charter school has at least 3 years of improved educational results for students enrolled in such charter school with respect to the elements described in subparagraphs (A) and (D) of section 4310(8).

(f) APPLICATIONS. —A State entity desiring to receive a grant under this section shall submit an application to the Secretary at such time and in such manner as the Secretary may require. The application shall include the following:

(1) DESCRIPTION OF PROGRAM. —A description of the State entity's objectives in running a quality charter school program under this section and how the objectives of the program will be carried out, include—

(A) a description of how the State entity will—

(i) support the opening of charter schools through the startup of new charter schools and, if applicable, the replication of high-quality charter schools, and the expansion of high-quality charter schools (including the proposed number of new charter schools to be opened, high-quality charter schools to be opened as a result of the replication of a high-

quality charter school, or high-quality charter schools to be expanded under the State entity's program);

(ii) inform eligible charter schools, developers, and authorized public chartering agencies of the availability of funds under the program;

(iii) work with eligible applicants to ensure that the eligible applicants access all Federal funds that such applicants are eligible to receive, and help the charter schools supported by the applicants and the students attending those charter schools—

(I) participate in the Federal programs in which the schools and students are eligible to participate;

(II) receive the commensurate share of Federal funds the schools and students are eligible to receive under such programs; and

(III) meet the needs of students served under such programs, including students with disabilities and English learners;

(iv) ensure that authorized public chartering agencies, in collaboration with surrounding local educational agencies where applicable, establish clear plans and procedures to assist students enrolled in a charter school that closes or loses its charter to attend other high-quality schools;

(v) in the case of a State entity that is not a State educational agency—

(I) work with the State educational agency and charter schools in the State to maximize charter school participation in Federal and State programs for which charter schools are eligible; and

(II) work with the State educational agency to operate the State entity's program under this section, if applicable;

(vi) ensure that each eligible applicant that receives a subgrant under the State entity's program—

(I) is using funds provided under this section for one of the activities described in subsection (b)(1); and

(II) is prepared to continue to operate charter schools funded under this section in a manner consistent with the eligible applicant's application for such subgrant once the subgrant funds under this section are no longer available;

(vii) support—

(I) charter schools in local educational agencies with a significant number of schools identified by the State for comprehensive support and improvement under section 1111(c)(4)(D)(i); and

(II) the use of charter schools to improve struggling schools, or to turn around struggling schools;

(viii) work with charter schools on—

(I) recruitment and enrollment practices to promote inclusion of all students, including by eliminating any barriers to enrollment for educationally disadvantaged students (who include foster youth and unaccompanied homeless youth); and

(II) supporting all students once they are enrolled to promote retention, including by reducing the overuse of discipline practices that remove students from the classroom;

(ix) share best and promising practices between charter schools and other public schools;

(x) ensure that charter schools receiving funds under the State entity's program meet the educational needs of their students, including children with disabilities and English learners;

(xi) support efforts to increase charter school quality initiatives, including meeting the quality authorizing elements described in paragraph (2)(D);

(xii)(I) in the case of a State entity not described in subclause (II), a description of how the State entity will provide oversight of authorizing activity, including how the State will help ensure better authorizing, such as by establishing authorizing standards that may include approving, monitoring, and re-approving or revoking the authority of an authorized public chartering agency based on the performance of the charter schools authorized by such agency in the areas of student achievement, student safety, financial and operational management, and compliance with all applicable statutes and regulations; and

(II) in the case of a State entity described in subsection (a)(4), a description of how the State entity will work with the State to support the State's system of technical assistance and oversight, as described in subclause (I), of the authorizing activity of authorized public chartering agencies; and

(xiii) work with eligible applicants receiving a subgrant under the State entity's program to support the opening of new charter schools or charter school models described in clause (i) that are high schools;

(B) a description of the extent to which the State entity—

(i) is able to meet and carry out the priorities described in subsection (g)(2);

(ii) is working to develop or strengthen a cohesive statewide system to support the opening of new charter schools and, if applicable, the replication of high-quality charter schools, and the expansion of high-quality charter schools; and

(iii) is working to develop or strengthen a cohesive strategy to encourage collaboration between charter schools and local educational agencies on the sharing of best practices;

(C) a description of how the State entity will award subgrants, on a competitive basis, including—

(i) a description of the application each eligible applicant desiring to receive a subgrant will be required to submit, which application shall include—

(I) a description of the roles and responsibilities of eligible applicants, partner organizations, and charter management organizations, including the administrative and contractual roles and responsibilities of such partners;

(II) a description of the quality controls agreed to between the eligible applicant and the authorized public chartering agency involved, such as a contract or performance agreement, how a school's performance in the State's accountability system and

impact on student achievement (which may include student academic growth) will be one of the most important factors for renewal or revocation of the school's charter, and how the State entity and the authorized public chartering agency involved will reserve the right to revoke or not renew a school's charter based on financial, structural, or operational factors involving the management of the school;

(III) a description of how the autonomy and flexibility granted to a charter school is consistent with the definition of a charter school in section 4310;

(IV) a description of how the eligible applicant will solicit and consider input from parents and other members of the community on the implementation and operation of each charter school that will receive funds under the State entity's program;

(V) a description of the eligible applicant's planned activities and expenditures of subgrant funds to support the activities described in subsection (b)(1), and how the eligible applicant will maintain financial sustainability after the end of the subgrant period; and

(VI) a description of how the eligible applicant will support the use of effective parent, family, and community engagement strategies to operate each charter school that will receive funds under the State entity's program; and

(ii) a description of how the State entity will review applications from eligible applicants;

(D) in the case of a State entity that partners with an outside organization to carry out the State entity's quality charter school program, in whole or in part, a description of the roles and responsibilities of the partner;

(E) a description of how the State entity will ensure that each charter school receiving funds under the State entity's program has considered and planned for the transportation needs of the school's students;

(F) a description of how the State in which the State entity is located addresses charter schools in the State's open meetings and open records laws; and

(G) a description of how the State entity will support diverse charter school models, including models that serve rural communities.

(2) ASSURANCES.—Assurances that—

(A) each charter school receiving funds through the State entity's program will have a high degree of autonomy over budget and operations, including autonomy over personnel decisions;

(B) the State entity will support charter schools in meeting the educational needs of their students, as described in paragraph (1)(A)(x);

(C) the State entity will ensure that the authorized public chartering agency of any charter school that receives funds under the State entity's program adequately monitors each charter school under the authority of such agency in recruiting, enrolling, retaining, and meeting the needs of all students, including children with disabilities and English learners;

(D) the State entity will provide adequate technical assistance to eligible applicants to meet the objectives described in clause (viii) of paragraph (1)(A) and subparagraph (B) of this paragraph;

(E) the State entity will promote quality authorizing, consistent with State law, such as through providing technical assistance to support each authorized public chartering agency in the State to improve such agency's ability to monitor the charter schools authorized by the agency, including by—

(i) assessing annual performance data of the schools, including, as appropriate, graduation rates, student academic growth, and rates of student attrition;

(ii) reviewing the schools' independent, annual audits of financial statements prepared in accordance with generally accepted accounting principles, and ensuring that any such audits are publically reported; and

(iii) holding charter schools accountable to the academic, financial, and operational quality controls agreed to between the charter school and the authorized public chartering agency involved, such as through renewal, non-renewal, or revocation of the school's charter;

(F) the State entity will work to ensure that charter schools are included with the traditional public schools in decisionmaking about the public school system in the State; and

(G) the State entity will ensure that each charter school receiving funds under the State entity's program makes publicly available, consistent with the dissemination requirements of the annual State report card under section 1111(h), including on the website of the school, information to help parents make informed decisions about the education options available to their children, including—

(i) information on the educational program;

(ii) student support services;

(iii) parent contract requirements (as applicable), including any financial obligations or fees;

(iv) enrollment criteria (as applicable); and

(v) annual performance and enrollment data for each of the subgroups of students, as defined in section 1111(c)(2), except that such disaggregation of performance and enrollment data shall not be required in a case in which the number of students in a group is insufficient to yield statically reliable information or the results would reveal personally identifiable information about an individual student.

(3) REQUESTS FOR Information about waivers, including—

(A) a request and justification for waivers of any Federal statutory or regulatory provisions that the State entity believes are necessary for the successful operation of the charter schools that will receive funds under the State entity's program under this section or, in the case of a State entity defined in subsection (a)(4), a description of how the State entity will work with the State to request such necessary waivers, where applicable; and

(B) a description of any State or local rules, generally applicable to public schools, that will be waived, or otherwise not apply to such schools.

(g) SELECTION CRITERIA; PRIORITY.—

(1) SELECTION CRITERIA.—The Secretary shall award grants to State entities under this section on the basis of the quality of the applications submitted under subsection (f), after taking into consideration—

(A) the degree of flexibility afforded by the State’s charter school law and how the State entity will work to maximize the flexibility provided to charter schools under such law;

(B) the ambitiousness of the State entity’s objectives for the quality charter school program carried out under this section;

(C) the likelihood that the eligible applicants receiving subgrants under the program will meet those objectives and improve educational results for students;

(D) the State entity’s plan to—

(i) adequately monitor the eligible applicants receiving subgrants under the State entity’s program;

(ii) work with the authorized public chartering agencies involved to avoid duplication of work for the charter schools and authorized public chartering agencies; and

(iii) provide technical assistance and support for—

(I) the eligible applicants receiving subgrants under the State entity’s program; and

(II) quality authorizing efforts in the State; and

(E) the State entity’s plan to solicit and consider input from parents and other members of the community on the implementation and operation of charter schools in the State.

(2) PRIORITY.—In awarding grants under this section, the Secretary shall give priority to a State entity to the extent that the entity meets the following criteria:

(A) The State entity is located in a State that—

(i) allows at least one entity that is not a local educational agency to be an authorized public chartering agency for developers seeking to open a charter school in the State; or

(ii) in the case of a State in which local educational agencies are the only authorized public chartering agencies, the State has an appeals process for the denial of an application for a charter school.

(B) The State entity is located in a State that ensures equitable financing, as compared to traditional public schools, for charter schools and students in a prompt manner.

(C) The State entity is located in a State that provides charter schools one or more of the following:

(i) Funding for facilities.

(ii) Assistance with facilities acquisition.

(iii) Access to public facilities.

(iv) The ability to share in bonds or mill levies.

(v) The right of first refusal to purchase public school buildings.

(vi) Low- or no-cost leasing privileges.

(D) The State entity is located in a State that uses best practices from charter schools to help improve struggling schools and local educational agencies.

(E) The State entity supports charter schools that serve at-risk students through activities such as dropout prevention, dropout recovery, or comprehensive career counseling services.

(F) The State entity has taken steps to ensure that all authorizing public chartering agencies implement best practices for charter school authorizing.

(h) LOCAL USES OF FUNDS.—An eligible applicant receiving a subgrant under this section shall use such funds to support the activities described in subsection (b)(1), which shall include one or more of the following activities:

(1) Preparing teachers, school leaders, and specialized instructional support personnel, including through paying the costs associated with—

(A) providing professional development; and

(B) hiring and compensating, during the eligible applicant’s planning period specified in the application for subgrant funds that is required under this section, one or more of the following:

(i) Teachers.

(ii) School leaders.

(iii) Specialized instructional support personnel.

(2) Acquiring supplies, training, equipment (including technology), and educational materials (including developing and acquiring instructional materials).

(3) Carrying out necessary renovations to ensure that a new school building complies with applicable statutes and regulations, and minor facilities repairs (excluding construction).

(4) Providing one-time, startup costs associated with providing transportation to students to and from the charter school.

(5) Carrying out community engagement activities, which may include paying the cost of student and staff recruitment.

(6) Providing for other appropriate, non-sustained costs related to the activities described in subsection (b)(1) when such costs cannot be met from other sources.

(i) REPORTING REQUIREMENTS.—Each State entity receiving a grant under this section shall submit to the Secretary, at the end of the third year of the 5-year grant period (or at the end of the second year of the grant period if the grant is less than 5 years), and at the end of such grant period, a report that includes the following:

(1) The number of students served by each subgrant awarded under this section and, if applicable, the number of new students served during each year of the period of the subgrant.

(2) A description of how the State entity met the objectives of the quality charter school program described in the State entity’s application under subsection (f), including—

(A) how the State entity met the objective of sharing best and promising practices described in subsection (f)(1)(A)(ix) in areas such as instruction, professional development, curricula development, and operations between charter schools and other public schools; and

(B) if known, the extent to which such practices were adopted and implemented by such other public schools.

(3) The number and amount of subgrants awarded under this section to carry out activities described in each of subparagraphs (A) through (C) of subsection (b)(1).

(4) A description of—

(A) how the State entity complied with, and ensured that eligible applicants complied with, the assurances included in the State entity’s application; and

(B) how the State entity worked with authorized public chartering agencies, and how the agencies worked with the management company or leadership of the schools that received subgrant funds under this section, if applicable.

SEC. 4304. FACILITIES FINANCING ASSISTANCE.

(a) GRANTS TO ELIGIBLE ENTITIES.—

(1) IN GENERAL.—From the amount reserved under section 4302(b)(1), the Secretary shall use not less than 50 percent to award, on a competitive basis, not less than 3 grants to eligible entities that have the highest-quality applications approved under subsection (d), after considering the diversity of such applications, to demonstrate innovative methods of helping charter schools to address the cost of acquiring, constructing, and renovating facilities by enhancing the availability of loans or bond financing.

(2) ELIGIBLE ENTITY DEFINED.—For the purposes of this section, the term “eligible entity” means—

(A) a public entity, such as a State or local governmental entity;

(B) a private nonprofit entity; or

(C) a consortium of entities described in subparagraphs (A) and (B).

(b) GRANTEE SELECTION.—The Secretary shall evaluate each application submitted under subsection (d), and shall determine whether the application is sufficient to merit approval.

(c) GRANT CHARACTERISTICS.—Grants under subsection (a) shall be of sufficient size, scope, and quality so as to ensure an effective demonstration of an innovative means of enhancing credit for the financing of charter school acquisition, construction, or renovation.

(d) APPLICATIONS.—

(1) IN GENERAL.—An eligible entity desiring to receive a grant under this section shall submit an application to the Secretary in such form as the Secretary may reasonably require.

(2) CONTENTS.—An application submitted under paragraph (1) shall contain—

(A) a statement identifying the activities that the eligible entity proposes to carry out with funds received under subsection (a), including how the eligible entity will determine which charter schools will receive assistance, and how much and what types of assistance charter schools will receive;

(B) a description of the involvement of charter schools in the application’s development and the design of the proposed activities;

(C) a description of the eligible entity’s expertise in capital market financing;

(D) a description of how the proposed activities will leverage the maximum amount of private-sector financing capital relative to the amount of government funding used and otherwise enhance credit available to charter schools, including how the eligible entity will offer a combination of rates and terms more favorable than the rates and terms that a charter school could receive without assistance from the eligible entity under this section;

(E) a description of how the eligible entity possesses sufficient expertise in education to evaluate the likelihood of success of a charter school program for which facilities financing is sought; and

(F) in the case of an application submitted by a State governmental entity, a description of the actions that the eligible entity has taken, or will take, to ensure that charter schools within the State receive the funding that charter schools need to have adequate facilities.

(e) CHARTER SCHOOL OBJECTIVES.—An eligible entity receiving a grant under subsection (a) shall use the funds deposited in the reserve account established under subsection (f) to assist one or more charter schools to access private-sector capital to accomplish one or more of the following objectives:

- (1) The acquisition (by purchase, lease, donation, or otherwise) of an interest (including an interest held by a third party for the benefit of a charter school) in improved or unimproved real property that is necessary to commence or continue the operation of a charter school.
- (2) The construction of new facilities, or the renovation, repair, or alteration of existing facilities, necessary to commence or continue the operation of a charter school.
- (3) The predevelopment costs required to assess sites for purposes of paragraph (1) or (2) and that are necessary to commence or continue the operation of a charter school.

(f) RESERVE ACCOUNT.—

(1) USE OF FUNDS.—To assist charter schools in accomplishing the objectives described in subsection (e), an eligible entity receiving a grant under subsection (a) shall, in accordance with State and local law, directly or indirectly, alone or in collaboration with others, deposit the funds received under subsection (a) (other than funds used for administrative costs in accordance with subsection (g)) in a reserve account established and maintained by the eligible entity for this purpose. Amounts deposited in such account shall be used by the eligible entity for one or more of the following purposes:

- (A) Guaranteeing, insuring, and reinsuring bonds, notes, evidences of debt, loans, and interests therein, the proceeds of which are used for an objective described in subsection (e).
- (B) Guaranteeing and insuring leases of personal and real property for an objective described in subsection (e).
- (C) Facilitating financing by identifying potential lending sources, encouraging private lending, and other similar activities that directly promote lending to, or for the benefit of, charter schools.
- (D) Facilitating the issuance of bonds by charter schools, or by other public entities for the benefit of charter schools, by providing technical, administrative, and other appropriate assistance (including the recruitment of bond counsel, underwriters, and potential investors and the consolidation of multiple charter school projects within a single bond issue).

(2) INVESTMENT.—Funds received under subsection (a) and deposited in the reserve account established under paragraph (1) shall be invested in obligations issued or guaranteed by the United States or a State, or in other similarly low-risk securities.

(3) REINVESTMENT OF EARNINGS.—Any earnings on funds received under subsection (a) shall be deposited in the reserve account established under paragraph (1) and used in accordance with this subsection.

(g) LIMITATION ON ADMINISTRATIVE COSTS.—An eligible entity may use not more than 2.5 percent of the funds received under subsection (a) for the administrative costs of carrying out its responsibilities under this section (excluding subsection (k)).

(h) AUDITS AND REPORTS.—

(1) FINANCIAL RECORD MAINTENANCE AND AUDIT.—The financial records of each eligible entity receiving a grant under subsection (a) shall be maintained in accordance with generally accepted accounting principles and shall be subject to an annual audit by an independent public accountant.

(2) REPORTS.—

(A) GRANTEE ANNUAL REPORTS.—Each eligible entity receiving a grant under subsection (a) shall submit to the Secretary an annual report of the entity's operations and activities under this section (excluding subsection (k)).

(B) CONTENTS.—Each annual report submitted under subparagraph (A) shall include—

- (i) a copy of the most recent financial statements, and any accompanying opinion on such statements, prepared by the independent public accountant reviewing the financial records of the eligible entity;
- (ii) a copy of any report made on an audit of the financial records of the eligible entity that was conducted under paragraph (1) during the reporting period;
- (iii) an evaluation by the eligible entity of the effectiveness of its use of the Federal funds provided under subsection (a) in leveraging private funds;
- (iv) a listing and description of the charter schools served during the reporting period, including the amount of funds used by each school, the type of project facilitated by the grant, and the type of assistance provided to the charter schools;
- (v) a description of the activities carried out by the eligible entity to assist charter schools in meeting the objectives set forth in subsection (e); and
- (vi) a description of the characteristics of lenders and other financial institutions participating in the activities carried out by the eligible entity under this section (excluding subsection (k)) during the reporting period.

(C) SECRETARIAL REPORT.—The Secretary shall review the reports submitted under subparagraph (A) and shall provide a comprehensive annual report to Congress on the activities conducted under this section (excluding subsection (k)).

(i) NO FULL FAITH AND CREDIT FOR GRANTEE OBLIGATION.—No financial obligation of an eligible entity entered into pursuant to this section (such as an obligation under a guarantee, bond, note, evidence of debt, or loan) shall be an obligation of, or guaranteed in any respect by, the United States. The full faith and credit of the United States is not pledged to the payment of funds that may be required to be paid under any obligation made by an eligible entity pursuant to any provision of this section.

(j) RECOVERY OF FUNDS.—

(1) IN GENERAL.—The Secretary, in accordance with chapter 37 of title 31, United States Code, shall collect—(A) all of the funds in a reserve account established by an eligible entity under subsection (f)(1) if the Secretary determines, not earlier than 2 years after the date on which the eligible entity first received funds under subsection (a), that the eligible entity has failed to make substantial progress in carrying out the purposes

described in subsection (f)(1); or (B) all or a portion of the funds in a reserve account established by an eligible entity under subsection (f)(1) if the Secretary determines that the eligible entity has permanently ceased to use all or a portion of the funds in such account to accomplish any purpose described in subsection (f)(1).

(2) EXERCISE OF AUTHORITY.—The Secretary shall not exercise the authority provided in paragraph (1) to collect from any eligible entity any funds that are being properly used to achieve one or more of the purposes described in subsection (f)(1).

(3) PROCEDURES.—The provisions of sections 451, 452, and 458 of the General Education Provisions Act shall apply to the recovery of funds under paragraph (1).

(4) CONSTRUCTION.—This subsection shall not be construed to impair or affect the authority of the Secretary to recover funds under part D of the General Education Provisions Act (20 U.S.C. 1234 et seq.).

(k) PER-PUPIL FACILITIES AID PROGRAM.—

(1) DEFINITION OF PER-PUPIL FACILITIES AID PROGRAM.—In this subsection, the term “per-pupil facilities aid program” means a program in which a State makes payments, on a per-pupil basis, to charter schools to provide the schools with financing—

(A) that is dedicated solely to funding charter school facilities; or

(B) a portion of which is dedicated for funding charter school facilities.

(2) GRANTS.—

(A) IN GENERAL.—From the amount reserved under section 4302(b)(1) and remaining after the Secretary makes grants under subsection (a), the Secretary shall make grants, on a competitive basis, to States to pay for the Federal share of the cost of establishing or enhancing, and administering, per-pupil facilities aid programs.

(B) PERIOD.—The Secretary shall award grants under this subsection for periods of not more than 5 years.

(C) FEDERAL SHARE.—The Federal share of the cost described in subparagraph (A) for a per-pupil facilities aid program shall be not more than—

(i) 90 percent of the cost, for the first fiscal year for which the program receives assistance under this subsection;

(ii) 80 percent for the second such year;

(iii) 60 percent for the third such year;

(iv) 40 percent for the fourth such year; and

(v) 20 percent for the fifth such year.

(D) STATE SHARE.—A State receiving a grant under this subsection may partner with 1 or more organizations, and such organizations may provide not more than 50 percent of the State share of the cost of establishing or enhancing, and administering, the per-pupil facilities aid program.

(E) MULTIPLE GRANTS.—A State may receive more than 1 grant under this subsection, so long as the amount of total funds provided to charter schools increases with each successive grant.

(3) USE OF FUNDS.—

(A) IN GENERAL.—A State that receives a grant under this subsection shall use the funds made available through the grant to establish or enhance, and administer, a per-pupil facilities aid program for charter schools in the State of the applicant.

(B) EVALUATIONS; TECHNICAL ASSISTANCE; DISSEMINATION.—

From the amount made available to a State through a grant under this subsection for a fiscal year, the

State may reserve not more than 5 percent to carry out evaluations, to provide technical assistance, and to disseminate information.

(C) SUPPLEMENT, NOT SUPPLANT.—Funds made available under this subsection shall be used to supplement, and not supplant, State and local public funds expended to provide per-pupil facilities aid programs, operations financing programs, or other programs, for charter schools.

(4) REQUIREMENTS.—

(A) VOLUNTARY PARTICIPATION.—No State may be required to participate in a program carried out under this subsection.

(B) STATE LAW.—

(i) IN GENERAL.—To be eligible to receive a grant under this subsection, a State shall establish or enhance, and administer, a per-pupil facilities aid program for charter schools in the State, that—

(I) is specified in State law; and

(II) provides annual financing, on a per-pupil basis, for charter school facilities.

(ii) SPECIAL RULE.—A State that is required under State law to provide its charter schools with access to adequate facility space, but that does not have a per-pupil facilities aid program for charter schools specified in State law, is eligible to receive a grant under this subsection if the State agrees to use the funds to develop a per-pupil facilities aid program consistent with the requirements of this subsection.

(5) APPLICATIONS.—To be eligible to receive a grant under this subsection, a State shall submit an application to the Secretary at such time, in such manner, and containing such information as the Secretary may require.

SEC. 4305. NATIONAL ACTIVITIES.

(a) IN GENERAL.—From the amount reserved under section 4302(b)(2), the Secretary shall—

(1) use not more than 80 percent of such funds to award grants in accordance with subsection (b);

(2) use not more than 9 percent of such funds to award grants, on a competitive basis, to eligible applicants for the purpose of carrying out the activities described in section 4303(h) in a State that did not receive a grant under section 4303; and

(3) after the uses described in paragraphs (1) and (2), use the remainder of such funds to—

(A) disseminate technical assistance to—

(i) State entities in awarding subgrants under section 4303(b)(1); and

(ii) eligible entities and States receiving grants under section 4304;

(B) disseminate best practices regarding charter schools; and

(C) evaluate the impact of the charter school program carried out under this part, including the impact on student achievement.

(b) GRANTS FOR THE REPLICATION AND EXPANSION OF HIGHQUALITY

CHARTER SCHOOLS.—

(1) IN GENERAL.—The Secretary shall make grants, on a competitive basis, to eligible entities having applications approved under paragraph (3) to enable such entities to open and prepare for the operation of one or more replicated high-quality charter schools or to expand one or more high-quality charter schools.

(2) DEFINITION OF ELIGIBLE ENTITY.—For purposes of this subsection, the term “eligible entity” means a charter management organization.

(3) APPLICATION REQUIREMENTS.—An eligible entity desiring to receive a grant under this subsection shall submit an application to the Secretary at such time and in such manner as the Secretary may require. The application shall include the following:

(A) EXISTING CHARTER SCHOOL DATA.—For each charter school currently operated or managed by the eligible entity—

(i) student assessment results for all students and for each subgroup of students described in section 1111(c)(2);

(ii) attendance and student retention rates for the most recently completed school year and, if applicable, the most recent available 4-year adjusted cohort graduation rates and extended-year adjusted cohort graduation rates; and

(iii) information on any significant compliance and management issues encountered within the last 3 school years by any school operated or managed by the eligible entity, including in the areas of student safety and finance.

(B) DESCRIPTIONS.—A description of—

(i) the eligible entity’s objectives for implementing a high-quality charter school program with funding under this subsection, including a description of the proposed number of high-quality charter schools the eligible entity proposes to open as a result of the replication of a high-quality charter school or to expand with funding under this subsection;

(ii) the educational program that the eligible entity will implement in such charter schools, including—

(I) information on how the program will enable all students to meet the challenging State academic standards;

(II) the grade levels or ages of students who will be served; and

(III) the instructional practices that will be used;

(iii) how the operation of such charter schools will be sustained after the grant under this subsection has ended, which shall include a multi-year financial and operating model for the eligible entity;

(iv) how the eligible entity will ensure that such charter schools will recruit and enroll students, including children with disabilities, English learners, and other educationally disadvantaged students; and

(v) any request and justification for any waivers of Federal statutory or regulatory requirements that the eligible entity believes are necessary for the successful operation of such charter schools.

(C) ASSURANCE An assurance that the eligible entity has sufficient procedures in effect to ensure timely closure of low-performing or financially mismanaged charter schools and clear plans and procedures in effect for the students in such schools to attend other high-quality schools.

(4) SELECTION CRITERIA.—The Secretary shall select eligible entities to receive grants under this subsection, on the basis of the quality of the applications submitted under paragraph (3), after taking into consideration such factors as—

(A) the degree to which the eligible entity has demonstrated success in increasing academic achievement for all students and for each of the subgroups of students described in section 1111(c)(2) attending the charter schools the eligible entity operates or manages;

(B) a determination that the eligible entity has not operated or managed a significant proportion of charter schools that—

(i) have been closed;

(ii) have had the school’s charter revoked due to problems with statutory or regulatory compliance; or

(iii) have had the school’s affiliation with the eligible entity revoked or terminated, including through voluntary disaffiliation; and

(C) a determination that the eligible entity has not experienced significant problems with statutory or regulatory compliance that could lead to the revocation of a school’s charter.

(5) PRIORITY.—In awarding grants under this section, the Secretary shall give priority to eligible entities that—

(A) plan to operate or manage high-quality charter schools with racially and socioeconomically diverse student bodies;

(B) demonstrate success in working with schools identified by the State for comprehensive support and improvement under section 1111(c)(4)(D)(i);

(C) propose to use funds—

(i) to expand high-quality charter schools to serve high school students; or

(ii) to replicate high-quality charter schools to serve high school students; or

(D) propose to operate or manage high-quality charter schools that focus on dropout recovery and academic reentry.

(c) TERMS AND CONDITIONS.—Except as otherwise provided, grants awarded under paragraphs (1) and (2) of subsection (a) shall have the same terms and conditions as grants awarded to State entities under section 4303.

SEC. 4306. FEDERAL FORMULA ALLOCATION DURING FIRST YEAR AN FOR SUCCESSIVE ENROLLMENT EXPANSIONS.

(a) IN GENERAL.—For purposes of the allocation to schools by the States or their agencies of funds under part A of title I, and any other Federal funds which the Secretary allocates to States on a formula basis, the Secretary and each State educational agency shall take such measures as are necessary to ensure that every charter school receives the Federal funding for which the charter school is eligible not later than 5 months after the charter school first opens, notwithstanding the fact that the identity and characteristics of the students enrolling in that charter school are not fully and completely determined until that charter school actually opens. The measures similarly shall ensure that every charter school expanding its enrollment in any subsequent year of operation receives the Federal funding for which the charter school is eligible not later than 5 months after such expansion.

(b) ADJUSTMENT AND LATE OPENINGS.—

(1) IN GENERAL.—The measures described in subsection (a) shall include provision for appropriate adjustments, through recovery of funds or reduction of payments for the succeeding year, in cases where payments made to a charter school on the basis of estimated or projected enrollment data exceed the amounts that the school is eligible to receive on the basis of actual or final enrollment data.

(2) RULE.—For charter schools that first open after November 1 of any academic year, the State, in accordance with guidance provided by the Secretary and applicable Federal statutes and regulations, shall ensure that such charter schools that are eligible for the funds described in subsection (a) for such academic year have a full and fair opportunity to receive those funds during the charter schools' first year of operation.

(c) NEW OR SIGNIFICANTLY EXPANDING CHARTER SCHOOLS.— For purposes of implementing the hold harmless protections in sections 1122(c) and 1125A(g)(3) for a newly opened or significantly expanded charter school under this part, a State educational agency shall calculate a hold-harmless base for the prior year that, as applicable, reflects the new or significantly expanded enrollment of the charter school.

SEC. 4307. SOLICITATION OF INPUT FROM CHARTER SCHOOL OPERATORS.

To the extent practicable, the Secretary shall ensure that administrators, teachers, and other individuals directly involved in the operation of charter schools are consulted in the development of any rules or regulations required to implement this subpart, as well as in the development of any rules or regulations relevant to charter schools that are required to implement part A of title I, the Individuals with Disabilities Education Act, or any other program administered by the Secretary that provides education funds to charter schools or regulates the activities of charter schools.

SEC. 4308. RECORDS TRANSFER.

State educational agencies and local educational agencies, as quickly as possible and to the extent practicable, shall ensure that a student's records and, if applicable, a student's individualized education program as defined in section 602 of the Individuals with Disabilities Education Act, are transferred to a charter school upon the transfer of the student to the charter school, and to another public school upon the transfer of the student from a charter school to another public school, in accordance with applicable State law.

SEC. 4309. PAPERWORK REDUCTION.

To the extent practicable, the Secretary and each authorized public chartering agency shall ensure that implementation of this subpart results in a minimum of paperwork for any eligible applicant or charter school.

SEC. 4310. DEFINITIONS.

In this part:

(1) AUTHORIZED PUBLIC CHARTERING AGENCY.—The term “authorized public chartering agency” means a State educational agency, local educational agency, or other public entity that has the authority pursuant to State law and approved by the Secretary to authorize or approve a charter school.

(2) CHARTER SCHOOL.—The term “charter school” means a public school that—

(A) in accordance with a specific State statute authorizing the granting of charters to schools, is exempt from significant State or local rules that inhibit the flexible operation and management of public schools, but not from any rules relating to the other requirements of this paragraph;

(B) is created by a developer as a public school, or is adapted by a developer from an existing public school, and is operated under public supervision and direction;

(C) operates in pursuit of a specific set of educational objectives determined by the school's developer and agreed to by the authorized public chartering agency;

(D) provides a program of elementary or secondary education, or both;

(E) is nonsectarian in its programs, admissions policies, employment practices, and all other operations, and is not affiliated with a sectarian school or religious institution;

(F) does not charge tuition;

(G) complies with the Age Discrimination Act of 1975, title VI of the Civil Rights Act of 1964, title IX of the Education Amendments of 1972, section 504 of the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.), section 444 of the General Education Provisions Act (20 U.S.C. 1232g) (commonly referred to as the "Family Educational Rights and Privacy Act of 1974"), and part B of the Individuals with Disabilities Education Act;

(H) is a school to which parents choose to send their children, and that—

(i) admits students on the basis of a lottery, consistent with section 4303(c)(3)(A), if more students apply for admission than can be accommodated; or

(ii) in the case of a school that has an affiliated charter school (such as a school that is part of the same network of schools), automatically enrolls students who are enrolled in the immediate prior grade level of the affiliated charter school and, for any additional student openings or student openings created through regular attrition in student enrollment in the affiliated charter school and the enrolling school, admits students on the basis of a lottery as described in clause (i);

(I) agrees to comply with the same Federal and State audit requirements as do other elementary schools and secondary schools in the State, unless such State audit requirements are waived by the State;

(J) meets all applicable Federal, State, and local health and safety requirements;

(K) operates in accordance with State law;

(L) has a written performance contract with the authorized public chartering agency in the State that includes a description of how student performance will be measured in charter schools pursuant to State assessments that are required of other schools and pursuant to any other assessments mutually agreeable to the authorized public chartering agency and the charter school; and (M) may serve students in early childhood education programs or postsecondary students.

(3) CHARTER MANAGEMENT ORGANIZATION.—The term "charter management organization" means a nonprofit organization that operates or manages a network of charter schools linked by centralized support, operations, and oversight.

(4) CHARTER SCHOOL SUPPORT ORGANIZATION.—The term "charter school support organization" means a nonprofit, nongovernmental entity that is not an authorized public chartering agency and provides, on a statewide basis— (A) assistance to developers during the planning, program design, and initial implementation of a charter school; and (B) technical assistance to operating charter schools.

(5) DEVELOPER.—The term “developer” means an individual or group of individuals (including a public or private nonprofit organization), which may include teachers, administrators and other school staff, parents, or other members of the local community in which a charter school project will be carried out.

(6) ELIGIBLE APPLICANT.—The term “eligible applicant” means a developer that has—

(A) applied to an authorized public chartering authority to operate a charter school; and

(B) provided adequate and timely notice to that authority.

(7) EXPAND.—The term “expand”, when used with respect to a high-quality charter school, means to significantly increase enrollment or add one or more grades to the high-quality charter school.

(8) HIGH-QUALITY CHARTER SCHOOL.—The term “high-quality charter school” means a charter school that—

(A) shows evidence of strong academic results, which may include strong student academic growth, as determined by a State;

(B) has no significant issues in the areas of student safety, financial and operational management, or statutory or regulatory compliance;

(C) has demonstrated success in significantly increasing student academic achievement, including graduation rates where applicable, for all students served by the charter school; and

(D) has demonstrated success in increasing student academic achievement, including graduation rates where applicable, for each of the subgroups of students, as defined in section 1111(c)(2), except that such demonstration is not required in a case in which the number of students in a group is insufficient to yield statistically reliable information or the results would reveal personally identifiable information about an individual student.

(9) REPLICATE.—The term “replicate”, when used with respect to a high-quality charter school, means to open a new charter school, or a new campus of a high-quality charter school, based on the educational model of an existing high-quality charter school, under an existing charter or an additional charter, if permitted or required by State law.

III. Notice Inviting Applications

COMPETITION HIGHLIGHTS

Expanding Opportunity through Quality Charter Schools Program Grants to State Entities (84.282A)

Application available: March 9, 2018

Webinar for potential applicants: March 14, 2018, 2:00 p.m., Washington DC time

Deadline for transmitting applications: April 20, 2018

Awards expected to be announced by: September 28, 2018

FY 2018 CSP Grants to State Entities Application

The full text of the Notice Inviting Applications for New Awards for FY 2018 under the Grants to State Entities competition can be found on the [Federal Register](#) website at the following URLs:

<https://www.gpo.gov/fdsys/pkg/FR-2018-03-09/pdf/2018-04821.pdf> (PDF)

<https://www.federalregister.gov/documents/2018/03/09/2018-04821/applications-for-new-awards-expanding-opportunity-through-quality-charter-schools-program-csp-grants> (Text)

Eligibility: State entities (SEs) in States with a State statute specifically authorizing the establishment of charter schools are eligible to apply. Under section 4303(e)(1) of the ESEA, no SE may receive a grant under this competition for use in a State in which an SE has a current CSP State Entities grant. The Department has made one set of new section 4303 of the ESEA CSP State Entities grants, in FY 2017. Accordingly, no SE may receive a grant under this competition for use in a State in which an SE received a new State Entities grant in FY 2017 and is currently using the grant; these States are Indiana, Maryland, Minnesota, Mississippi, New Mexico, Oklahoma, Rhode Island, Texas, and Wisconsin. SEs in States in which an SEA has a current CSP grant for SEAs that was awarded prior to FY 2017, under the ESEA, as amended by NCLB, are eligible to apply for a CSP State Entities grant under this competition, so long as no other SE in the State has a current CSP State Entities grant. *State Entity* means a State educational agency; State charter school board; Governor of a State; or a charter school support organization.

Electronic Submission:

All applications for grants under this competition must be received on or before **4:30:00 p.m. on April 20, 2018, Washington, DC time**. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30:00 p.m., Washington, DC 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.

An applicant may check the status of its application(s), 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. **Applicants should be careful that they download the correct application package for CSP grant to State entities and that they submit their application under the correct CSP grant competition (84.282A)**. Your application will be reviewed for the competition under which it is submitted, and only applications that are successfully submitted by the established deadline will be peer reviewed.

FY 2018 CSP State Entities Application Package:

Please note that the application package for FY 2018 CSP Grants to State Entities is for applicants to download and use as a guide only. Unless the applicant qualifies for an exception to the electronic submission requirement (see Electronic Submission Policy below and in the FY 2018 Notice), all applications for this competition must be submitted electronically via Grants.gov.

Pre-Application Meeting: 2:00 p.m. – 4:00 p.m., Wednesday, March 14, 2018

The Department will hold a pre-application meeting via webinar for prospective applicants on March 14, 2018 from 2:00 p.m. – 4:00 p.m., Washington, DC time. We encourage you to pre-register for this meeting by emailing your name, organization, and contact information with the subject heading "STATE ENTITIES GRANTS PRE-APPLICATION MEETING" to charterschools@ed.gov. There is no registration fee to attend this meeting. Presentation materials may be requested by contacting the CSP office at charterschools@ed.gov. To register to attend this meeting, please

click [here](#), or go to

<https://educateevents.webex.com/educateevents/onstage/g.php?MTID=e357e8eb609fd60553252befdff36ebf7>

Apply: All applications must be submitted electronically via [Grants.gov](#).

To submit an application on the [Grants.gov](#) website, hover over the “Applicant” tab. Select the “Apply for Grants” option, then click on “Download a Grant Application Package.” Type in the CFDA (84.282A) or the Funding Opportunity Number (ED-GRANTS-030918-001). Click “Download Package.” For assistance with the use of the Grants.gov system, please contact the Grants.gov help desk, at (800)518-4726, or email support@grants.gov.

SPECIFIC FEATURES FOR FY 2018

In December 2015, the State entities grant program was reauthorized under the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the Every Student Succeeds Act of 2015 (ESSA) (20 U.S.C. 7221-7221j). The FY 2017 competition was the first State entities grant competition implemented under this new authorization. The FY 2018 notice contains priorities, definitions, application requirements, and selection criteria from section 4303 of the ESEA.

The FY 2018 State Entities competition is similar to FY 2017 State Entities competition. Notable features of the SE program under ESSA include the following:

- I. Under section 4303(a) of the ESEA, eligibility for this program has been expanded to State entities (as defined in the NIA) rather than limiting eligibility to SEAs (as was the case prior to FY2017).
- II. Under section 4303(e)(1) of the ESEA, no State entity may receive a grant under this program for use in a State in which a state entity is currently using a grant received under 84.282A.
 - The Department interprets the language in section 4303(e)(1) of the ESEA as applying only in cases where the active grant was awarded under the reauthorized program (the ESSA version of the ESEA).
 - Therefore, a State entity located in a State in which an SEA has an active grant awarded prior to FY 2017 (including an SEA with an active grant) is eligible to apply for a new award under this competition.
 - If multiple State entities in a State submit applications that receive high enough scores to be recommended for funding under this competition, only the highest-scoring application amongst such State entities would be funded.
- III. Under section 4303(b) of the ESEA, subgrants must be awarded to eligible applicants to:
 - open and prepare for the operation of new charter schools;
 - open and prepare for the operation of replicated high-quality charter schools; or
 - expand high-quality charter schools.
- IV. A State entity receiving a grant under this program shall use:
 - **not less than** 90 percent of the grant funds to award subgrants to eligible applicants for activities related to opening and preparing for the operation of new charter school or to replicate or expand high-quality charter schools;
 - reserve **not less than** 7 percent of funds to provide technical assistance to eligible applicants and authorized public chartering agencies in opening and preparing for the operation of new charter schools or to replicate or expand high-quality charter schools and in improving authorizing quality, including developing capacity for, and conducting, fiscal oversight and auditing of charter schools; and
 - reserve **not more than** 3 percent of funds for administrative costs, which may include technical assistance.
- V. A State entity may use a grant received under this program to carry out the technical assistance activities authorized under section 4303(b)(2) of the ESEA directly or through grants, contracts, or cooperative agreements.
- VI. The maximum amount of grant funds a State entity may award to a subgrantee per new charter school, replicated high-quality charter school, or expanding high-quality charter school is \$1,250,000.
- VII. As outlined in Section 4310(1)(M) a charter school "may serve students in early childhood education programs or postsecondary students."
- VIII. The allowable use of funds has expanded; see [V. Funding Restrictions: Uses of Subgrant Funds](#) in the FY 2018 NIA for additional information.

The FY 2018 State Entities NIA includes several differences from the FY 2017 State Entities NIA, which include the following:

- I. There are two competitive preference priorities (CPPs) which were included in the FY2017 NIA which have been removed from the FY2018 NIA, as follows:
 - a. Periodic Review and Evaluation
 - b. Charter School Oversight
- II. There are two selection criteria which were included in the FY2017 NIA which have been removed from the FY2018 NIA. These selection criteria were part of the Notice of final priorities, requirements, definitions, and selection criteria for this program, published in the Federal Register on June 15, 2015 (80 FR 34201).
 - a. REMOVED: Quality of the Project Design (Selection Criterion X from the FY2017 NIA)
 - b. REMOVED: Quality of the Management Plan and Theory of Action (Selection Criterion Z from the FY2017 NIA).
- II. The FY2018 NIA includes a few additions compared to the FY2017 NIA:
 - a. A note to competitive preference priority Z, Charter School Authorizing: *Note: We are interpreting “best practices for charter school authorizing” as including, but not limited to, the practices for monitoring of charter schools described in Assurance E below.*
 - b. Definitions for the following:
 - Demonstrates a rationale: means a key project component included in the project's logic model is informed by research or evaluation findings that suggest the project component is likely to improve relevant outcomes. (34 CFR 77.1)
 - Project component: means an activity, strategy, intervention, process, product, practice, or policy included in a project. Evidence may pertain to an individual project component or to a combination of project components (e.g., training teachers on instructional practices for English learners and follow-on coaching for these teachers). (34 CFR 77.1)
 - Relevant outcome: means the student outcome(s) or other outcome(s) the key project component is designed to improve, consistent with the specific goals of the program. (34 CFR 77.1)
 - c. A selection criterion: (x) Quality of the project design (34 CFR 75.210 General Selection Criteria): This selection criteria specifically addresses the conceptual framework (i.e. logic model (as defined in this notice) underlying the proposed research or demonstration activities and the quality of that framework.
 - d. A selection criterion: (y) Quality of the management plan (34 CFR 75.210 General Selection Criteria): The applicant should address the adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.
 - e. Adding a selection criterion Adequacy of resources (34 CFR 75.210 General Selection Criteria): The applicant should address the extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project.

IV. Application Submission Procedures

APPLICATION TIPS

- I. Register or maintain registration on SAM.gov. The SAM registration process can take approximately seven business days, but may take upwards of several weeks, depending on the completeness and accuracy of the data entered into the SAM database by an entity. Thus, if you think you might want to apply for Federal financial assistance under a program administered by the Department, please allow sufficient time to obtain and register your DUNS number and TIN. Once your SAM registration is active, you will need to allow 24 to 48 hours for the information to be available in Grants.gov and before you can submit an application through Grants.gov. Also note that you will need to update your registration annually. This may take three or more business days.
- II. Register early on Grants.gov. The registration process may take up to two weeks to complete. For additional information on the registration and submission process please review the resources available on the Grants.gov Website.
- III. Verify that the person assigned to submit the application has been designated as an Authorized Organization Representative (AOR). Track your AOR status (see page 5). You must be “active” in order to submit an application on behalf of the organization.
- IV. Review the submission for clarity. Applications will be read by multiple peer reviewers; therefore it is important to ensure that the application can be understood by someone who is unfamiliar with your project. It is highly recommended that an applicant clearly state which priority, requirement or selection criterion their application is responding to throughout their submission.
- V. Submit all files in .PDF format. While Grants.gov may accept other format types, the Department’s system, which receives the files from Grants.gov, will only accept .PDF files. Files submitted in formats other than .PDF or that are password protected may not convert in a legible manner and, in these instances, cannot be reviewed.
- VI. Submit early on Grants.gov. Applications must be finished uploading, and be validated by the Grants.gov system, by 4:30:00 p.m., Washington DC, time on the deadline date. Validation indicates if the submission was successful and may take up to two days. If the submitted application is deemed invalid due to an error, applicants may correct the error and resubmit only if the 4:30:00 p.m., Washington, DC time deadline has not passed. Applicants are encouraged to review the submission to be sure that the files transmitted correctly. Grants.gov may not catch all errors. Late submissions or modifications to the submitted application will not be accepted after the deadline.
- VII. Each application will be reviewed under the competition it was submitted under in the Grants.gov system, and only applications that are successfully submitted by the established deadline will be peer reviewed. Applicants should be careful that they download the intended CSP grants for State Entities application package (84.282A) and that they submit their applications under the intended CSP grants for State Entities competition.

NOTE: Applicants will receive multiple emails to confirm submission in Grants.gov, validation, and transmission to the U. S. Department of Education. Once the application is transmitted to the Department, applicants will receive a final email with a unique identifier called a PR Award Number. Use this number when making inquiries about the submitted application.

*For more information on grants.gov submission procedures and Tips for Applicants please refer back to the submission procedures located at the beginning of this document starting on page 4.

DUNS NUMBER INSTRUCTIONS

All applicants must have a D-U-N-S number in order to apply for federal funds.

NOTE: Check with your fiscal office to see if your institution has an assigned D-U-N-S before contacting Dun & Bradstreet.

Please provide the applicant's D-U-N-S Number. You can obtain your D-U-N-S Number at no charge by calling **1-800-333-0505** or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:

http://www.dnb.com/US/duns_update/index.html

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

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide. **Live help Monday-Friday 8am-6pm (EST) Dial 1-888-814-1435.**

Note: Electronic submission via Grants.gov must use the D-U-N-S number your organization used when it registered in the System for Award Management.

ELECTRONIC SUBMISSION POLICY

Electronic Submission is Required

As outlined in the Federal Register notice for this grant competition, applications for grants under the CSP Grants to State Entities, CFDA number 84.282A, must be submitted electronically using the governmentwide Grants.gov Apply site at www.Grants.gov. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not email an electronic copy of a grant application to us.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, 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. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

Under mandatory submission, electronic applications must be received by 4:30:00 p.m. Washington, DC time on the application deadline date. **Under this new policy, the Department does not allow for any last minute waiver requests for electronic application submission, which is a change from the previous policy for mandatory electronic submission. Consequently, we strongly encourage you to review the registration and submission procedures for the designated electronic application system right away. In addition, we strongly suggest that you do not wait until the deadline date to submit your application.**

Exception to Electronic Submission Requirement:

You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through the Grants.gov system because –

- You do not have access to the Internet; or
 - You do not have the capacity to upload large documents to the Grants.gov system;
- and
- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application.
 - If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.
 - Address and mail or fax your statement to: Amy B. Huber, U.S. Department of Education, 400 Maryland Avenue, SW., room 4W222, Washington, DC 20202-5970. FAX: (202)205-5630.
 - Your paper application must be submitted in accordance with the mail or hand delivery instructions described in the Federal Register notice for this grant competition.

Submission of Paper Applications by Mail:

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

U.S. Department of Education
Application Control Center
Attention: CFDA Number 84.282A
LBJ Basement Level 1
400 Maryland Avenue, SW.
Washington, DC 20202-4260

- You must show proof of mailing consisting of one of the following:
 - (1) A legibly dated U.S. Postal Service postmark.
 - (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
 - (3) A dated shipping label, invoice, or receipt from a commercial carrier.
 - (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.
- If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:
 - (1) A private metered postmark.
 - (2) A mail receipt that is not dated by the U.S. Postal Service.
- Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.
- We will not consider applications postmarked after the application deadline.

Submission of Paper Applications by Hand Delivery:

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

U.S. Department of Education
Application Control Center
Attention: CFDA Number 84.282A
550 12th Street, SW.
Room 7039, Potomac Center Plaza
Washington, DC 20202-4260

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

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department--

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

ELECTRONIC NOTIFICATION OPTION FOR GRANT AWARDS

If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN); **OR** we may send you an e-mail containing a link to access G5, the Department's Grant Management System. The email will be sent to both the project director and certifying representative in order for them to view and print the Adobe Acrobat version of the electronically signed GAN. If neither the project director nor certifying representative is registered in G5, they will immediately be prompted to register once the link is accessed. **The electronic signature and issuance of the GAN makes it crucial that your application include correct email addresses for both the project director and certifying representative.**

V. Application Instructions

ELECTRONIC APPLICATION FORMAT

All applicants interested in completing a State entities application should first thoroughly review the NIA for FY 2018 published in the Federal Register on March 9, 2018 (83 FR 10455). The NIA will orient applicants to the State entities program by providing the following information:

- Background information and purpose of the program;
- Competitive Preference Priorities (optional);
- Program Requirements;
- Key definitions;
- Award Information;
- Eligibility Information;
- Selection Criteria and assigned points;
- Procedural and substantive requirements of the application process, and
- Instructions on how to electronically submit the application.

Applicants should pay close attention to the Competitive Preference Priorities and Selection Criteria as applications will be evaluated and scored against these criteria.

COMPLETING AND SUBMITTING YOUR APPLICATION

A complete application consists of the following components:

Required Forms (specific instructions are included on page 38 of this document):

- ED Standard Forms; and
- Assurances and Certifications

Application Narrative (specific instructions are included on page 52 of this document):

The CSP grants for SEs applications will use the following Grants.gov Narrative Forms.

- Abstract Narrative Form:
 - The Abstract Narrative Form is where you will attach an abstract of the project that addresses how your application meets the purpose of the CSP as stated in the NIA.
 - **Applicants should limit the abstract narrative to 1 page.** The abstract narrative does not count toward the 60 page limit for the project narrative.
- Project Narrative Form:
 - The Project Narrative Form is where you will attach the responses to the Priorities, Selection Criteria, and Requirements in the FY 2018 NIA that reviewers use to evaluate your application.
 - To facilitate the review of the application, please organize your Project Narrative in the following order and include a Table of Contents: Competitive Priorities (optional), Selection Criteria, and Application Requirements.
 - A checklist for the application requirements is included on page 61 of this application package.
 - We recommend that Applicants **limit the project narrative to no more than 60 pages.** The Table of Contents does not count towards this limit.
- Budget Narrative Form:
 - The Budget Narrative Form is where you will attach a budget narrative, aligned with the budget included on the ED 524 form. Only one budget should be submitted to represent costs. Specific instructions are included on page 68 of this application package.
 - The budget narrative does not count toward the recommended 60 page limit specified above.
- Other Attachments Form: (upload appendices here)
 - The Other Attachments Form is where you will attach the application appendices. Specific Appendix instructions are included on page 69 of this document. Applicants should not include substantive, project-related information that they wish peer reviewers to consider anywhere in the application other than in the Project Narrative Form and Budget Narrative Form sections.
 - There are six (6) "Other Attachments" and should be named: Appendix A Charter Schools Program Assurances; Appendix B Resumes or Curriculum Vitae; Appendix C Letters of Support; Appendix D Proof of Nonprofit Status; Appendix E Proprietary Information; Appendix F Additional Information.

Addressing Your Questions

For additional questions, please contact:

Amy B. Huber
U.S. Department of Education
400 Maryland Avenue, S.W., room 4W222
Washington, DC 20202-5970

Telephone: (202)453-6634 or by email: Amy.Huber@ed.gov or CharterSchools@ed.gov

Applicants may also visit the CSP website at <http://innovation.ed.gov/what-we-do/charter-schools>. Applicants should keep in mind that the Department cannot provide guidance on specific proposals.

FY 2018 APPLICATION CHECKLIST

Applicants may use this checklist once they have completed their CSP Grants to State Entities application. The checklist contains all mandatory parts of the application.

ED Standard Forms

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

Assurances and Certifications

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

Application Narrative

- Abstract Narrative Form
- Project Narrative Form
- Budget Narrative Form

Other Attachments (see page 69)

- Appendix A Charter Schools Program Assurances
- Appendix B Resumes or Curriculum Vitae
- Appendix C Letters of Support (if applicable)
- Appendix D Proof of Nonprofit Status (if applicable)
- Appendix E Proprietary Information (if applicable)
- Appendix F Additional Information (if applicable)

A. REQUIRED FORMS

REQUIRED FORMS INSTRUCTIONS

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

- Application for Federal Assistance (SF 424);
NOTE: Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although this form accepts attachments, the U.S. Department of Education will review only materials/files attached to the section labeled "Other Attachments Form."
- Department of Education Supplemental Information for SF 424;
- Department of Education Budget Summary Form (ED 524) Sections A & B (Section B is not required);
- Disclosure of Lobbying Activities (SF-LLL);
- General Education Provisions Act (GEPA) Requirements - Section 427;
- Assurances, Non-Construction Programs (SF 424B); and
- Grants.gov Lobbying form (formerly ED 80-0013 form).

The following pages provide a copy of the instructions for completing these forms. Electronic copies of the required forms can be found at the following address: <http://www2.ed.gov/fund/grant/apply/appforms/appforms.html> and in the Grants.gov application package.

INSTRUCTIONS FOR APPLICATION FOR FEDERAL ASSISTANCE (SF-424)

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

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

	b. Employer/Taxpayer Number (EIN/TIN): (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	Estimated Funding: (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.																								
	c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting www.Grants.gov .	19.	Is Application Subject to Review by State Under Executive Order 12372 Process? (Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.																								
	d. Address: Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).	20.	Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.																								
	e. Organizational Unit: Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.	21.	Authorized Representative: To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)																								
	f. Name and contact information of person to be contacted on matters involving this application: Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.																										
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.																										
	<table border="0"> <tr> <td>A. State Government</td> <td>M. Nonprofit</td> </tr> <tr> <td>B. County Government</td> <td>N. Private Institution of Higher Education</td> </tr> <tr> <td>C. City or Township Government</td> <td>O. Individual</td> </tr> <tr> <td>D. Special District Government</td> <td>P. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td>E. Regional Organization</td> <td>Q. Small Business</td> </tr> <tr> <td>F. U.S. Territory or Possession</td> <td>R. Hispanic-serving Institution</td> </tr> <tr> <td>G. Independent School District</td> <td>S. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td>H. Public/State Controlled Institution of Higher Education</td> <td>T. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td>I. Indian/Native American Tribal Government (Federally Recognized)</td> <td>U. Alaska Native and Native Hawaiian Serving Institutions</td> </tr> <tr> <td>J. Indian/Native American Tribal Government (Other than Federally Recognized)</td> <td>V. Non-US Entity</td> </tr> <tr> <td>K. Indian/Native American Tribally Designated Organization</td> <td>W. Other (specify)</td> </tr> <tr> <td>L. Public/Indian Housing Authority</td> <td></td> </tr> </table>	A. State Government	M. Nonprofit	B. County Government	N. Private Institution of Higher Education	C. City or Township Government	O. Individual	D. Special District Government	P. For-Profit Organization (Other than Small Business)	E. Regional Organization	Q. Small Business	F. U.S. Territory or Possession	R. Hispanic-serving Institution	G. Independent School District	S. Historically Black Colleges and Universities (HBCUs)	H. Public/State Controlled Institution of Higher Education	T. Tribally Controlled Colleges and Universities (TCCUs)	I. Indian/Native American Tribal Government (Federally Recognized)	U. Alaska Native and Native Hawaiian Serving Institutions	J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Non-US Entity	K. Indian/Native American Tribally Designated Organization	W. Other (specify)	L. Public/Indian Housing Authority			
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L. Public/Indian Housing Authority																											

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

**DEFINITIONS FOR
DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424
(Attachment to Instructions for Supplemental Information for SF 424)**

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

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

—Human Subject

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

B. Exemptions:

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

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

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects’ responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects’ financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving***

educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed. [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

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

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

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

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

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked “Yes” for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

A. Exempt Research Narrative.

If you marked “Yes” for item 3 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked “No” for item 3 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) Human Subjects Involvement and Characteristics:

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

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

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

consent or the requirement for documentation of consent.

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

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

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

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

***Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, DC. 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site:
<http://www.ed.gov/about/offices/list/OCFO/humansub.html>***

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

INSTRUCTIONS FOR THE SF-424

INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

1. Project Director. Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.

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

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

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

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

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

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

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

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

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

Paperwork Burden Statement. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street, S.W. Room 7076, Washington, DC 20202-4260.

Instructions for ED Budget Summary Form (SF-524)

General Instructions

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

<http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

You must consult with your Business Office prior to submitting this form.

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

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

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

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

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

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

Indirect Cost Information: If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government.

If you checked “no,” ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:

- a) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after ED issues a grant award notification; and
- b) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.

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

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

Section B - Budget Summary - Non-Federal Funds

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

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

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

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

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

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

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

requirement or provided as a voluntary cost-sharing or matching commitment, you must include:

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

[Please review ED’s general cost sharing and matching regulations, which include specific limitations, in 34 CFR 74.23, applicable to non-governmental entities, and 80.24, applicable to governments, and the applicable Office of Management and Budget (OMB) cost principles for your entity type regarding donations, capital assets, depreciation and use allowances. OMB cost principle circulars are available on OMB’s website at: <http://www.whitehouse.gov/omb/circulars/index.html>]

3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates 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.

INSTRUCTIONS FOR ED BUDGET SUMMARY FORM (SF-524)

General Instructions

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

<http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

You must consult with your Business Office prior to submitting this form.

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

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

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

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

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

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

Indirect Cost Information: If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government.

If you checked “no,” ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:

- c) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after ED issues a grant award notification; and
- d) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.

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

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

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

Section B - Budget Summary - Non-Federal Funds

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

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

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

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

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

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

6. 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.
7. For non-Federal funds or resources listed in Section B that are used to meet a cost-sharing or matching requirement or provided as a voluntary cost-sharing or matching commitment, you must include:
 - a. The specific costs or contributions by budget category;

b. The source of the costs or contributions; and

c. In the case of third-party in-kind contributions, a description of how the value was determined for the donated or contributed goods or services.

[Please review ED’s general cost sharing and matching regulations, which include specific limitations, in 34 CFR 74.23, applicable to non-governmental entities, and 80.24, applicable to governments, and the applicable Office of Management and Budget (OMB) cost principles for your entity type regarding donations, capital assets, depreciation and use allowances. OMB cost principle circulars are available on OMB’s website at: <http://www.whitehouse.gov/omb/circulars/index.html>]

8. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
9. 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.

10. Provide other explanations or comments you deem necessary.

INSTRUCTIONS FOR DISCLOSURE OF LOBBYING ACTIVITIES (SF-LLL)

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

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

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first sub awardee of the prime is the 1st tier. Sub awards include but are not limited to subcontracts, sub grants 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.
 - 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).
10. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

ASSURANCES AND CERTIFICATIONS INSTRUCTIONS

GENERAL EDUCATION PROVISIONS ACT (GEPA) SECTION 427

***ALL APPLICANTS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

Section 427 requires each applicant to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This provision allows applicants discretion in developing the required description. The statute highlights six barriers that can impede equitable access or participation: **gender, race, national origin, color disability, or age**. Based on local circumstances, you should determine whether these or other barriers might prevent your teachers, etc. from such access or participation in the federally funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable in your circumstances.

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

First, applicants must **identify at least one barrier** that would prevent teachers, and other program beneficiaries from participating in grant activities. The statute highlights six types of barriers that can impede access to participation: **gender, race, national origin, color, disability, or age**. However, applicants can take a fairly broad view of what constitutes a barrier and may address a barrier that is not among these six. Nor does the barrier have to be related to an applicant's own operation or way of conducting business. The barrier could be an attitude or perception held by people that the grant project is intended to serve. For example, an organization could be free of any discriminatory policies but still have trouble getting immigrant parents involved because these parents are reluctant to work with any official group or agency.

Second, applicants must **explain what they will do to overcome the barrier**.

Here are two examples of identifying a barrier and its solution:

- **Barrier**—Low-income parents cannot participate in grant activities held in the evening at a local school because they lack babysitting and transportation.
Solution—Grant money will be spent to carry out a detailed plan (explained within the applicant's GEPA statement) to help the parents overcome their babysitting and transportation difficulties.
- **Barrier**—Sight impaired students cannot benefit from reading tutors paid for with grant money because the students are unable to use the books available during the tutoring sessions.
Solution—Grant money will pay for materials in Braille.

ASSURANCES- NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

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

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act

(40 U.S.C. §276c and 18 U.S.C. §874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §4801 et seq.) which prohibits the use of

lead-based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

GRANTS.GOV LOBBY FORM (FORMERLY ED 80-0013 FORM)

Certification for Contracts, Grants, Loans and Cooperative Agreements.

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person 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 the awarding of any Federal contract, the making of any Federal grant, the making of any Federal Loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.
- (2) If any funds other Federal appropriated funds have been paid or will be paid to any person 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 this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form – LLL, “Disclosure of Lobbying Activities,” in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance.

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee or any agency, a member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, “Disclosure of Lobbying Activities,” in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

B. APPLICATION NARRATIVE INSTRUCTIONS

INSTRUCTIONS FOR PROJECT NARRATIVE

Applicants applying for CSP grant funds must address the application requirements, and the selection criteria. In addition, they may respond to one or all of the competitive preference priorities. An applicant may choose to respond to the application requirement in the context of its responses to the selection criteria but should note its location accordingly.

Priorities

The FY 2018 CSP Grants to State Entities NIA includes six Competitive Preference Priorities. All Priorities are explained in detail in the NIA.

Selection Criteria

The Project Narrative should describe the project that an applicant would carry out if funded and include the eligible applicant's response to the Selection Criteria since the application will be evaluated and scored against these criteria. The maximum possible score for each criterion is indicated in the NIA.

Requirements

The FY 2018 State entities Competition NIA includes numerous application requirements. Applicants are required to respond to all application requirements within the project narrative. These Application Requirements can be found in checklist form on page 61 of this document.

Formatting

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

Page Limits

We recommend that eligible applicants limit the Project Narrative to no more than **60 pages**. Narratives should be **double-spaced, and the pages numbered consecutively**. Please provide any charts, graphs, citations, or examples in the project narrative. Refer to the Federal Register Notice for additional application submission requirements. The Table of Contents and attachments do not count against the recommended page limit.

To facilitate the review of the application, please organize your Project Narrative in the following order and include a Table of Contents.

- **Competitive Priorities (optional)**
- **Selection Criteria**
- **Application Requirements**

FY 2018 PRIORITIES

The FY 2018 State Entities Competition identifies six Competitive Preference Priorities. These priorities will apply to grants awarded under this competition in FY 2018 and any subsequent year in which we make awards from the list of unfunded applications from this competition. **While the information below is provided for applicants' convenience, applicants should be sure to review the full Notice Inviting Applications for this competition in the Federal Register.**

Competitive Preference Priorities (Optional)

In order to receive points under these competitive preference priorities, the applicant should identify the priority or priorities that it believes it meets and provide documentation supporting its claims. The maximum total competitive preference points an application can receive for this competition is 25.

Competitive Preference Priority 1--At Least One Authorized Public Chartering Agency Other than a Local Educational Agency, or an Appeals Process (0 or 2 points): To meet this priority, an applicant must demonstrate that it is located in a State that--

(a) Allows at least one entity that is not a local educational agency (LEA) to be an authorized public chartering agency for developers seeking to open a charter school in the State; or

(b) In the case of a State in which LEAs are the only authorized public chartering agencies, the State has an appeals process for the denial of an application for a charter school.

Competitive Preference Priority 2--Equitable Financing (up to 6 points): To be eligible to receive points under this priority, an applicant must demonstrate the extent to which the State in which it is located ensures equitable financing, as compared to traditional public schools, for charter schools and students in a prompt manner.

Competitive Preference Priority 3--Charter School Facilities (up to 6 points): To be eligible to receive points under this priority, an applicant must demonstrate the extent to which the State in which it is located provides charter schools one or more of the following:

- (a) Funding for facilities;
- (b) Assistance with facilities acquisition;
- (c) Access to public facilities;
- (d) The ability to share in bonds or mill levies;
- (e) The right of first refusal to purchase public school buildings; or
- (f) Low- or no-cost leasing privileges.

Competitive Preference Priority 4--Best Practices to Improve Struggling Schools and LEAs (up to 3 points): To be eligible to receive points under this priority, an applicant must demonstrate the extent to which the State in which it is located uses best practices from charter schools to help improve struggling schools and LEAs.

Competitive Preference Priority 5--Serving At-Risk Students (up to 3 points): To be eligible to receive points under this priority, an applicant must demonstrate the extent to which it supports charter schools

that serve at-risk students through activities such as dropout prevention, dropout recovery, or comprehensive career counseling services.

Competitive Preference Priority 6--Best Practices for Charter School Authorizing (up to 5 points): To be eligible to receive points under this priority, an applicant must demonstrate the extent to which it has taken steps to ensure that all authorized public chartering agencies implement best practices for charter school authorizing.

Note: We are interpreting “best practices for charter school authorizing” as including, but not limited to, the practices for monitoring of charter schools described in the Charter School Program Assurance E found in Appendix A.

FY 2018 SELECTION CRITERIA

The selection criteria for this competition are from section 4303(g)(1) of the ESEA (20 U.S.C. 7221b(g)(1)) and the NFP. The maximum possible score for addressing all of the criteria in this section is 100 points. The maximum possible score for addressing each criterion is indicated in parentheses following the criterion.

The selection criteria for applicants submitting applications under CFDA number 84.282A are listed below for your convenience. **While the information below is provided for applicants' convenience, applicants should be sure to review the full Notice Inviting Applications for this competition in the Federal Register.**

- a) Quality of the Project Design (up to 15 points).** The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers:
- (1) The extent to which the proposed project demonstrates a rationale (up to 10 points); and
 - (2) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable (up to 5 points).
- b) Objectives (up to 20 points):** The ambitiousness of the State entity's objectives for the quality charter school program carried out under the CSP State Entities program. **Note:** In response to this criterion, an applicant may address (or cross reference) some or all of the components of application requirements (I)(A)-(G) in this notice, which require the applicant to provide a description of the State entity's objectives in running a quality charter school program and how the objectives of the program will be carried out.
- c) Quality of Eligible Subgrant Applicants (up to 15 points):** The likelihood that the eligible applicants receiving subgrants under the program will meet those objectives and improve educational results for students.
- d) State Plan (up to 20 points):** The State entity's plan to—
- (1) Adequately monitor the eligible applicants receiving subgrants under the State entity's program;
 - (2) Work with the authorized public chartering agencies involved to avoid duplication of work for the charter schools and authorized public chartering agencies; and
 - (3) Provide technical assistance and support for—
 - i. The eligible applicants receiving subgrants under the State entity's program; and
 - ii. Quality authorizing efforts in the State.
- e) Quality of the Management Plan (up to 15 points).** The Secretary considers the quality of the management plan for the proposed project. In determining the quality of the management plan for the proposed project, the Secretary considers:
- (1) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks (up to 10 points); and

(2) The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project (up to 5 points).

f) Parent and Community Involvement (up to 10 points): The State entity's plan to solicit and consider input from parents and other members of the community on the implementation and operation of charter schools in the State.

g) Flexibility (up to 5 points): The degree of flexibility afforded by the State's charter school law and how the State entity will work to maximize the flexibility provided to charter schools under such law.

APPLICATION REQUIREMENTS

These application requirements are from sections 4303(f) of the ESEA. The Department will reject an application that does not meet the application requirements. An applicant may choose to respond the application requirements in the context of its responses to the priorities or selection criteria when applicable but should note where their response can be found in response to each application requirement.

(I) Description of Program -- A description of the State entity’s objectives in running a quality charter school program and how the objectives of the program will be carried out, including--

	(A) A description of how the State entity will--
<input type="checkbox"/>	(1) Support the opening of charter schools through the startup of new charter schools and, if applicable, the replication of high-quality charter schools, and the expansion of high-quality charter schools (including the proposed number of new charter schools to be opened, high-quality charter schools to be opened as a result of the replication of a high-quality charter school, or high-quality charter schools to be expanded under the State entity’s program);
<input type="checkbox"/>	(2) Inform eligible charter schools, developers, and authorized public chartering agencies of the availability of funds under the program;
<input type="checkbox"/>	(3) Work with eligible applicants to ensure that the eligible applicants access all Federal funds that such applicants are eligible to receive, and help the charter schools supported by the applicants and the students attending those charter schools --
<input type="checkbox"/>	a. Participate in the Federal programs in which the schools and students are eligible to participate;
<input type="checkbox"/>	b. Receive the commensurate share of Federal funds the schools and students are eligible to receive under such programs; and
<input type="checkbox"/>	c. Meet the needs of students served under such programs, including "students with disabilities" and "English learners" (as defined in the notice);
<input type="checkbox"/>	(4) Ensure that authorized public chartering agencies, in collaboration with surrounding local educational agencies where applicable, establish clear plans and procedures to assist students enrolled in a charter school that closes or loses its charter to attend other high-quality public schools;
<input type="checkbox"/>	(5) In the case of a State entity that is not a State educational agency--
<input type="checkbox"/>	a. Work with the State educational agency and charter schools in the State to maximize charter school participation in Federal and State programs for which charter schools are eligible; and
<input type="checkbox"/>	b. Work with the State educational agency to operate the State entity’s program under this competition, if applicable;
<input type="checkbox"/>	(6) Ensure that each eligible applicant that receives a subgrant under the State entity’s program--
<input type="checkbox"/>	a. Is using funds provided under this competition for one of the activities described in section 4303(b)(1) of the ESEA; and
<input type="checkbox"/>	b. Is prepared to continue to operate charter schools funded under this competition in a manner consistent with the eligible applicant’s application for such subgrant once the subgrant funds under this program are no longer available;
<input type="checkbox"/>	(7) Support ----
<input type="checkbox"/>	a. Charter schools in local educational agencies with a significant number of schools identified by the State for comprehensive support and improvement under section 1111(c)(4)(D)(i) of the ESEA; and
<input type="checkbox"/>	b. The use of charter schools to improve struggling schools, or to turn around struggling schools;

<input type="checkbox"/> <input type="checkbox"/>	<p>(8) Work with charter schools on--</p> <ul style="list-style-type: none"> a. Recruitment and enrollment practices to promote inclusion of all students, including by eliminating any barriers to enrollment for educationally disadvantaged students (who include foster youth and unaccompanied homeless youth); and b. Supporting all students once they are enrolled to promote retention, including by reducing the overuse of discipline practices that remove students from the classroom;
<input type="checkbox"/>	<p>(9) Share best and promising practices between charter schools and other public schools;</p>
<input type="checkbox"/>	<p>(10) Ensure that charter schools receiving funds under the State entity's program meet the educational needs of their students, including "children with disabilities" (as defined in the notice) and English learners;</p>
<input type="checkbox"/>	<p>(11) Support efforts to increase charter school quality initiatives, including meeting the quality authorizing elements described in section 4303(f)(2)(E) of the ESEA;</p>
<input type="checkbox"/> <input type="checkbox"/>	<p>(12)</p> <ul style="list-style-type: none"> a. In the case of a State entity that is not a "charter school support organization" (as defined in the notice), a description of how the State entity will provide oversight of authorizing activity, including how the State will help ensure better authorizing, such as by establishing authorizing standards that may include approving, monitoring, and re-approving or revoking the authority of an authorized public chartering agency based on the performance of the charter schools authorized by such agency in the areas of student achievement, student safety, financial and operational management, and compliance with all applicable statutes and regulations; and b. In the case of a State entity that is a charter school support organization, a description of how the State entity will work with the State to support the State's system of technical assistance and oversight, as described in application requirement (I)(A)(12)(a) above, of the authorizing activity of authorized public chartering agencies; and
<input type="checkbox"/>	<p>(13) Work with eligible applicants receiving a subgrant under the State entity's program to support the opening of new charter schools or charter school models described in application requirement (I)(A)(1) that are high schools;</p>
<p><i>(B) A description of the extent to which the State entity --</i></p>	
<input type="checkbox"/>	<p>(1) Is able to meet and carry out competitive preference priorities 1 through 6;</p>
<input type="checkbox"/>	<p>(2) is working to develop or strengthen a cohesive statewide system to support the opening of new charter schools and, if applicable, the replication of high-quality charter schools, and the expansion of high-quality charter schools; and</p>
<input type="checkbox"/>	<p>(3) is working to develop or strengthen a cohesive strategy to encourage collaboration between charter schools and local educational agencies on the sharing of best practices;</p>
<p><i>(C) A description of how the State entity will award subgrants, on a competitive basis, including --</i></p>	
<input type="checkbox"/>	<p>(1) A description of the application each eligible applicant desiring to receive a subgrant will be required to submit and how the State entity will ensure that such application complies with section 4303(f)(1)(C)(i) of the ESEA; and</p>
<input type="checkbox"/>	<p>(2) A description of how the State entity will review applications from eligible applicants;</p>
<input type="checkbox"/>	<p><i>(D) In the case of a State entity that partners with an outside organization to carry out the State entity's quality charter school program in whole or in part, a description of the roles and responsibilities of the partner;-</i></p>

<input type="checkbox"/>	<p><i>(E) A description of how the State entity will ensure that each charter school receiving funds under the State entity's program has considered and planned for the transportation needs of the school's students;</i></p>
<input type="checkbox"/>	<p><i>(F) A description of how the State in which the State entity is located addresses charter schools in the State's open meetings and open records laws; and</i></p>
<input type="checkbox"/>	<p><i>(G) A description of how the State entity will support diverse charter school models, including models that serve rural communities.</i></p>

(II) Assurances --

<input type="checkbox"/>	<p><i>Recipients of the Charter Schools Program Grants to State Entities must provide assurances as outlined in the notice. The assurance document that must be signed and submitted can be found on page 70 of this application package.</i></p>
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(III) Requests for information about waivers, including--

<input type="checkbox"/>	<p><i>(A) A request and justification for waivers of any Federal statutory or regulatory provisions that the State entity believes are necessary for the successful operation of the charter schools that will receive funds under the State entity's program under section 4303 of the ESEA or, in the case of a State entity that is a charter school support organization, a description of how the State entity will work with the State to request such necessary waivers, where applicable; and</i></p>
<input type="checkbox"/>	<p><i>(B) A description of any State or local rules, generally applicable to public schools, that will be waived or otherwise not apply to such schools.</i></p>

GRANTEE REPORTING AND PERFORMANCE MEASURES

Reporting:

At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as specified by the Secretary in 34 CFR 75.118. For specific requirements on grantee reporting, please refer to the ED Performance Report Form ED 524B at:

<https://www2.ed.gov/fund/grant/apply/appforms/appforms.html>.

Performance Measures:

(a) Program Performance Measures (GPRA). The goal of the CSP is to support the creation and development of a large number of high-quality charter schools that are free from State or local rules that inhibit flexible operation, are held accountable for enabling students to reach challenging State performance standards, and are open to all students. The Secretary has set two performance indicators to measure this goal:

- i. The number of charter schools in operation around the Nation;
- ii. The percentage of fourth-and-eighth grade charter school students who are achieving at or above the proficient level on State examinations in mathematics and reading/language arts.

Additionally, the Secretary has established the following measure to examine the efficiency of the CSP:

- iii. Federal cost per student in implementing a successful school (defined as a school in operation for three or more years).

All grantees will be expected to submit an annual performance report documenting their contribution in assisting the Department in meeting these program performance measures (GPRA).

(b) Project-Specific Performance Measures. **Applicants 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):

- (1) Performance measures. How each proposed performance measure would accurately measure the performance of the project and how the proposed performance measure would be consistent with the performance measures established for the program funding the competition.
- (2) 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.
- (3) 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).

Note: The Secretary encourages applicants to consider developing project-specific performance measures and targets tied to their grant activities as well as to student academic achievement during the grant period. The project-specific performance measures should be sufficient to gauge the progress throughout the grant period, show results by the end of the grant period, and be included in the **logic**

model as referred to in Selection Criterion (a) *Quality of the Project Design*, (1) demonstrates a rationale as defined in the FY 2018 NIA..

(4) Data Collection. The applicant must also describe in the application: (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.

Note: If the applicant does not have experience with collection and reporting of performance data through other projects or research, the applicant should provide other evidence of capacity to successfully carry out data collection and reporting for their proposed project. All grantees must submit an annual performance report with information that is responsive to these performance measures. ***If you will be unable to report on a measure annually it should not be identified as a project-specific performance measure.***

Note: For technical assistance in developing effective performance measures, applicants are encouraged to review information provided by the Department's Regional Educational Laboratories (RELs). The RELs seek to build the capacity of States and school districts to incorporate data and research into education decision-making. Each REL provides research support and technical assistance to its region but makes learning opportunities available to educators everywhere. For example, the REL Northeast and Islands has created the following resource on logic models: <http://relpacific.mcrel.org/resources/elm-app/>.

For additional guidance on creating strong application objectives and performance measures, please review the following sections in the FY 2018 NIA: Definitions.

INSTRUCTIONS FOR BUDGET NARRATIVE

Before preparing the budget narrative, **applicants should review the Federal Register notice inviting applications**, the instructions for ED 524 Section C, Budget Narrative and the program statute for specific guidance and requirements. Note that applications will be evaluated according to the specific selection criteria specified in the Federal Register notice. **Attachments must be in .PDF format.**

The Budget Narrative Form should include the eligible applicant's itemized budget breakdown, and justification by project year, aligned with the budget included on the ED 524 form. If applicable to this program, provide the rate and base on which fringe benefits are calculated. Please check all figures and combined totals in the budget narrative, and compare the amounts with those reflected on the ED 524.

The budget should include only costs that are allowable, reasonable, and necessary for carrying out the objectives of the grant project. Rules about allowability of costs are contained both in EDGAR and in the Uniform Guidance (2 C.F.R. § 200). The Uniform guidance streamlines and consolidates government requirements for receiving and using federal awards so as to reduce administrative burden and improve outcomes. It was published in the Federal Register (79 Fed. Reg. 75871) on December 19, 2014, and became effective for new and continuation awards issued on or after December 26, 2014. Additional Information can be found in the following link: <http://www2.ed.gov/policy/fund/guid/uniform-guidance/index.html>.

Applicants must complete ED 524 (in the standard forms section) for all budget years of the proposed project. Applicants must also provide a budget narrative that describes their proposed multiyear project activities and the costs associated with those activities as well as all costs associated with carrying out the proposed project. Section 75.112(b) of EDGAR requires applicants to present "a narrative that describes how and when, in each budget period of the project, the applicant plans to meet each objective of the project." EDGAR may be accessed at:

<http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

For each line item of Sections A (federal costs) of the Budget Form (ED 524), provide detailed costs (in dollars) accompanied by a narrative justification to support your request.

Note: There is no matching requirement under this program. If an applicant shows funding in Section B, they must meet this voluntary match if awarded.

Please check all figures and combined totals in the budget narrative, and compare the amounts with those reflected on the ED 524. **Note: The total amount budgeted per year should not include cents.**

Funding Restrictions. Grantees under this program:

- i. Must award subgrants to eligible applicants to enable eligible applicants to --
 - a. Open and prepare for the operation of new charter schools;
 - b. Open and prepare for the operation of replicated high-quality charter schools; or
 - c. Expand high-quality charter schools; and
- ii. Provide technical assistance to eligible applicants and authorized public chartering agencies in carrying out the activities described in (a), and work with authorized public chartering agencies in the State to improve authorizing quality, including developing capacity for, and conducting, fiscal oversight and auditing of charter schools.
- iii. May use grant funds for:
 - a. Preparing teachers, school leaders, and specialized instructional support personnel, including through paying the costs associated with --
 - i. Providing professional development; and

- ii. Hiring and compensating, during the eligible applicant's planning period specified in the application for subgrant funds that is required under this program, or more of the following:
 - 1. Teachers.
 - 2. School leaders
 - 3. Specialized instructional support personnel.
 - b. Acquiring supplies, training, equipment (including technology), and educational materials (including developing and acquiring instructional materials).
 - c. Carrying out necessary renovations to ensure that a new school building complies with applicable statutes and regulations, and minor facilities repairs (excluding construction).
 - d. Providing one-time, startup costs associated with providing transportation to students to and from the charter school.
 - e. Carrying out community engagement activities, which may include paying the cost of student and staff recruitment.
 - f. Providing for other appropriate, non-sustained costs related to the activities described in (i) and (ii) above when such costs cannot be met from other sources.
 - iv. May use **not less** than 90 percent of the grant funds to award subgrants to eligible applicants, in accordance with the quality charter school program described in the State entity's application pursuant to section 4303(f) of the ESEA, for activities related to opening and preparing for the operation of new charter schools or to replicate or expand high-quality charter schools.
 - v. May reserve **not less** than 7 percent of such funds to provide technical assistance to eligible applicants and authorized public chartering agencies in opening and preparing for the operation of new charter schools or to replicate or expand high-quality charter schools and in improving authorizing quality, including developing capacity for, and conducting, fiscal oversight and auditing of charter schools.
 - vi. May reserve **not more** than 3 percent of such funds for administrative costs, which may include technical assistance.
 - vii. Must attend a two-day meeting for project directors at a location in the continental U.S. during each year of the project. Applicants are encouraged to include the cost of attending this meeting in their proposed budget.
 - viii. May support charter schools that serve elementary and secondary school students in a given State. Charter schools receiving funds under the CSP State Entities program also may serve students in early childhood education programs or postsecondary students.

All charter school receiving CSP funds, as outlined in 4310(1)(G) of the ESEA, must comply with various non-discrimination laws, including the Age Discrimination Act of 1975, title VI of the Civil Rights Act of 1964, title IX of the Education Amendments of 1972, section 504 of the Rehabilitation Act of 1973, part B of the Individuals with Disabilities Education Act (specifies rights afforded to students with disabilities and their parents), and applicable State laws.

INSTRUCTIONS FOR COMPLETING THE BUDGET NARRATIVE.

Provide an itemized budget breakdown, and justification by project year, for each budget category and item listed in Section A of the ED 524 (and Section B, if applicable). Provide other budget explanations or comments deemed necessary and ensure that the total amount budget per year does not include cents.

Personnel (Line 1): Provide each project personnel's base salary and wages and FTE.

Fringe Benefits (Line 2): If applicable to this program, provide the rate and base on which fringe benefits are calculated and identify the staff who are receiving the benefits. Leave this line blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect costs.

Travel (Line 3): Indicate the travel costs of employees and participants only. Provide a breakdown of the costs associated with each trip and justification for the costs. In addition, eligible applicants should include costs for at least one project staff person (project director) to attend an annual 2-day project directors meeting in Washington, DC.

Equipment (Line 4): Indicate the cost of tangible, non-expendable personal property that has 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. Indicate the amount of equipment that is being purchased, the cost per unit, and the justification of purchases that links to the project narrative.

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. Applicants should provide a breakdown of how supplies costs are determined.

Contractual (Line 6): The contractual category should include all costs specifically incurred with actions that the applicant takes in conjunction with an established 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. Identify who is being contracted with, the amount of the contract (this should include a breakdown of the major service components of the contract and the costs of each portion) and an explanation of what the services are being provided by the contractor. **Note: Subgrantee awards should be included in the "Other" budget category.**

Construction (Line 7): Not applicable.

Other (Line 8): Indicate a breakdown of number of subgrants per year as well as the amount of each award or range, if applicable, per year. *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.

NOTE: If you have questions about obtaining an approved Indirect Cost Rate or applying your Indirect Cost Rate, you may contact a cost negotiator using the information provided at the following URL: <http://www2.ed.gov/about/offices/list/ocfo/fipao/icgreps.html>. If you have further questions about Indirect Cost rates, please refer to 2 CFR 200.56.

Training Stipends (Line 11): Indicate the amount of stipend, the number of grant participants receiving the stipends and the justification for the stipend. Please make sure that training stipends are placed under this line item and not under "Personnel" or "Other."

Total Cost (Line 12): This should equal to sum of lines 9-11 (total direct costs + indirect + training stipends).

Please note that a budget justification should be provided for both Federal costs and Non-Federal costs (if applicable).

OTHER ATTACHMENTS/APPENDIX

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 (e.g., Appendix A Charter School Program Assurances) and upload the file to the Other Attachments Form. The Other Attachments Form can support up to ten attachments, therefore please merge appendices into one document as necessary.

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

- Appendix A** **Charter Schools Program Assurances:** Include a signed copy of the Charter School Program Assurances – State Entities included on page 70 of this document.
- Appendix B** **Resumes/Curriculum Vitae:** Provide resumes/curriculum vitae for the project director as well as any key personnel identified in the application.
- Appendix C** **Letters of Support:** If applicable, provide letters of support for the project.
- Appendix D** **Proof of Nonprofit Status:** Nonprofit 501(c)(3) status (if applicable)
- Appendix E** **Proprietary Information:** Applicant’s list of proprietary information found in the application, if applicable. Applicants should identify the specific information and page numbers in the application where it can be found.
- Appendix F** **Additional Information:** Provide any additional information needed and label Appendix E Additional Information when uploading.

EXPANDING OPPORTUNITY THROUGH QUALITY CHARTER SCHOOLS PROGRAM (CSP)

GRANTS TO STATE ENTITIES

ASSURANCES

Pursuant to section 4303(f)(2) of the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act (ESEA), and sections 200.302(a) and 200.331(d) of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance), recipients of Grants to State Entities must provide the assurances described below.

As the duly authorized representative of the grantee, I certify to the following:

- (A) Each charter school receiving funds through the State entity's program will have a high degree of autonomy over budget and operations, including autonomy over personnel decisions;
- (B) The State entity will support charter schools in meeting the educational needs of their students, including children with disabilities and English learners;
- (C) The State entity will ensure that the authorized public chartering agency of any charter school that receives funds under the State entity's program adequately monitors each charter school under the authority of such agency in recruiting, enrolling, retaining, and meeting the needs of all students, including children with disabilities and English learners;
- (D) The State entity will provide adequate technical assistance to eligible applicants to meet the objectives described in section 4303(f)(1)(A)(viii) and (f)(2)(B) of the ESEA;
- (E) The State entity will promote quality authorizing, consistent with State law, such as through providing technical assistance to support each authorized public chartering agency in the State to improve such agency's ability to monitor the charter schools authorized by the agency, including by--
 - 1) Assessing annual performance data of the schools, including, as appropriate, graduation rates, student academic growth, and rates of student attrition;
 - 2) Reviewing the schools' independent, annual audits of financial statements prepared in accordance with generally accepted accounting principles, and ensuring that any such audits are publically reported; and
 - 3) Holding charter schools accountable to the academic, financial, and operational quality controls agreed to between the charter school and the authorized public chartering agency involved, such as through renewal, non-renewal, or revocation of the school's charter;
- (F) The State entity will work to ensure that charter schools are included with the traditional public schools in decisionmaking about the public school system in the State; and
- (G) The State entity will ensure that each charter school receiving funds under the State entity's program makes publicly available, consistent with the dissemination requirements of the annual State report card under section 1111(h) of the ESEA, including on the website of the school, information to help parents make informed decisions about the education options available to their children, including--
 - 1) Information on the educational program;
 - 2) Student support services;

- 3) Parent contract requirements (as applicable), including any financial obligations or fees;
- 4) Enrollment criteria (as applicable); and
- 5) Annual performance and enrollment data for each of the subgroups of students, as defined in section 1111(c)(2) of the ESEA, except that such disaggregation of performance and enrollment data shall not be required in a case in which the number of students in a group is insufficient to yield statistically reliable information or the results would reveal personally identifiable information about an individual student.

(H) For a State entity that is a State educational agency, State charter school board or Governor of a State, the State entity will expend and account for the Federal award in accordance with State laws and procedures for expending and accounting for the State’s own funds. In addition, for all State entities, the State entity’s and other non-Federal entity’s financial management systems, including records documenting compliance with Federal statutes, regulations, and the terms and conditions of the Federal award, are sufficient to permit the preparation of reports required by general and program-specific terms and conditions; and the tracing of funds to a level of expenditures adequate to establish that such funds have been used according to the Federal statutes, regulations, and the terms and conditions of the Federal award.

(I) The State entity will monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved.

 NAME OF AUTHORIZED OFFICIAL

 TITLE

 SIGNATURE OF AUTHORIZED OFFICIAL

 DATE

 APPLICANT ORGANIZATION

 DATE SUBMITTED

VI. Additional Information

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/2017/11/Intergovernmental_Review_SPOC_01_2018_OFFM.pdf

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372—CFDA#84.282A. U.S. Department of Education, room 7E200, 400 Maryland Avenue, S.W., 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. The valid OMB control number for this information collection is 1894-0006. The time required to complete this information collection is estimated to average 60 hours 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 time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Charter Schools Program, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington DC 20202-5970.