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U.S. DEPARTMENT OF EDUCATION

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OFFICE OF INNOVATION AND IMPROVEMENT

WASHINGTON, D.C. 20202-5960

APPLICATION INSTRUCTIONS FOR GRANTS UNDER THE

**FY 2018 STATEWIDE  
FAMILY ENGAGEMENT  
CENTERS PROGRAM  
GRANT**



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CFDA Number: 84.310A

FORM APPROVED

OMB no. 1894-0006, Expiration Date: 01/31/2021

DATED MATERIAL – OPEN IMMEDIATELY

**CLOSING DATE: July 30, 2018**

## TABLE OF CONTENTS

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<b>Program Overview</b> .....	3
<b>Authorizing Legislation</b> .....	4
<b>Notice Inviting Applications</b> .....	8
<b>Grants.gov Submission Procedures &amp; Tips</b> .....	11
Application Tips.....	16
Instructions for D-U-N-S Number.....	17
<b>Instructions for Completing an Application</b> .....	18
Application Instructions .....	18
Instructions for ED Abstract Narrative .....	18
Instructions for Project Narrative .....	19
Competitive Preference Priority.....	20
Selection Criteria .....	20
Instructions for Budget Narrative.....	21
Instructions for Other Attachments (Appendices) .....	23
<b>Forms &amp; Instructions</b> .....	24
SF 424 Application Form for Federal Assistance .....	25
ED Supplemental Form SF 424 .....	27
ED 524 Budget Form.....	31
General Education Provisions Act (GEPA) Requirements- Section 427SF.....	32
SF 424B Assurances, Non-Construction Programs .....	34
SF -LLL Disclosure of Lobbying Activities .....	36
Grants.gov Lobby Form (Formerly ED 80-0013 Form) .....	37
Evidence Form (1894-0001) .....	38
<b>Executive Order 12372</b> .....	41
<b>Applicant Checklist</b> .....	42
<b>Paperwork Burden Statement</b> .....	43
<b>Electronic Notification for Grant Awards</b> .....	44

## PROGRAM OVERVIEW

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**Program Office:** Office of Innovation and Improvement (OII)

**Program Title:** Statewide Family Engagement Centers (SFEC)

**CFDA Number:** 84.310A

**Program Type:** Discretionary/Competitive Grants

**Program Description:** The purpose of the SFEC program is to provide financial support to organizations that provide technical assistance and training to State educational agencies (SEAs) and local educational agencies (LEAs) in the implementation and enhancement of systemic and effective family engagement policies, programs, and activities that lead to improvements in student development and academic achievement. The Secretary is authorized to award grants to statewide organizations (or consortia of such organizations) in partnership with an SEA to establish SFECs that (1) carry out parent education and family engagement in education programs, and (2) provide comprehensive training and technical assistance to SEAs, LEAs, schools identified by SEAs and LEAs, organizations that support family-school partnerships, and other such programs.

**Eligible Applicants:** Statewide organizations (or consortia of such organizations) in partnership with at least one SEA.

A Statewide organization means a public or private organization that--

- (1) Provides family engagement support or services;
- (2) Demonstrates capacity to provide such support or services statewide to all States participating in its proposed project; and
- (3) Is not an SEA or LEA.

Note: While each SFEC grantee must partner with at least one SEA, no SEA may partner with more than one SFEC grantee.

**Program Website:** <https://innovation.ed.gov/statewide-family-engagement-centers-program/>

**Program Contact:** Jane Hodgdon

**Program Email:** sfec@ed.gov

## AUTHORIZING LEGISLATION

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### ELEMENTARY AND SECONDARY EDUCATION ACT OF 1965, AS AMENDED (ESEA) TITLE IV, PART E—FAMILY ENGAGEMENT IN EDUCATION PROGRAMS

#### **SEC. 4501. (20 U.S.C. 7241) PURPOSES.**

The purposes of this part are the following:

- (1) To provide financial support to organizations to provide technical assistance and training to State educational agencies and local educational agencies in the implementation and enhancement of systemic and effective family engagement policies, programs, and activities that lead to improvements in student development and academic achievement.
- (2) To assist State educational agencies, local educational agencies, community-based organizations, schools, and educators in strengthening partnerships among parents, teachers, school leaders, administrators, and other school personnel in meeting the educational needs of children and fostering greater parental engagement.
- (3) To support State educational agencies, local educational agencies, schools, educators, and parents in developing and strengthening the relationship between parents and their children's school in order to further the developmental progress of children.
- (4) To coordinate activities funded under this part with parent involvement initiatives funded under section 1116 and other provisions of this Act.
- (5) To assist the Secretary, State educational agencies, and local educational agencies in the coordination and integration of Federal, State, and local services and programs to engage families in education.

#### **SEC. 4502. (20 U.S.C. 7242) GRANTS AUTHORIZED.**

- (a) STATEWIDE FAMILY ENGAGEMENT CENTERS.—From the amount appropriated under section 4506 and not reserved under subsection (d), the Secretary is authorized to award grants for each fiscal year to statewide organizations (or consortia of such organizations), to establish statewide family engagement centers that—
  - (1) carry out parent education, and family engagement in education, programs; or
  - (2) provide comprehensive training and technical assistance to State educational agencies, local educational agencies, schools identified by State educational agencies and local educational agencies, organizations that support family-school partnerships, and other organizations that carry out such programs.
- (b) MINIMUM AWARD.—In awarding grants under this section, the Secretary shall, to the extent practicable, ensure that a grant is awarded for a statewide family engagement center in an amount not less than \$500,000.
- (c) MATCHING FUNDS FOR GRANT RENEWAL.—Each organization or consortium receiving assistance under this part shall demonstrate that, for each fiscal year after the first fiscal year for which the organization or consortium is receiving such assistance, a portion of the services provided by the organization or consortium is supported through non-Federal contributions, which may be in cash or in-kind.
- (d) TECHNICAL ASSISTANCE.—The Secretary shall reserve not more than 2 percent of the funds appropriated under section 4506 to carry out this part to provide technical assistance, by

competitive grant or contract, for the establishment, development, and coordination of statewide family engagement centers.

**SEC. 4503. (20 U.S.C. 7243) APPLICATIONS.**

- (a) SUBMISSIONS.—Each statewide organization, or a consortium of such organizations, that desires a grant under this part shall submit an application to the Secretary at such time and in such manner as the Secretary may require, which shall include the information described in subsection (b).
- (b) CONTENTS.—Each application submitted under subsection (a) shall include, at a minimum, the following:
- (1) A description of the applicant’s approach to family engagement in education.
  - (2) A description of how the State educational agency and any partner organization will support the statewide family engagement center that will be operated by the applicant including a description of the State educational agency and any partner organization’s commitment of such support.
  - (3) A description of the applicant’s plan for building a statewide infrastructure for family engagement in education, that includes—
    - (A) management and governance;
    - (B) statewide leadership; or
    - (C) systemic services for family engagement in education.
  - (4) A description of the applicant’s demonstrated experience in providing training, information, and support to State educational agencies, local educational agencies, schools, educators, parents, and organizations on family engagement in education policies and practices that are effective for parents (including low-income parents) and families, parents of English learners, minorities, students with disabilities, homeless children and youth, children and youth in foster care, and migrant students, including evaluation results, reporting, or other data exhibiting such demonstrated experience.
  - (5) A description of the steps the applicant will take to target services to low-income students and parents.
  - (6) An assurance that the applicant will—
    - (A) establish a special advisory committee, the membership of which includes—
      - (i) parents, who shall constitute a majority of the members of the special advisory committee;
      - (ii) representatives of education professionals with expertise in improving services for disadvantaged children;
      - (iii) representatives of local elementary schools and secondary schools, including students;
      - (iv) representatives of the business community; and
      - (v) representatives of State educational agencies and local educational agencies;
    - (B) use not less than 65 percent of the funds received under this part in each fiscal year to serve local educational agencies, schools, and community-based organizations that serve high concentrations of disadvantaged students, including students who are English learners, minorities, students with disabilities, homeless children and youth, children and youth in foster care, and migrant students;

- (C) operate a statewide family engagement center of sufficient size, scope, and quality to ensure that the center is adequate to serve the State educational agency, local educational agencies, and community-based organizations;
  - (D) ensure that the statewide family engagement center will retain staff with the requisite training and experience to serve parents in the State;
  - (E) serve urban, suburban, and rural local educational agencies and schools;
  - (F) work with—
    - (i) other statewide family engagement centers assisted under this part; and
    - (ii) parent training and information centers and community parent resource centers assisted under sections 671 and 672 of the Individuals with Disabilities Education Act (20 U.S.C. 1471; 1472);
  - (G) use not less than 30 percent of the funds received under this part for each fiscal year to establish or expand technical assistance for evidence-based parent education programs;
  - (H) provide assistance to State educational agencies, local educational agencies, and community-based organizations that support family members in supporting student academic achievement;
  - (I) work with State educational agencies, local educational agencies, schools, educators, and parents to determine parental needs and the best means for delivery of services to address such needs;
  - (J) conduct sufficient outreach to assist parents, including parents who the applicant may have a difficult time engaging with a school or local educational agency; and
  - (K) conduct outreach to low-income students and parents, including low-income students and parents who are not proficient in English.
- (7) An assurance that the applicant will conduct training programs in the community to improve adult literacy, including financial literacy.
- (c) **PRIORITY.**—In awarding grants for activities described in this part, the Secretary shall give priority to statewide family engagement centers that will use funds under section 4504 for evidence-based activities, which, for the purposes of this part is defined as activities meeting the requirements of section 8101(21)(A)(i).

**SEC. 4504. (20 U.S.C. 7244) USES OF FUNDS.**

- (a) **IN GENERAL.**—Each statewide organization or consortium receiving a grant under this part shall use the grant funds, based on the needs determined under section 4503(b)(6)(I), to provide training and technical assistance to State educational agencies, local educational agencies, and organizations that support family-school partnerships, and activities, services, and training for local educational agencies, school leaders, educators, and parents—
- (1) to assist parents in participating effectively in their children’s education and to help their children meet challenging State academic standards, such as by assisting parents—
    - (A) to engage in activities that will improve student academic achievement, including understanding how parents can support learning in the classroom with activities at home and in after school and extracurricular programs;
    - (B) to communicate effectively with their children, teachers, school leaders, counselors, administrators, and other school personnel;

- (C) to become active participants in the development, implementation, and review of school-parent compacts, family engagement in education policies, and school planning and improvement;
  - (D) to participate in the design and provision of assistance to students who are not making academic progress;
  - (E) to participate in State and local decisionmaking;
  - (F) to train other parents; and
  - (G) in learning and using technology applied in their children’s education;
  - (2) to develop and implement, in partnership with the State educational agency, statewide family engagement in education policy and systemic initiatives that will provide for a continuum of services to remove barriers for family engagement in education and support school reform efforts; and
  - (3) to develop and implement parental involvement policies under this Act.
- (b) **RULE OF CONSTRUCTION.**—Nothing in this section shall be construed to prohibit a statewide family engagement center from—
- (1) having its employees or agents meet with a parent at a site that is not on school grounds; or
  - (2) working with another agency that serves children.
- (c) **PARENTAL RIGHTS.**—Notwithstanding any other provision of this section—
- (1) no person (including a parent who educates a child at home, a public school parent, or a private school parent) shall be required to participate in any program of parent education or developmental screening under this section; and
  - (2) no program or center assisted under this section shall take any action that infringes in any manner on the right of parents to direct the education of their children.

**SEC. 4505. (20 U.S.C. 7245) FAMILY ENGAGEMENT IN INDIAN SCHOOLS.**

The Secretary of the Interior, in consultation with the Secretary of Education, shall establish, or enter into contracts and cooperative agreements with, local tribes, tribal organizations, or Indian nonprofit parent organizations to establish and operate family engagement centers.

**SEC. 4506. (20 U.S.C. 7246) AUTHORIZATION OF APPROPRIATIONS.**

There are authorized to be appropriated to carry out this part \$10,000,000 for each of fiscal years 2017 through 2020.

## NOTICE INVITING APPLICATIONS

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### **2018 SFEC Notice Inviting Applications**

The full text of the Notice Inviting Applications (NIA) for the FY 2018 SFEC competition including all relevant deadlines can be found on the SFEC website at the following URL:

<https://innovation.ed.gov/statewide-family-engagement-centers-program/>

All SFEC applications must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system by **4:30:00 pm Washington, DC time on July 30, 2018**. 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.

After successfully submitting a Workspace application, a Grants.gov Tracking Number (GRANT062818-001) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

### **2018 Application Requirements**

The full set of application requirements that apply to the FY 2018 SFEC competition can be found in the NIA. Please note that several of these application requirements require applicants to assure that they will adhere to certain requirements if selected for funding, as required under section 4503(b) of the ESEA (see Application Requirements (f) and (g)). By submitting an application under this program, an applicant is assuring that it will meet those requirements, including:

(f) An assurance that they will--

(1) Establish a special advisory committee, the membership of which includes--

(i) Parents, who shall constitute a majority of the members of the special advisory committee;

(ii) Representatives of education professionals with expertise in improving services for disadvantaged children;

(iii) Representatives of local elementary schools and secondary schools, including students;

(iv) Representatives of the business community; and

(v) Representatives of SEAs and LEAs;

(2) Use not less than 65 percent of the funds received under this part in each fiscal year to serve LEAs, schools, and community-based organizations that serve high concentrations of disadvantaged students, including students who are English language learners, minorities, students with disabilities, homeless children and youth, children and youth in foster care, and migrant students;



- (3) Operate a SFEC of sufficient size, scope, and quality to ensure that the center is adequate to serve the SEA, LEAs, and community-based organizations;
- (4) Ensure that the SFEC will retain staff with the requisite training and experience to serve parents in the State;
- (5) Serve urban, suburban, and rural LEAs and schools;
- (6) Work with--
  - (i) Other SFECs assisted under this part; and
  - (ii) Parent training and information centers and community parent resource centers assisted under sections 671 and 672 of the Individuals with Disabilities Education Act (20 U.S.C. 1471; 1472); and
- (7) Use not less than 30 percent of the funds received under this competition for each fiscal year to establish or expand technical assistance for evidence-based (as defined in this notice) parent education programs;
- (8) Provide assistance to SEAs, LEAs, and community-based organizations that support family members in supporting student achievement;
- (9) Work with SEAs, LEAs, schools, educators, and parents to determine parental needs and the best means for delivery of services to address such needs;
- (10) Conduct sufficient outreach to assist parents, including parents who the applicant may have a difficult time engaging with a school or LEA; and
- (11) Conduct outreach to low-income students and parents, including low-income students and parents who are not proficient in English.

(g) An assurance that the applicant will conduct training programs in the community to improve adult literacy, including financial literacy.

### **2018 SFEC Application Package**

Please note that the SFEC Application Package is for applicants to download and use as a guide only. Unless the applicant qualifies for an exception to the electronic submission requirement, all SFEC grant applications must be submitted online using Workspace in Grants.gov.

### **Intent to Apply**

The Department encourages each potential applicant to notify us of the applicant's intent to submit an application by sending a short email message. This short email should provide the applicant organization's name and address. Please send this email notification to the contact under FOR FURTHER INFORMATION CONTACT with "Intent to Apply" in the email subject line. Applicants that do not complete the Intent to Apply may still submit an application. Please submit the email no later than July 13, 2018.

**Apply!**

A Grants.gov applicant must apply online using Workspace. Instructions on getting started on your Workspace Application can be found on the Grants.gov website here:

<https://www.grants.gov/web/grants/applicants/workspace-overview.html>. For access to complete instructions on how to apply, refer to: [www.grants.gov/web/grants/applicants/apply-for-grants.html](http://www.grants.gov/web/grants/applicants/apply-for-grants.html).

Funding Opportunity Number: ED-GRANTS- 062818-001

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.

# GRANTS.GOV SUBMISSION PROCEDURES & TIPS FOR APPLICANTS

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## IMPORTANT – PLEASE READ FIRST

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

### Browser Support

The latest versions of Microsoft Internet Explorer (IE), Mozilla Firefox, Google Chrome, and Apple Safari are supported for use with Grants.gov. However, these web browsers undergo frequent changes and updates, so we recommend you have the latest version when using Grants.gov. Legacy versions of these web browsers may be functional, but you may experience issues.

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

### ATTENTION – Workspace, Adobe Forms and PDF Files Required

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

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

- 1) Create a Workspace: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
- 2) Complete a Workspace: Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.

a. Adobe Reader: If you decide not to apply by filling out web forms you can download individual PDF forms in Workspace. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

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

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

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

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

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

### Helpful Reminders

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

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

## **SAM.gov ALERT**

If you are registering a new entity in SAM.gov, you must provide an original, signed notarized letter stating that you are the authorized Entity Administrator before your registration will be activated. Read the FAQs to learn more about this process change.

Additionally, beginning on April 27, 2018, entities renewing or updating their registration will be required to submit an original, signed notarized letter confirming the authorized Entity Administrator associated with the DUNS number before the registration is activated.

*Please begin the SAM registration, including any necessary renewals or updates, as soon as possible. Also, please alert the ED contact for this competition ([sfec@ed.gov](mailto:sfec@ed.gov)) if you experience any delays due to the requirement to submit a notarized letter designating an Entity Administrator.*

**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.**

- 2) **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 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, D.C. time, on the deadline date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site:

<http://www.grants.gov/web/grants/applicants/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: <mailto:support@grants.gov> or access the Grants.gov Self-Service Knowledge Base web portal at: <https://grants-portal.psc.gov/Welcome.aspx?pt=Grants>

If electronic submission is required, you must submit an electronic application before 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 go to <http://www.grants.gov/web/grants/support.html> for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Applicant FAQs found at this Grants.gov link: <http://www.grants.gov/web/grants/applicants/applicant-faqs.html> as well as additional information on Workspace at <https://www.grants.gov/web/grants/applicants/applicant-faqs.html#workspace>.

### **Dial-Up Internet Connections**

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

### **Attaching Files – Additional Tips**

Please note the following tips related to attaching files to your application, especially the requirement that applicants **only include read-only, flattened .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, flattened format**. PDF files are the only Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are not .PDF files or are password protected files will not be read.
- Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
- When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded file names must be fewer than 50 characters, and, in general, applicants should not use any special characters. However, Grants.gov does allow for the following UTF-8 characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.
- Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package with all attachments is less than 5 MB. Therefore, you may want to check the total size of your package before submission.

## APPLICATION TIPS

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- 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
- 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). You must be “active” in order to submit an application on behalf of the organization.
- IV. Carefully review the FY2018 NIA for eligibility requirements.
- V. 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.
- VI. 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 may not convert in a legible manner and, in these instances, cannot be reviewed. Ensure that you attach **.PDF files only** for any attachments to your application, and they must be in a **read-only, flattened format**. PDF files are the only Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are not .PDF files or are password protected files will not be read.
- VII. Submit early on Grants.gov. Applications must be finished uploading, and be validated by the Grants.gov system, by 4:30:00pm, Washington, DC, time on the application deadline. 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 4:30:00pm 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.
- VIII. 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 closing date will be peer reviewed.
- IX. **NOTE:** Applicants will receive multiple emails to confirm submission in Grants.gov, validation, and transmission to the 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. Please review the email carefully to ensure that you submitted the application under the intended competition.



## **INSTRUCTIONS FOR D-U-N-S NUMBER**

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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 DUNS number before contacting Dun & Bradstreet.

Please provide the applicant's DUNS number. You can obtain your DUNS 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](http://www.dnb.com/US/duns_update/index.html)

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

Dun & Bradstreet, a global information services provider, has assigned DUNS numbers to over 43 million companies worldwide.

For live help Monday-Friday 9am-6pm (EST) dial 1-888-814-1435.

**NOTE:** Electronic submission via Grants.gov must use the DUNS number your organization used when it registered in the Central Contractor Registry.

## INSTRUCTIONS FOR COMPLETING AN APPLICATION

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Carefully read the entire application package, the Federal Register notice, and the authorizing legislation.

### **APPLICATION INSTRUCTIONS: Attachment Forms**

Applicants applying for the SFEC program will use the following Grants.gov and ED narrative attachment forms:

[ED Abstract Narrative Attachment Form](#)

[Project Narrative Attachment Form](#)

[Budget Narrative Attachment Form](#)

[Other Attachments Form](#)

The [ED Abstract Narrative Attachment Form](#) is where you will attach your one-page program abstract.

The [Project Narrative Attachment Form](#) is where the applicant will attach the narrative sections addressing the Selection Criteria and, if relevant, one or two of the Competitive Preference Priorities.

The [Budget Narrative Attachment Form](#) is where the applicant will attach a detailed line-item budget and any supplemental budget information. Matching funds are required in years two through five for the SFEC program.

The [Other Attachments Form](#) is where the applicant will attach proposal appendices. This is where you will include information such as the signed preliminary memorandum of understanding, logic model, resumes/curriculum vitae of key personnel, letters or support, etc. The Grants.gov system will allow applicants to attach as many as ten separate appendices in this section.

Please complete the SF 424 first. Grants.gov will automatically insert the correct CFDA (84.310A) and program name wherever needed thereafter.

NOTE: Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424).

### **INSTRUCTIONS FOR ED ABSTRACT NARRATIVE**

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The abstract narrative must not exceed one page and should use language that will be understood by a range of audiences. The abstract should include the following items: project title, project goals and expected outcomes, brief project description, key partner organizations, and an identification of any competitive preference priorities for which the applicant is applying.

## **INSTRUCTIONS FOR PROJECT NARRATIVE**

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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. Also, the narrative should address any competitive preference priority for which the applicant is applying.

The NIA provides applicants with instructions for preparing and submitting the application, information describing the competitive preference priorities that have been established for this competition, the selection criteria that will be used to evaluate the application, and other pertinent information concerning the competition for awards.

It is expected that applicants will use the selection criteria to frame their project narratives. Make sure your narrative addresses all of the elements.

A note about evaluation: A strong evaluation plan should be included in the application narrative and should be used, as appropriate, to shape the development of the project from the beginning of the grant period. The plan should include benchmarks to monitor progress toward specific project objectives and also outcome measures to assess the impact on teaching and learning or other important outcomes for project participants. More specifically, the plan should identify the individual and/or organization that have agreed to serve as evaluator for the project and describe the qualifications of that evaluator. The plan should describe the evaluation design, indicating: (1) what types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports of results and outcomes will be available; and (7) how the applicant will use the information collected through the evaluation to monitor progress of the funded project and to provide accountability information both about success at the initial site and effective strategies for replication in other settings. Applicants are encouraged to devote an appropriate level of resources to project evaluation.

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

### **Formatting**

We suggest you limit the project narrative to the equivalent of no more than 40 pages, using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, except titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures and graphs.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).

- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

### **Competitive Preference Priorities**

For the purpose of this application, the Department has established two competitive preference priorities under the SFEC Program for the FY 2018 grant competition. Under 34 CFR 75.105(c)(2)(i), we award an additional three points to an application that meets either Competitive Preference 1(a) or Competitive Preference Priority 1(b), and we award up to an additional three points to an application depending on how well the application meets Competitive Preference Priority 2, for a maximum of six additional points under these priorities.

#### Competitive Preference Priority 1 (0 or 3 points).

The Secretary gives priority to projects that are designed to--

(a) Create SFECs that will provide direct services to parents and families through evidence-based (as defined in this notice) activities.

(b) Provide families with evidence-based (as defined in this notice) strategies for promoting literacy. This may include providing families with access to books or other physical or digital materials or content about how to support their child's reading development, or providing family literacy activities (as defined in section 203(9) of the Workforce Innovation and Opportunity Act).

Note: An application will not receive points for both (a) and (b) under Competitive Preference Priority 1.

Please note that applicants responding to Competitive Preference Priority 1(a) or (b) may choose to submit the Department of Education Evidence Form (1894-0001) in Grants.gov with their application. It is not a required form. Applicants may find this form helpful in identifying the level of evidence and citation of studies that support the selection of the activity, strategy, or intervention included in the project. This form is discussed below in the "Forms and Instructions" section of the application instructions.

#### Competitive Preference Priority 2 (up to 3 points).

The Secretary gives priority to projects that are designed to provide families with the information and tools they need to make important decisions regarding the educational choice (as defined in this notice) that is most appropriate for their children.

### **Selection Criteria**

The selection criteria outlined below will be used to evaluate the quality of applications submitted for funding. The full description of the selection criteria is contained in the Notice Inviting Applications. Within each criterion, there are specific factors that will be used in evaluating that criterion. In addition, the applicant should note the earlier discussion regarding addressing the required program components and authorized activities when responding to the selection criteria.

The maximum score that an applicant can earn for the selection criteria is 100 points. The maximum score for each criterion is indicated in parentheses following that criterion.

Quality of Project Design	(30)
Quality of the Management Plan and Project Personnel	(20)
Adequacy of Resources	(20)
Quality of the Project Evaluation	(30)

**We refer you to the NIA for a full description of each selection criterion and its subfactors. Applicants are strongly encouraged to carefully read each criterion and its subfactors when preparing their applications. These are the criteria that will be used to review and score applications.**

### **INSTRUCTIONS FOR BUDGET NARRATIVE**

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Before preparing the budget narrative, applicants should review the Federal Register notice and the authorizing legislation for specific guidance and requirements. Note that applications will be evaluated according to the specific selection criteria specified in the Federal Register notice.

The budget should include only costs that are allowable, reasonable, and necessary for carrying out the objectives of the SFEC project. Rules about allowable costs are set out in 2 CFR Part 200<sup>1</sup>, as adopted by the Department at 2 CFR Part 3474.<sup>2</sup>

Provide an itemized budget breakdown narrative, by project year, for each budget category listed in Section A of the ED 524 form. The project period is 5 years. Applicants must include all 5 years in their budget request. The budget and budget narrative must demonstrate the SFEC requirement for a 15% non-Federal matching contribution in years 2 through 5. The match may be cash or in-kind donations.

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. Provide other budget explanations or comments deemed necessary. Be sure to include travel for key grant staff to attend an annual project directors convening in Washington DC.

Provide documentation of the applicant's indirect cost rate. The Department reimburses grantees for its portion of indirect costs that a grantee incurs in projects funded under this program. Any grantee charging indirect costs to a grant from this program must use the indirect cost rate negotiated with its *cognizant agency for indirect costs*.

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<sup>1</sup> [http://www.ecfr.gov/cgi-bin/text-idx?SID=a00c8ef91d397f640d8c236871fe5eef&tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?SID=a00c8ef91d397f640d8c236871fe5eef&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)

<sup>2</sup> <http://www.ecfr.gov/cgi-bin/text-idx?SID=a00c8ef91d397f640d8c236871fe5eef&node=pt2.1.3474&rgn=div5>

**Note:** Applicants should pay special attention to specific questions on the application budget form (U.S. Department of Education Budget Information Non-Construction Programs Form 524 Sections A, B and C) about their cognizant agency and the indirect cost rate they are using in their budget.

If an applicant selected for funding under this program has not already established a current indirect cost rate with its cognizant agency, ED generally will authorize the grantee to use a temporary rate of 10 percent of budgeted direct salaries and wages, or a de minimis rate of 10 percent of MTDC, as defined in 2 CFR 200.68.

Use of the temporary rate of 10 percent of budgeted direct salaries and wages is subject to the following limitations:

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

Use of the de minimis rate of 10 percent of MTDC is subject to the following limitations:

1. In accordance with 2 CFR 200.414(f), State and local governments may not use the de minimis rate; thus, this rate may only be used by institutions of higher education (IHE) and non-profit organizations.
2. A grantee that decides to use the de minimis rate of 10 percent of MTDC must use the rate for at least one fiscal year for all of its Federal awards, and may continue to use the rate indefinitely thereafter until it decides to negotiate an agreement with its cognizant agency. MTDC consists of all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and subawards and subcontracts up to the first \$25,000 of each subaward (i.e., subgrant or subcontract). Once a grantee obtains a federally recognized indirect cost rate that is applicable to its grant, the grantee may use that indirect cost rate to claim indirect cost reimbursement; however, the grantee

is subject to the same recovery limitations identified for the 10 percent temporary rate in items (3) through (6) of this grant attachment.

Applicants should be aware that ED is very often not the cognizant agency for its own grantees. Rather, ED accepts, for the purpose of funding its awards, the current indirect cost rate established by the appropriate cognizant agency.

Applicants are encouraged to have an accountant calculate a proposed indirect cost rate using current information from its audited financial statements, actual cost data, or IRS Form 990. Applicants should use this proposed rate in their application materials and describe which of these methods they used to calculate the rate. Guidance related to calculating an indirect cost rate can be found on ED's website at:

<http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>.

Applicants with questions about using indirect cost rates under this program should contact the program contact the competition manager for this program at [sfec@ed.gov](mailto:sfec@ed.gov).

## **INSTRUCTIONS FOR OTHER ATTACHMENTS (APPENDICES)**

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Applicants will attach any appendices they may have to the Grants.gov Other Attachments Form. Please provide a special Table of Contents for the appendices. The Grants.gov system will allow applicants to attach as many as ten separate appendices in this section; however, applicants are encouraged to limit the number and length of appendix entries to a reasonable number for a reviewer to read. Applicants are encouraged not to include substantive, project-related information that they wish peer reviewers to consider anywhere in the application other than I the Project narrative Form and Budget Narrative Form sections.

### **Required Signed Preliminary Memorandum of Understanding**

Provide a preliminary Memorandum of understanding signed by each organization or agency with which the applicant would partner in implementing the proposed SFEC, including the partner SEA(s), which details each partner's financial, programmatic, and long-term commitment with respect to the strategies described in the application.

### **Required Logic Model**

Provide a logic model that identifies the key project components, explains how the key project components will lead to relevant outcomes, and informs the applicant's performance measures and project evaluation design.

### **Resumes/Curriculum Vitae**

Provide resumes/curriculum vitae for the project director as well as any key personnel identified in the application.

## STANDARD FORMS & INSTRUCTIONS

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Applicants must submit along with their Narrative Attachment Forms the required standard forms, assurances, and certifications. Below is a list of the standard forms, assurances, and certifications that are required.

- SF 424 Application Form for Federal Assistance
- ED Supplemental Form for SF 424
- ED 524 Form (Budget Information Form)
- General Education Provisions Act (GEPA) Requirements - Section 427
- SF 424B Form - Assurances, Non-Construction Programs
- Grants.gov Lobbying Form: Applicants are required to include the lobbying form that is appropriate to their situation. The forms are categorized as optional in Grants.Gov in order to avoid submission errors when only one is submitted. Please refer to the instructions for the following forms and submit the form that is applicable to you:
  - SF-LLL Disclosure of Lobbying Activities; or
  - Grants.gov Certification Regarding Lobbying (formerly ED 80-0013)
- Optional: Evidence Form (1894-0001): Applicants may include the U.S. Department of Education Evidence Form in Grants.gov. It is not a required form. Applicants responding to Competitive Preference Priority 1(a) or (b) may find this form helpful in identifying the level of evidence and citation of studies that support the selection of the activity, strategy, or intervention included in the project.

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 addresses: <http://www2.ed.gov/fund/grant/apply/appforms/appforms.html>, or on the Grants.gov website: <https://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=0> and the Grants.gov submission package. Please note that only the version of the attachment and standard forms that are visible within the grants.gov listing for this funding opportunity should be submitted with your application. Use of other versions of the forms will risk submission errors.



## INSTRUCTIONS FOR APPLICATION FOR FEDERAL ASSISTANCE (SF-424)

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

Item	Entry:	Item:	Entry:
1.	<b>Type of Submission:</b> (Required) Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Pre-application</li> <li>• Application</li> <li>• Changed/Corrected Application – 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.</li> </ul>	10.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the federal agency from which assistance is being requested with this application.
		11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	<b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the federal government’s financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.</li> </ul> <p>A. Increase Award                      D. Decrease Duration  B. Decrease Award                      E. Other (specify)  C. Increase Duration</p>	12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	<b>Competition Identification Number/Title:</b> Enter the competition identification number and title of the competition under which assistance is requested, if applicable.
		14.	<b>Areas Affected By Project:</b> 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.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<b>Descriptive Title of Applicant’s Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or the applicant’s control number if applicable.		
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the federal agency, if any.	16.	<b>Congressional Districts Of:</b> 16a. (Required) Enter the applicant’s congressional district. 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina’s 103 district. If all congressional districts in a state are affected, enter “all” for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.
5b.	<b>Federal Award Identifier:</b> For new applications, enter NA. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the state, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the state, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		
	<b>a. Legal Name:</b> (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.

	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	<b>Estimated Funding:</b> (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.																								
	<b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .	19.	<b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> (Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.																								
	<b>d. Address:</b> Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).	20.	<b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.																								
	<b>e. Organizational Unit:</b> Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.	21.	<b>Authorized Representative:</b> To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)																								
	<b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.																										
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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**[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](http://www.grants.gov/applicants/find_grant_opportunities.jsp).]

## INSTRUCTIONS FOR ED SUPPLEMENTAL SF-424

- 1. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application. Items marked with an asterisk (\*) are mandatory.
- 2. Novice Applicant.** Check “Yes” if you meet the definition for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled “Definitions for U.S. Department of Education Supplemental Information for the SF-424”). By checking “Yes” the applicant certifies that it meets these novice applicant requirements. Check “No” if you do not meet the definition for novice applicants.

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

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

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

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

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

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

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

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

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

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

### **Public Burden Statement:**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 20 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. The obligation to respond to this collection is required to obtain or retain benefit (20 USC 3474 General Education Provisions Act). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1894-0007. Note: Please do not return the completed ED SF 424 Supplemental Form to this address.

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

### Definitions:

#### Novice Applicant (See 34 CFR 75.225)

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

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

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

### PROTECTION OF HUMAN SUBJECTS IN RESEARCH

#### I. Definitions and Exemptions

##### A. Definitions.

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

##### —Research

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

##### —Human Subject

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through

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

##### B. Exemptions.

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

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

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

***Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons

who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

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

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

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs. ***[The standards of this exemption are rarely met because it was designed to apply only to specific research conducted by the Social Security Administration and some Federal welfare benefits 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.b. of the U.S. Department of Education Supplemental Information for the SF 424, the applicant must attach a human subjects “exempt research” or “nonexempt research” narrative to the U.S. Department of Education Supplemental Information for the

SF-424 form. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

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

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

### **B. Nonexempt Research Narrative.**

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

#### **(1) Human Subjects Involvement and Characteristics:**

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

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

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

**(4) Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe

alternative treatments and procedures that might be advantageous to the subjects.

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

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

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

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

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

## ED 524 FORM AND INSTRUCTIONS

### General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. You may access the Education Department General Administrative Regulations cited within these instructions at:

<http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>. You may access requirements from 2 CFR 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards" cited within these instructions at:

<https://www.federalregister.gov/articles/2013/12/26/2013-30465/uniform-administrative-requirements-cost-principles-and-audit-requirements-for-federal-awards>.

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

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

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

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

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

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

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

**Indirect Cost Information:** If you are requesting reimbursement for indirect costs on line 10 the indirect cost rate to be charged to the grant must be entered in the applicable field on line 10, and the following information is to be completed by your Business Office.

(1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. If you checked "no," ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages (**complete (4) of this section when using the temporary rate**) subject to the following limitations:

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

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

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

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

(4): 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.

(5): For Training Rate Programs, ED regulations limit **non-governmental entities** to the recovery of indirect costs on training grants to the grantee's actual indirect costs, as determined by its negotiated rate agreement, or 8 percent of a MTDC, whichever is lower (see EDGAR § 75.562(c)(4)). The 8 percent limit also applies to cost-type contracts under grants, if these contracts are for training as defined in EDGAR § 75.562(a). If a **non-governmental entity** that receives a grant under a training grant program does not have an approved indirect cost rate and wants to recover indirect costs, it may use a temporary rate of 10 percent of budgeted direct salaries and wages, but it must submit an indirect cost rate proposal to its cognizant agency for indirect costs within 90 days after ED issues the GAN. After the 90-day period, the government entity may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement.

### 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:

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

[Please review cost sharing and matching regulations found in 2 CFR 200.306.]

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

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>. You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

5. Provide other explanations or comments you deem necessary

### Paperwork Burden Statement

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

## NOTICE TO ALL APPLICANTS

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

### To Whom Does This Provision Apply?

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

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

### What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect

the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

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

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

(1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

(2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.

(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

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

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



### Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Public Law 103-382. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1894-0005.

**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. 501-1508 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. §374) 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. §§451 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. §§721 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.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

Standard Form 424B (Rev. 7-97) Back

## INSTRUCTIONS FOR DISCLOSURE OF LOBBYING ACTIVITIES (SF-LLL)

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

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

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

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

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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.



**U.S. Department of Education  
Evidence Form**

OMB No. 1894-0001

Exp. 07/31/2019

**1. Level of Evidence**

Select the level of evidence of effectiveness for which you are applying. See the Notice Inviting Applications for the relevant definitions.

Promising Evidence

Moderate Evidence

Strong Evidence

**2. Citation and Relevance**

Fill in the chart below with the appropriate information about the studies that support your application.

<b>A. Citation</b>	<b>B. Relevant Finding(s)</b>	<b>C. Overlap of Populations and/or Settings</b>

## Instructions for Evidence Form

1. **Level of Evidence.** Check the box next to the level of evidence for which you are applying. See the Notice Inviting Applications for the evidence definitions.
2. **Citation and Relevance.** Fill in the chart for each of the studies you are submitting to meet the evidence standards. If allowable under the program you are applying for, you may add additional rows to include more than four citations. (See below for an example citation.)
  - a. **Citation.** Provide the full citation for each study or WWC publication you are using as evidence. If the study has been reviewed by the WWC, please include the rating it received, the WWC review standards version, and the URL link to the description of that finding in the WWC reviewed studies database. Include a copy of the study or a URL link to the study, if available. Note that, to provide promising, moderate, or strong evidence, you must cite either a specific recommendation from a WWC practice guide, a WWC intervention report, or a publicly available, original study of the effectiveness of a component of your proposed project on a student outcome or other relevant outcome.
  - b. **Relevant Finding(s).** Describe: 1) the project component included in the study (or WWC practice guide or intervention report) that is also a component of your proposed project, 2) the student outcome(s) or other relevant outcome(s) that are included in both the study (or WWC practice guide or intervention report) and in the logic model (theory of action) for your proposed project, and 3) the study (or WWC intervention report) finding(s) or WWC practice guide recommendations supporting a favorable relationship between a project component and a relevant outcome. Cite page and table numbers from the study (or WWC practice guide or intervention report), where applicable.
  - c. **Overlap of Population and/or Settings.** Explain how the population and/or setting in your proposed project are similar to the populations and settings included in the relevant finding(s). Cite page numbers from the study or WWC publication, where applicable.

*EXAMPLES: For Demonstration Purposes Only (the three examples are not assumed to be cited by the same applicant)*

A. Citation	B. Relevant Finding(s)	C. Overlap of Populations and Settings
<p>Graham, S., Bruch, J., Fitzgerald, J., Friedrich, L., Furgeson, J., Greene, K., Kim, J., Lyskawa, J., Olson, C.B., &amp; Smither Wulsin, C. (2016). <i>Teaching secondary students to write effectively</i> (NCEE 2017-4002). Washington, DC: National Center for Education Evaluation and Regional Assistance (NCEE), Institute of Education Sciences, U.S. Department of Education. Retrieved from the NCEE website: <a href="https://ies.ed.gov/ncee/wwc/PracticeGuide/2">https://ies.ed.gov/ncee/wwc/PracticeGuide/2</a></p> <p>2. This report was prepared under Version 3.0 of the WWC Handbook (p. 72).</p>	<p>(Table 1, p. 4) Recommendation 1 ("Explicitly teach appropriate strategies using a Model – Practice – Reflect instructional cycle") is characterized as backed by "strong evidence."</p> <p>(Appendix D, Table D.2, pp. 70-72) Studies contributing to the "strong evidence" supporting the effectiveness of Recommendation 1 reported statistically significant and positive impacts of this practice on genre elements, organization, writing output, and overall writing quality.</p>	<p>(Appendix D, Table D.2, pp. 70-72) Studies contributing to the "strong evidence" supporting the effectiveness of Recommendation 1 were conducted on students in grades 6 through 12 in urban and suburban school districts in California and in the Mid-Atlantic region of the U.S. These study samples overlap with both the populations and settings proposed for the project.</p>

A. Citation	B. Relevant Finding(s)	C. Overlap of Populations and Settings
<p>U.S. Department of Education, Institute of Education Sciences, <i>What Works Clearinghouse</i>. (2017, February). <i>Transition to College intervention report: Dual Enrollment Programs</i>. Retrieved from <a href="https://ies.ed.gov/ncee/wwc/Intervention/1043">https://ies.ed.gov/ncee/wwc/Intervention/1043</a>. This report was prepared under Version 3.0 of the WWC Handbook (p. 1).</p>	<p>(Table 1, p. 2) Dual enrollment programs were found to have positive effects on students' high school completion, general academic achievement in high school, college access and enrollment, credit accumulation in college, and degree attainment in college, and these findings were characterized by a "medium to large" extent of evidence.</p>	<p>(pp. 1, 19, 22) Studies contributing to the effectiveness rating of dual enrollment programs in the high school completion, general academic achievement in high school, college access and enrollment, credit accumulation in college, and degree attainment in college domains were conducted in high schools with minority students representing between 32 and 54 percent of the student population and first generation college students representing between 31 and 41 percent of the student population. These study samples overlap with both the populations and settings proposed for the project.</p>
<p>Bettinger, E.P., &amp; Baker, R. (2011). <i>The effects of student coaching in college: An evaluation of a randomized experiment in student mentoring</i>. Stanford, CA: Stanford University School of Education. Available at <a href="https://ed.stanford.edu/sites/default/files/bettinger_baker_030711.pdf">https://ed.stanford.edu/sites/default/files/bettinger_baker_030711.pdf</a></p> <p>Meets WWC Group Design Standards without Reservations: under review standards 2.1 (<a href="http://ies.ed.gov/ncee/wwc/Study/72030">http://ies.ed.gov/ncee/wwc/Study/72030</a>).</p>	<p>The intervention in the study is a form of college mentoring called student coaching. Coaches helped with a number of issues, including prioritizing student activities and identifying barriers and ways to overcome them. Coaches were encouraged to contact their assignees by either phone, email, text messaging, or social networking sites (pp. 8-10). The proposed project for Alpha Beta Community College students will train professional staff and faculty coaches on the most effective way(s) to communicate with their mentees, suggest topics for mentors to talk to their mentees, and be aware of signals to prevent withdrawal or academic failure.</p> <p>The relevant outcomes in the study are student persistence and degree completion (Table 3, p. 27), which are also included in the logic model for the proposed project.</p> <p>This study found that students assigned to receive coaching and mentoring were significantly more likely than students in the comparison group to remain enrolled at their institutions (pp. 15-16, and Table 3, p. 27).</p>	<p>The full study sample consisted of "13,555 students across eight different higher education institutions, including two- and four-year schools and public, private not-for-profit, and proprietary colleges." (p. 10) The number of students examined for purposes of retention varied by outcome (Table 3, p. 27). The study sample overlaps with Alpha Beta Community College in terms of both postsecondary students and postsecondary settings.</p>

**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 1894-0001. The time required to complete this information collection is estimated to vary from 1 to 4 hours per response, with an average of 1.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form, write directly to the Office of Innovation and Improvement, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202



## EXECUTIVE ORDER 12372

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### Intergovernmental Review of Federal Programs

This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. However, under 34 CFR 79.8(a), we waive intergovernmental review in order to make awards by the end of FY 2018.

## APPLICANT CHECKLIST

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Use This Checklist While Preparing Your Application Package.  
All items listed on this checklist are required, except as noted.

- SF 424 Application Form for Federal Assistance
- ED Supplemental Form for SF 424
- ED 524 Form (Budget Information Form)
- Narrative addressing General Education Provisions Act (GEPA) Requirements - Section 427
- SF 424B Form - Assurances for Non-Construction Programs
- Grants.gov Lobbying Form: Applicants are required to include the lobbying form that is appropriate to their situations. The forms are categorized as optional in Grants.gov in order to avoid submission errors when only one form is submitted. Please refer to the instructions for the following forms and submit the form that is applicable to you.
  - Lobbying Disclosure Form (SF LLL); or
  - Grants.gov Certification Regarding Lobbying (formerly ED 80-0013)
- Optional: Evidence Form
- Abstract
- Project Narrative
- Budget Narrative
- Other Attachments (Upload Appendices Here)

List of Appendices:

- Signed Preliminary Memorandum of Understanding
- Logic Model
- Resumes/Curriculum Vitae of Key Personnel

## PAPERWORK BURDEN STATEMENT

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According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 40 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is voluntary.

**Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden,** to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1894-0006 Note: Please do not return the completed Qualitative Feedback Survey to this address.

**If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Statewide Family Engagement Centers Grant Program, Office of Innovation and Improvement, U.S. Department of Education, 400 Maryland Avenue, S.W., 4W111, Washington D.C. 20202-5960.

## ELECTRONIC NOTIFICATION FOR GRANT AWARDS

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