U.S. Department of Education

**Office of Migrant Education**

**washington, d.c. 20202-6135**

**Fiscal Year 2023**

**APPLICATION FOR NEW GRANTS**

**UNDER** **THE CONSORTIUM INCENTIVE GRANT PROGRAM**

**ALN: 84.144F**



Dated Material – Open Immediately

Closing Date: April 24, 2023

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**If you have comments or concerns regarding the status of your individual submission of this application**, please contact:

Michael Meltzer

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Contents

[Program Overview 1](#_Toc128157795)

[Official Documents Notice 1](#_Toc128157796)

[Eligible Applicants 1](#_Toc128157797)

[Competition Priorities 1](#_Toc128157798)

[Program Contact 2](#_Toc128157799)

[Authority 2](#_Toc128157800)

[Applicable Regulations 3](#_Toc128157801)

[Reporting and Accountability 3](#_Toc128157802)

[Amount and Use of Awards 4](#_Toc128157803)

[Duration of Funding Period 5](#_Toc128157804)

[Definitions 5](#_Toc128157805)

[Frequently Asked Questions 5](#_Toc128157806)

[Application Submission Procedures 11](#_Toc128157807)

[Technical Assistance Session for Prospective Applicants 11](#_Toc128157808)

[Tips for Preparing and Submitting an Application 11](#_Toc128157809)

[Application Deadline 12](#_Toc128157810)

[Common Instructions for Applicants to Department of Education Discretionary Grant Programs 12](#_Toc128157811)

[Grants.gov Submission Procedures and Tips for Applicants 12](#_Toc128157812)

[Application Instructions 16](#_Toc128157813)

[Electronic Application Format 16](#_Toc128157814)

[Electronic Application Submission Checklist 17](#_Toc128157815)

[Part I: Preliminary Documents 18](#_Toc128157816)

[Part II: ED Abstract Form 26](#_Toc128157817)

[Part III: Project Narrative Attachment Form 26](#_Toc128157818)

[Part IV: Other Attachments Form 29](#_Toc128157819)

[Part V: Assurances and Certifications 31](#_Toc128157820)

[Part VI: Intergovernmental Review of Federal Programs (Executive Order 12372) 37](#_Toc128157821)

[Legal and Regulatory Information 38](#_Toc128157822)

[Notice Inviting Applications 38](#_Toc128157823)

[Program Statute 38](#_Toc128157824)

[Notice of Final Requirement (78 FR 79613) 38](#_Toc128157825)

[Notice of Final Priority (73 FR 13217) 38](#_Toc128157826)

[Notice of Final Requirements (69 FR 10110) 38](#_Toc128157827)

[Supplemental Priorities (86 FR 70612) 38](#_Toc128157828)

Dear Applicant:

Thank you for your interest in the Migrant Education Program (MEP) Consortium Incentive Grant program. The MEP, authorized under Title I, Part C of the Elementary and Secondary Education Act of 1965 (ESEA), as amended, is a State-administered and State-operated formula grant program. The MEP Consortium Incentive Grant (CIG) program is authorized by section 1308(d) of the ESEA. Under this program, the Department will award competitive incentive grants to State educational agencies (SEAs) in consortia that improve the intrastate and interstate coordination of migrant education programs by addressing key needs of migratory children who have their education interrupted.

CIG awards will be made based on the requirements identified in the Notice Inviting Applications (NIA) published on February 23, 2023, in the Federal Register (see Legal and Regulatory Information section of this application package). Please note that only SEAs that currently administer MEP programs are eligible to apply for these consortium incentive grants. For fiscal year (FY) 2023, the Department is focusing the CIG competition on four of the program’s eight absolute priorities. In addition to each absolute priority, there are three competitive preference priorities that the Department has selected from the Department’s Notice of Final Priorities and Definitions— Secretary’s Supplemental Priorities and Definitions for Discretionary Grants Programs (Supplemental Priorities), published in the Federal Register on December 10, 2021 (86 FR 70612).

Using FY 2023 funds, the Department expects to award approximately $3,000,000 for new grants under this competition. We will award discretionary grants on a competitive basis for a project period of up to 36 months. Grants are expected to be awarded in July 2023.

Please take the time to review the applicable priorities, selection criteria, and all of the application instructions thoroughly. An application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the program (34 CFR 75.216 (b) and (c)). And, as part of a broader effort to reduce barriers for applicants seeking funds under a Department discretionary grant competition, the Department has issued a set of Common Instructions for Applicants available at <https://www.federalregister.gov/d/2022-26554>.

For this competition it is **mandatory** for applicants to use the government-wide website, Grants.gov <https://www.federalregister.gov/d/2022-26554>, to apply. We strongly encourage you to familiarize yourself with Grants.gov and recommend that you register *and* submit early.

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Please review the Application Submission Procedures and Application Instructions found within this package for further information and guidance related to this requirement.

Please visit our program website at <https://oese.ed.gov/offices/office-of-migrant-education/migrant-education-consortium-incentive-grants/> for further information. If you have any questions about the program after reviewing the application package, please contact Michael Meltzer by telephone at (202) 987-1657 or via email at Michael.Meltzer@ed.gov.

Sincerely,

Tara Ramsey

Director

Office of Migrant Education

**Program Information**

## **Program Overview**

The Migrant Education Program (MEP), authorized under Title I, Part C of the Elementary and Secondary Education Act of 1965 (ESEA), is a State-administered and State-operated formula grant program.

The MEP provides assistance to State educational agencies (SEAs) to support high quality and comprehensive educational programs that provide migratory children appropriate educational and supportive services that address their unique needs in a coordinated and efficient manner, and give migratory children the opportunity to meet the same State academic content and student academic achievement standards that all children are expected to meet.

ESEA section 1308(d) authorizes the Secretary to “reserve not more than $3 million to award competitive grants of not more than $250,000 [each] on a competitive basis to SEAs that propose a consortium arrangement with another State or other appropriate entity that the Secretary determines, pursuant to criteria that the Secretary shall establish, to improve the delivery of services to migratory children whose education is interrupted.”

Under this program, the Department will award competitive incentive grants to SEAs in consortia that improve the intrastate and interstate coordination of migrant education programs by addressing at least one of three key needs of migratory children who have their education interrupted.

**Official Documents Notice**

The official document governing this competition is the Notice Inviting Applications (NIA) published in the Federal Register on <https://www.federalregister.gov/d/2023-03731> (see Legal and Regulatory Information section of this application package). The NIA is also available electronically at the following Web sites: [www.FederalRegister.gov](http://www.FederalRegister.gov) and [www.gpo.gov](http://www.gpo.gov).

## **Eligible Applicants**

SEAs currently operating MEP programs are the only eligible applicants for these incentive grants. SEAs proposing to participate in consortia must identify a “lead SEA” for the consortium, and we request that they provide the information requested in this application through that lead SEA.

## **Competition Priorities**

Grant competitions may include “Absolute Priorities,” which must be clearly met in order for an application to be considered and “Competitive Preference Priorities,” which are not required to be met but may increase the likelihood of receiving an award.

For the FY 2023 CIG competition, applicants must address one of four absolute priorities described in the NIA. If an applicant is interested in proposing separate projects (e.g., one that addresses Absolute Priority 1 and another that addresses Absolute Priority 2), the applicant must submit separate applications. Under 34 CFR 75.105(c)(3) we consider only applications that meet one of these priorities. These absolute priorities are from the notice of final requirements for this program, published in the Federal Register on March 3, 2004 (69 FR 10110), and from the notice of final priority for this program, published in the Federal Register on March 12, 2008 (73 FR 13217). For this competition, the term “scientifically based” has been replaced with “evidence-based” in Absolute Priorities 2, 3, and 4 as explained in the Waiver of Proposed Rulemaking section of the NIA.

This competition includes three competitive preference priorities selected from the Department’s Notice of Final Priorities and Definitions— Secretary’s Supplemental Priorities and Definitions for Discretionary Grants Programs (Supplemental Priorities), published in the Federal Register on December 10, 2021 (86 FR 70612).

An applicant must clearly indicate in the abstract section of the application under which absolute priority it is applying. In addition, the applicant must indicate in the abstract section which competitive preference priorities it is addressing. We encourage applicants to address only one competitive preference priority; if an applicant addresses more than one competitive preference priority, the Department will instruct readers to score the first competitive preference priority identified in the abstract section of the application.

To read the absolute priorities and competitive preference priorities, please reference the NIA for this competition in the Federal Register at <https://www.federalregister.gov/d/2023-03731>.

## **Program Contact**

If you have any questions about the program or competition after reviewing the application package, please contact Michael Meltzer by telephone at (202) 987-1657 or via e-mail at [Michael.Meltzer@ed.gov](mailto:Michael.Meltzer@ed.gov).

## **Authority**

ESEA section 1308(d) authorizes the Secretary to “reserve not more than $3 million to award competitive grants of not more than $250,000 [each] on a competitive basis to SEAs that propose a consortium arrangement with another State or other appropriate entity that the Secretary determines, pursuant to criteria that the Secretary shall establish, to improve the delivery of services to migratory children whose education is interrupted.”

Under this program, the Department will award competitive incentive grants to SEAs in consortia that improve the intrastate and interstate coordination of migrant education programs by addressing one of three key needs of migratory children who have their education interrupted.

CIG awards will be made based on the requirements identified in the NIA published on February 23, 2023, in the Federal Register. The NIA refers to Absolute Priorities 1, 2, and 3 established in the notice of final requirements published in the Federal Register on March 3, 2004 (69 FR 10110), and Absolute Priority 4 published in the Federal Register on March 12, 2008 (73 FR 13217). Applicants must propose projects that focus on one of these four priorities.

## **Applicable Regulations**

Applicants should review and understand the following regulations that are applicable to CIG awards:

(a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75 (except 75.232), 76, 77, 79, 82, 84, 86, 97, 98, and 99.

(b) The Office of Management and Budget Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) in 2 CFR part 180, as adopted and amended as regulations of the Department in 2 CFR part 3485.

(c) The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR part 200, as adopted and amended as regulations of the Department in 2 CFR part 3474.

(d) The notice of final requirements published in the Federal Register on March 3, 2004 (69 FR 10110).

(e) The notice of final priority published in the Federal Register on March 12, 2008 (73 FR 13217).

(f) The notice of final requirement published in the Federal Register on December 31, 2013 (78 FR 79613).

(g) The MEP regulations in 34 CFR 200.81-200.89.

(h) The Department’s Notice of Final Priorities and Definitions— Secretary’s Supplemental Priorities and Definitions for Discretionary Grants Programs (Supplemental Priorities), published in the Federal Register on December 10, 2021 (86 FR 70612).

Note: The regulations in 34 CFR part 86 apply to institutions of higher education only.

## **Reporting and Accountability**

In order to receive a second- and third-year award in FY 2024 and FY 2025, respectively, recipients of an FY 2023 MEP CIG award must submit to the Department, through the lead SEA, an interim performance report prior to the end of the consortium’s first project year and an annual performance report at the end of years one and two.

In addition, grantees must submit, through the lead SEA, a final report no more than 90 days after the end of the third project year. These reports must address the SEA’s performance of activities and objectives of the approved consortium, whether or not the SEA supports the activities with CIG funds. Pursuant to the requirements in 34 CFR 75.590, these reports will need to address (1) the recipient’s progress in achieving the objectives of the consortium in its approved application; (2) the effectiveness of the consortium in meeting the purposes of the consortium; and (3) the effect of the consortium on participants being served by the consortium. In providing this information, recipients must use the Department’s generic performance report, U.S. Department of Education Form ED 524B. The current version is available at <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

An SEA receiving a CIG award must also submit the financial reports required under section 76.720 of EDGAR and 2 CFR 200.327 of the OMB uniform grant requirements with regard to the use of CIG funds—whether used in whole or in part as supplemental MEP formula grant funds or to fund consortium incentive grant activities.  The SEA does not need to submit a performance report on the use of CIG funds otherwise required under 2 CFR 200.328(b).  For specific requirements on grantee financial reporting, please see the Federal Financial Report Form, SF-425, which can be found online at <https://www.grants.gov/forms/post-award-reporting-forms.html>.

In addition, all grantees are required, under 2 CFR 200.329, to report on program performance indicators as part of their Consolidated State Performance Report. The program performance indicators established by the Department for the MEP, of which the Consortium Incentive Grants are a component, are--

1. The percentage of MEP students that scored at or above proficient on their State’s annual Reading/Language Arts assessments in grades 3-8.
2. The percentage of MEP students that scored at or above proficient on their State’s annual Mathematics assessments in grades 3-8.
3. The percentage of MEP students who were enrolled in grades 7-12, and graduated or were promoted to the next grade level.
4. The percentage of MEP students who entered 11th grade that had received full credit for Algebra I or its equivalent.

An SEA receiving a CIG award is required, under 34 CFR 80.40(b), to report on the program performance indicators as part of its Consolidated State Performance Report.

## **Amount and Use of Awards**

For the FY 2023 competition, SEAs may propose a consortium for a performance period of up to three years. The Department will make new awards totaling $3 million in CIG awards in FY 2023. Depending on availability, the Department intends to provide continuation awards that total another $3 million in each of FYs 2024 and 2025 to those SEAs that received new CIG awards in FY 2023 **and** have demonstrated substantial progress toward meeting the objectives described in an approved consortium’s application.

An SEA that participates in a consortium deemed to be of sufficient high quality with regard to the program’s selection criteria specified in this application package will receive only one incentive grant award per year regardless of the number of consortia in which it participates. The amount of an SEA’s incentive grant award will be calculated on the basis of a two-tiered formula in which SEAs whose MEP allocations are $1 million or less will, in general, receive a grant award that is twice the amount of the award provided to SEAs whose MEP allocations are greater than $1 million. Within each tier, awards will be of equal size. However, no SEA will receive an incentive grant award that exceeds the amount of its Title I, Part C, MEP formula grant or $250,000, whichever is less.

The Department estimates that FY 2023 awards will range from $50,000 to $150,000. The actual size of an SEA’s award will depend on the number of successful SEA applications and the size of the SEA’s MEP formula grant allocation.

SEAs in consortia receiving awards must implement the activities described in their project applications as a condition of their receipt of funds. CIG awards are treated as additional funds available to the SEA under the MEP State formula grant program. Awarded funds may be used to implement the approved consortium activities or to carry out any other activities authorized under the MEP.

## **Duration of Funding Period**

The Department expects to make initial awards under the MEP CIG program in July 2023. The initial award period will run through September 30, 2024. Because the Department awards CIG funds as additional funds available under the MEP State formula grant program, SEAs have an additional twelve months as permitted by the “Tydings Amendment” (section 421(b) of the General Education Provisions Act, as amended) to obligate these awards. Thus, any FY 2023 CIG funds that are not obligated by September 30, 2024, remain available for obligation until September 30, 2025. Similarly, second project year funding (to be awarded in FY 2024) will be available for obligation until September 30, 2025; and, third project year funding (to be awarded in FY 2025) will be available for obligation until September 30, 2027.

## **Definitions**

Definitions for this program are from ESEA and the Secretary’s Supplemental Priorities. These definitions apply to the FY 2023 grant competition and any subsequent year in which we make awards from the list of unfunded applications from this competition. Definitions can be found in the NIA for this grant competition.

See <https://www.federalregister.gov/d/2023-03731> to access the NIA for this competition.

## **Frequently Asked Questions**

**Q: How many Absolute Priorities must my application address?**

A: The application must address one of the four Absolute Priorities described in the NIA.

**Q: Can my application receive more points by addressing more than one Competitive Preference Priority?**

A: No. The Department may award an additional 10 points to an application that meets one of the competitive preference priorities. An applicant may not earn more than 10 competitive preference points regardless of the number of competitive preference priorities it chooses to address. If an applicant addresses more than one competitive preference priority, readers will score the first competitive preference priority identified in the abstract section of the application.

**Q. To what extent does an application have to address an absolute priority?**

A. At least some of the proposed activities must address the absolute priority. Applications may include other proposed activities including those that address the competitive preference priorities.

**Q: What must grantees include in their CIG application in order to be considered for an award?**

A: As described in the 2004 NFR, in order for SEAs to be considered for incentive grants, a proposed consortium must address the following:

One of the four absolute priorities identified for this competition;

The identity of the lead SEA for the consortium, and of each other SEA or entity participating in the consortium;

The goals and measurable outcomes of the consortium, and the activities that each participating SEA or entity in the consortium will conduct during each project year to improve the delivery of services to migratory children whose education is interrupted;

An explanation of the need for and value of the proposed consortium to each participating SEA, and of how the proposed consortium will improve interstate or intrastate coordination of migrant education programs;

A description of the process each participating SEA will use for evaluating its progress in achieving the measurable outcomes of the consortium; and

A signed statement from the Chief State School Officer (or his or her authorized representative) of each SEA that is participating in the proposed consortium of his or her SEA's commitment to implement its activities as described in the application.

Number 2 is addressed through the cover sheet submitted in Part III of the application. Number 6 is submitted as part of Part IV of the application. Numbers 1 and 3-5 should be addressed as part of the consortium’s response to the selection criteria in Part III of the application.

**Q: Which forms do Non-Lead SEAs submit and do they need to be submitted via Grants.gov?**

A: Non-Lead SEAs must submit the following four documents:

* + Signed Statement
  + Section 427 of the Department’s General Education Provisions Act (GEPA)
  + Grants.gov Lobbying Form – “Certification Regarding Lobbying” (ED 80-013 Form)
  + Disclosure of Lobbying Activity (SF LLL Form)

Non-Lead SEAs can submit these documents to the Lead SEA for inclusion in the application submitted via Grants.gov or they can be submitted to the person listed as the Program Contact for this grant competition. With the exception of the signed statements (see Application Instructions, Part IV: Other Attachments Form for more information), these documents must be submitted by the application closing date identified in the NIA. The Lead SEA must submit these four documents as part of its application submission via Grants.gov.

**Q: Do all States that participate in the consortium need to register in Grants.gov?**

A: No. Only the Lead SEA submitting the application needs to register in grants.gov.

**Q: How early should the Lead SEA submit a consortium’s application?**

A: The Lead SEA should start the application as soon as possible. The Lead SEA is required to obtain several credentials before uploading the consortium application to Grants.gov. Obtaining these credentials (Assistance Listing Number (ALN) Tax Identification Number, System for Award Management (SAM) certification, etc.) can sometimes take weeks. Therefore, we strongly recommend that applicants start the application process as soon as possible.

**Q: What are the performance reporting requirements for the grant?**

A: In order to receive second- and third-year continuation awards in FY 2024 and FY 2025, respectively, recipients of an FY 2023 MEP Consortium Incentive Grant award must submit to the Department, through the lead SEA, an interim performance report prior to the end of the consortium’s first project year and an annual performance report at the end of years one and two. In addition, grantees must submit, through the lead SEA, a final report no more than 90 days after the end of the third project year. For more information see the section of this application package titled Reporting.

**Q:      What information specific to project objectives must applicants address in their application?**

A:      According to 34 CFR 75.112, applicants must include in their application a narrative that describes how and when the applicant plans to meet each objective of the project, in each budget period of the project. The objectives of the project are established by the consortium and are specific to the project. We encourage grantees to keep in mind the performance measures the Department has established for the MEP under the program performance indicators as part of its Consolidated State Performance Report when developing project-specific objectives.

**Q: How many project objectives are recommended?**

Q: There is no minimum or maximum number of proposed project objectives. However, applicants should be mindful that they will compete with others, and will be held to all proposed objectives, and if selected for an award, will also have to report on each project objective in the APR.

**Q: Should the page count of each section of the application be based on how many points are allotted to each selection criteria section?**

A: How the SEA chooses to distribute the narrative among the sections is its decision. There is no recommended page count for any specific section of the application.

**Q: Can the applicant reference in one section a chart that is in another section, if the chart supports the section where the reference is made?**

A: Yes.

**Q: Can sections that will take a considerable amount of space in the narrative be addressed in tables?**

A: Tables are appropriate to display quantitative data or a combination of quantitative and qualitative data (e.g., a table of project specific objectives with numerical targets); however, tables are not recommended for a narrative. Narratives displayed in tables may be confusing to readers and result in a lower score.

**Q: Do charts, tables, etc. need to be in 12 point Times New Roman, Courier, Courier New or Arial font also?**

A: Chart, tables, etc. are recommended to be in 12 point font or larger or no smaller than 10 pitch (characters per inch). The applicant may use Times New Roman, Courier, Courier New, or Arial font.

**Q: How long can the abstract be?**

A: The Department recommends one to two double-spaced pages for the abstract.

**Q: What information should be included in the abstract?**

A: The project abstract should include a concise description of the following information, preferably in the following order:

* Name of the lead state
* Name of each state participating in the consortium
* Project objectives and activities
* Applicable priorities
* Proposed project outcomes

**Q: May footnotes be in a bibliography format in the appendices, since they take up space (especially double-spaced) in the actual narrative?**

A: Yes. The applicant may include a bibliography in the appendices; however, reviewers will not score information in the appendices.

**Q: May applicants include "cover pages" for the appendices (that would not count toward the recommended page limit)?**

A: Yes. Applicants may organize appendices as they choose. The recommended page limit for the appendices is 20 pages.

**Q: If an applicant encounters a problem while uploading an application, does obtaining a Support Desk Case Number from Grants.gov mean that the application will be accepted even though it may be submitted after the deadline?**

A: No. Obtaining a Support Desk Case Number from Grants.gov does not guarantee that an application will be accepted when submitted late. The program office must confirm that a technical problem with the Grants.gov system caused the application to be submitted late before the program office can determine if accepting the late application is appropriate.

**Q: Will an application that fails to adhere to the formatting standards outlined in this application be rejected?**

A: No. However, the Department recommends the project narrative not exceed 25 pages and meet the following standards:

* A “page” is 8.5” x 11”, on one side only, with 1” margins at the top, bottom, and both sides.
* Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions. Applicants may single space all text in charts, tables, figures, and graphs. Charts, tables, figures, and graphs presented in the application narrative count toward the page limit.
* Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch) throughout the entire application package.
* Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.
* The 25-page limit is suggested for the project narrative section. This suggestion does not apply to the cover sheet; the assurances and certifications, the signed statements, or the abstract.

**Q: Will application reviewers be provided with a scoring guide?**

A: Yes. Application reviewers will be provided with the following scoring rubric. Reviewers are strongly encouraged, but not required, to adhere to the scoring rubric.

**Maximum Score: 2 Points**

|  |  |
| --- | --- |
| 0 | Factor is not addressed. |
| 1 | Factor is adequately developed (some weaknesses). |
| 2 | Factor is fully developed with no weaknesses. |

**Maximum Score: 3 Points**

|  |  |
| --- | --- |
| 0 | Factor is not addressed. |
| 1 | Factor is poorly developed (major weaknesses). |
| 2 | Factor is strongly developed (minor weaknesses). |
| 3 | Factor is fully developed with no weaknesses. |

**Maximum Score: 5 Points**

|  |  |
| --- | --- |
| 0 | Factor is not addressed. |
| 1 | Factor is poorly developed (major weaknesses). |
| 2-3 | Factor is adequately developed (some weaknesses). |
| 4 | Factor is strongly developed (minor weaknesses). |
| 5 | Factor is fully developed with no weaknesses. |

**Maximum Score: 7 Points**

|  |  |
| --- | --- |
| 0 | Factor is not addressed. |
| 1-2 | Factor is poorly developed (major weaknesses). |
| 3-4 | Factor is adequately developed (some weaknesses). |
| 5-6 | Factor is strongly developed (minor weaknesses). |
| 7 | Factor is fully developed with no weaknesses. |

**Maximum Score: 8 Points**

|  |  |
| --- | --- |
| 0 | Factor is not addressed. |
| 1-2 | Factor is poorly developed (major weaknesses). |
| 3-4 | Factor is adequately developed (some weaknesses). |
| 5-7 | Factor is strongly developed (minor weaknesses). |
| 8 | Factor is fully developed with no weaknesses. |

**Maximum Score: 9 Points**

|  |  |
| --- | --- |
| 0 | Factor is not addressed. |
| 1-2 | Factor is poorly developed (major weaknesses). |
| 3-5 | Factor is adequately developed (some weaknesses). |
| 6-8 | Factor is strongly developed (minor weaknesses). |
| 9 | Factor is fully developed with no weaknesses. |

**Maximum Score: 10 Points**

|  |  |
| --- | --- |
| 0 | Factor is not addressed. |
| 1-3 | Factor is poorly developed (major weaknesses). |
| 4-6 | Factor is adequately developed (some weaknesses). |
| 7-9 | Factor is strongly developed (minor weaknesses). |
| 10 | Factor is fully developed with no weaknesses. |

# **Application Submission Procedures**

## **Technical Assistance Session for Prospective Applicants**

The Office of Migrant Education will conduct a pre-application workshop shortly after the publication of the NIA in the Federal Register. An announcement will be sent via the MEPSTATE listserv and information will be posted to the website at: <https://oese.ed.gov/offices/office-of-migrant-education/migrant-education-consortium-incentive-grants/applicant-information-migrant-education-consortium-incentive-grants/>.

## **Tips for Preparing and Submitting an Application**

**Beginning the Application Process**

* Read this application package in its entirety, including the NIA, and make sure you follow all of the instructions.
* Read the Common Instructions for Applicants to Department of Education Discretionary Grant Programs, published in the Federal Register on December 07, 2022 (87 FR 75045) and available at <https://www.federalregister.gov/d/2022-26554>, which contain requirements and information on how to submit an application.
* Read the Frequently Asked Questions section in this application package.
* If you do not understand an instruction or requirement, contact Michael Meltzer. Telephone: (202) 987-1657 or by email: Michael.Meltzer@ed.gov for information about this grant competition.

**Preparing Your Application**

* Organize your narrative according to the selection criteria headings and respond comprehensively.
* Be thorough in your responses. Write so that someone who knows nothing about your States and the proposed activities, curricula, programs, and services can understand what you are proposing and why.

**Submitting Your Application**

* Use the checklist provided in this application package to ensure your application is complete before submitting it.
* Make sure the Authorized Representative from the Lead SEA signs the appropriate forms.
* Make sure the non-Lead SEAs sign and submit the appropriate forms to the Lead SEAs for submission in Grants.gov or to the program contact identified in this application package.
* Transmit your application by the deadline date and time. When submitting your application electronically, you must use Grants.gov at: [www.grants.gov](http://www.grants.gov/). Unless you qualify for an exception in accordance with the instructions found in Common Instructions for Applicants to Department of Education Discretionary Grant Programs available at <https://www.federalregister.gov/d/2022-26554>, you must submit your application electronically.

**What Happens Next?**

* Once the Department 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 at <https://www.grants.gov/web/grants/applicants/track-my-application.html>. Please refer to this PR/Award number if you need to contact us about your application.
* The Department screens each application to ensure that all program eligibility requirements are met and that all forms are included and signed by the Authorized Representative. Ineligible applicants will receive a notification letter, including the reasons for ineligibility.
* If eligible, your application will be assigned to a panel of Department of Education reviewers who will evaluate and score your proposal according to the selection criteria in this package. Your application will receive a score from 0 to 100, not including competitive preference priority points.
* A Grant Award Notification will be sent to SEAs whose consortium proposals rank high enough to be awarded a grant. Both successful and unsuccessful applicants will receive peer reviewers’ comments after grant awards are announced. Unsuccessful applicants will also receive a notification letter sent to the lead State.

**Electronic Notification for Grant Awards**

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

## **Application Deadline**

The deadline for submitting an application is April 24, 2023. Review the instructions in this application package for meeting the deadline.

## **Common Instructions for Applicants to Department of Education Discretionary Grant Programs**

The application and submission information comes directly from the Department’s Common Instructions, referenced in the NIA and available at <https://www.federalregister.gov/d/2022-26554>.

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

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

**Browser Support**

The latest versions of Microsoft Edge, 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 ALN. Once it is completed, the information will transfer to the other forms.

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

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

**Helpful Reminders**

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

Information about SAM is available at [www.sam.gov](http://www.sam.gov). To further assist you with registering in SAM or updating your existing SAM registration, see the [Quick Start Guide for Grant Registrations](https://www.fsd.gov/sys_attachment.do?sys_id=f51d017e1bab7c105465eaccac4bcb9f%20) and the Entity Registration Video at <https://sam.gov/content/entity-registration.>

1. **SUBMIT EARLY** – **We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded.** The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully to Grants.gov before 11:59:59 p.m., Eastern Time on the deadline date.

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

1. **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov received your application submission on time and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 11:59:59 p.m., Eastern Time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned. Once the Department of Education receives your application from Grants.gov, an Agency Tracking Number (PR/award number) will be assigned to your application and will be available for viewing on [www.Grants.gov](http://www.Grants.gov)’s Track My Application link.

If the date/time received is later than 11:59:59 p.m., Eastern Time, on the deadline date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: <http://www.grants.gov/web/grants/applicants/encountering-error-messages.html>. For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Software Tip Sheet at: <http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

**Submission Problems – What should you do?**

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or email at: <mailto:support@grants.gov> or access the Grants.gov Self-Service Knowledge Base web portal at: <https://grants-portal.psc.gov/Welcome.aspx?pt=Grants>.

If electronic submission is required, you must submit an electronic application before 11:59:59 p.m., Eastern Time, unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date. (See the Federal Register notice for detailed instructions.)

**Helpful Hints When Working with Grants.gov**

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

**Dial-Up Internet Connections**

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

**Attaching Files – Additional Tips**

Please note the following tips related to attaching files to your application:

* PDF files and Microsoft Word documents are the only ED-approved file type accepted as detailed in the Federal Register application notice. Applicants should 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 Microsoft Word documents 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 Instructions**

## **Electronic Application Format**

Applications for grants under this competition must be submitted electronically, unless you qualify for an exception to the electronic submission requirement in accordance with the instructions in the Common Instructions for Applicants to Department of Education Discretionary Grant Programs https://www.federalregister.gov/d/2022-26554).

**In accordance with** [**34 CFR 75.216 (b) and (c)**](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=1&SID=00c135a895a87fc53ba39dddc028f6f7&ty=HTML&h=L&mc=true&n=pt34.1.75&r=PART#se34.1.75_1216) **an application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the program.**

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

Important note**:** Applications submitted to Grants.gov for the Department of Education will be posted using web forms and Adobe forms. Therefore, applicants will need to download a compatible version of Adobe reader.

Information on computer and operating system compatibility with Adobe and links to download a compatible version is available on Grants.gov. Also, please review the **Application Submission Procedures** and in particular the **Grants.gov Submission Procedures and Tips for Applicants** forms found within this package for further information and guidance related to this requirement.

We strongly recommend that you review these details on [www.Grants.gov](http://www.grants.gov/) before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. If you have any questions regarding this matter, please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

Instructions for all parts and forms of the application are found either on the following pages of the application package or individually for each form on Grants.gov.

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

## **Electronic Application Submission Checklist**

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

**Part I: Preliminary Documents**

* Application for Federal Assistance (form SF 424)
* ED Supplemental Information for SF 424

**Part II: ED Abstract Form**

* Project Abstract

**Part III: Project Narrative Attachment Form**

* Cover Sheet
* Application Narrative

**Part IV: Other Attachments Form**

* Signed Statements
* Bibliography (if applicable)

**Part V: Assurances and Certifications**

* Disclosure of Lobbying Activities (Standard Form LLL)
* Grants.Gov Lobbying Form – “Certification Regarding Lobbying” (ED 80-013 Form)
* General Education Provisions Act (GEPA) Requirements – Section 427 (ED GEPA Section 427 form)

**Part VI: Intergovernmental Review (Executive Order 12372)**

* State Single Point of Contact (SPOC) List

## **Part I: Preliminary Documents**

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

The Application for Federal Assistance and ED Supplemental Information require basic identifying information about the applicant **(i.e., the lead state)** and the application. Please provide all requested applicant information (including name, address, e-mail address and ALN).

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

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

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

**INSTRUCTIONS FOR THE SF-424**

<https://www.grants.gov/web/grants/forms/sf-424-family.html>

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. | **Type of Submission:** (Required) Select one type of submission in accordance with agency instructions.  • Pre-application  • Application  • Changed/Corrected Application – Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date. | | 10. | **Name of Federal Agency**: (Required) Enter the name of the federal agency from which assistance is being requested with this application. |
| 11. | **Catalog of Federal Domestic Assistance Number/Title:**  Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable. |
| 2. | **Type of Application**: (Required) Select one type of application in accordance with agency instructions.  • New – An application that is being submitted to an agency for the first time.  • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.  • Revision - Any change in the federal government’s financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.  A. Increase Award D. Decrease Duration  B. Decrease Award E. Other (specify)  C. Increase Duration | | 12. | **Funding Opportunity Number/Title:** (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement. |
| 13. | **Competition Identification Number/Title:** Enter the competition identification number and title of the competition under which assistance is requested, if applicable. |
| 14. | **Areas Affected By Project:** This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed. |
| 3. | **Date Received:** Leave this field blank. This date will be assigned by the Federal agency. | | 15. | **Descriptive Title of Applicant’s Project:** (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project. |
| 4. | **Applicant Identifier:** Enter the entity identifier assigned by the Federal agency, if any, or the applicant’s control number if applicable. | |  |  |
| 5a. | **Federal Entity Identifier**: Enter the number assigned to your organization by the federal agency, if any. | | 16. | **Congressional Districts Of**: 16a. (Required) Enter the applicant’s congressional district. 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina’s 103 district. If all congressional districts in a state are affected, enter “all” for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e., all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed. |
| 5b. | **Federal Award Identifier**: For new applications, enter NA. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions. | |
| 6. | **Date Received by State:** Leave this field blank. This date will be assigned by the state, if applicable. | |
| 7. | **State Application Identifier:** Leave this field blank. This identifier will be assigned by the state, if applicable. | |
| 8. | **Applicant Information**: Enter the following in accordance with agency instructions: | |
|  | **a. Legal Name**: (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting [www.Grants.gov](http://www.Grants.gov). | | 17. | **Proposed Project Start and End Dates**: (Required) Enter the proposed start date and end date of the project. |
| **b. Employer/Taxpayer Number (EIN/TIN):** (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444. | | 18. | **Estimated Funding:** (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. |
|  | **c. Organizational ALN**: (Required) Enter the organization’s ALN. Information on obtaining a ALN number may be obtained by visiting [www.Grants.gov](http://www.Grants.gov). | | 19. | **Is Application Subject to Review by State Under Executive Order 12372 Process?** (Required**)** Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If “a.” is selected, enter the date the application was submitted to the State. |
| **d. Address**: Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US). | | 20. | **Is the Applicant Delinquent on any Federal Debt?**  (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment. |
|  | **e. Organizational Unit:** Enter the name of the primary organizational unit, department or division that will undertake the assistance activity. | | 21. | **Authorized Representative**: To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body’s authorization for you to sign this application as the official representative must be on file in the applicant’s office. (Certain federal agencies may require that this authorization be submitted as part of the application.) |
| **f. Name and contact information of person to be contacted on matters involving this application:** Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number. | |
| 9. | Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions. | |  |  |
| A.     State Government  B.     County Government  C.     City or Township Government  D.     Special District Government  E.     Regional Organization  F.     U.S. Territory or Possession  G.    Independent School District  H.     Public/State Controlled Institution of Higher Education  I.      Indian/Native American Tribal Government (Federally Recognized)  J.     Indian/Native American Tribal Government (Other than Federally Recognized)  K.     Indian/Native American Tribally Designated Organization  L.     Public/Indian Housing Authority | M.    Nonprofit  N.     Private Institution of Higher Education  O.    Individual  P.     For-Profit Organization (Other than Small Business)  Q.    Small Business  R.     Hispanic-serving Institution  S.     Historically Black Colleges and Universities (HBCUs)  T.     Tribally Controlled Colleges and Universities (TCCUs)  U.     Alaska Native and Native Hawaiian Serving Institutions  V.     Non-US Entity  W.    Other (specify) |  |

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

**Instructions for U.S. Department of Education**

**Supplemental Information for the SF-424**

<https://www.grants.gov/web/grants/forms/sf-424-family.html>

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

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

1. Human Subjects Research. (See I. A. “Definitions” in attached page entitled “Definitions for U.S. Department of Education Supplemental Information for the SF-424.”)
2. 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.
3. 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.”)
4. 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.”
5. 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.”
6. 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 subject’s 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.
7. 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 HHS at the time the regulations were established. We will strictly construe this exemption because it was not intended to apply to ED research**.**]**

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

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

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

**A. Exempt Research Narrative.**

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

**B. Nonexempt Research Narrative.**

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

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

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

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

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

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

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

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

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

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

## **Part II: ED Abstract Form**

* **Project Abstract**

This section should be attached as a single document to the ED Abstract Form in accordance with the instructions found on Grants.gov.

Ensure that you only attach the ED approved file types detailed in the Federal Register application notice (read-only, flattened .pdf files or Microsoft Word documents). Also, do not upload any password-protected files to your application.

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

We recommend the project abstract be **one to two** double spaced pagesandinclude a concise description of the following information, preferably in the following order:

* Name of the lead state
* Name of each state participating in the consortium
* Project objectives and activities
* Applicable priorities
* Proposed project outcomes

## **Part III: Project Narrative Attachment Form**

* **Cover Sheet**

The cover sheet includes the title of the proposed consortium, and the identity and address of the lead SEA for the consortium and of each other SEA or entity participating in the consortium. The Cover Sheet must be uploaded with the Application Narrative as one single document.

* **Application Narrative**

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

Ensure that you only attach the ED approved file types detailed in the Federal Register application notice (read-only, flattened .pdf files or Microsoft Word documents). Also, do not upload any password-protected files to your application.

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

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

In order for SEAs to be considered for incentive grants, a proposed consortium must address the following in the application narrative:

At least one of the three absolute priorities identified for this competition;

The goals and measurable outcomes of the consortium, and the activities that each participating SEA or entity in the consortium will conduct during each project year to improve the delivery of services to migratory children whose education is interrupted;

An explanation of the need for and value of the proposed consortium to each participating SEA, and of how the proposed consortium will improve interstate or intrastate coordination of migrant education programs;

A description of the process each participating SEA will use for evaluating its progress in achieving the measurable outcomes of the consortium; and

We recommend the project narrative not exceed 25 pages and adhere to 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 project narrative, including titles, headings, footnotes, quotations, references, and captions. However, you may single space all text in charts, tables, figures, and graphs. Charts, tables, figures, and graphs presented in the project narrative count toward the page limit.
* 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.

**Selection Criteria for Program Narrative**

CIG applications will be reviewed and ranked on the basis of how well the information they provide responds to the following selection criteria:

* Significance;
* Quality of Project Design;
* Quality of Project Services;
* Quality of the Management Plan; and
* Quality of the Project Evaluation.

Applicants should describe the priority or priorities on which their consortium will focus and how they propose to address the priority or priorities in terms of these selection criteria.

The Department will select for funding only those consortia of the highest quality. In determining which applications are of the highest quality, reviewers will rate each application using the following selection criteria and assign up to a total of 100 points. The maximum score for each criterion is described below. These selection criteria are from the general criteria for competitive grants contained in section 75.210 of EDGAR. Application reviewers will be provided with a suggested scoring rubric, which is included in the Frequently Asked Questions section of this document.

Please note that instances where the word “project” appears in the selection criteria, the reference is to the CIG project being proposed.

* 1. **Significance (up to 10 points).** The Secretary considers the need for the proposed project. In determining the need for the proposed project, the Secretary considers the following factors:
     1. The extent to which the proposed project is likely to build local capacity to provide, improve, or expand services that address the needs of the target population. (up to 5 points)
     2. The extent to which the results of the proposed project are to be disseminated in ways that will enable others to use the information or strategies. (up to 5 points)
  2. **Quality of the Project Design (up to 30 points).** The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers the following factors:
     1. The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable. (up to 10 points)
     2. The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs. (up to 7 points)
     3. The extent to which the proposed project will establish linkages with other appropriate agencies and organizations providing services to the target population. (up to 5 points)
     4. The extent to which the proposed project demonstrates a rationale (as defined in 34 CFR 77.1(c)). (up to 8 points)
  3. **Quality of Project Services (up to 30 points).** The Secretary considers the quality of the services to be provided by the proposed project.
     1. In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, sex, age, or disability. (Up to 3 points)
     2. In addition, the Secretary considers the following factors:

1. The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services. (up to 7 points)
2. The likely impact of the services to be provided by the proposed project on the intended recipients of those services. (up to 10 points)
3. The extent to which the technical assistance services to be provided by the proposed project involve the use of efficient strategies, including the use of technology, as appropriate, and the leveraging of non-project resources. (up to 5 points)
4. The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project services. (up to 5 points)
   1. **Quality of the Management Plan (up to 10 points).** The Secretary considers the quality of the management plan for the proposed project. In determining the quality of the management plan for the proposed project, the Secretary considers one or more of the following factors:
      1. The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project. (up to 2 points)
      2. The adequacy of mechanisms for ensuring high-quality products and services from the proposed project. (up to 3 points)
      3. The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project. (up to 5 points)
   2. **Quality of the Project Evaluation (up to 20 points).** The Secretary considers the quality of the evaluation to be conducted of the proposed project. In determining the quality of the project evaluation, the Secretary considers:
      1. The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project. (up to 10 points)
      2. The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes. (up to 10 points)

**Additional Factors**

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

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

## **Part IV: Other Attachments Form**

* Signed Statements
* Bibliography (if applicable)

Attach one or more documents to the Other Attachments Form in accordance with the instructions found on Grants.gov. You may provide all of the required information in a single document, or in multiple documents.

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. 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.

Consortium applications must include a signed statement from the Chief State School Officer (or his/her authorized representative) of each SEA that is participating in the proposed consortium arrangement that expresses his/her SEA’s commitment to implement its agency’s activities as described in the application. Only those SEAs whose Chief State School Officers or authorized representatives have letters of commitment included in the application will be eligible for CIG awards.

For extenuating circumstances only: In the event that an SEA is not able to submit the signed statement with the application due to delays caused by the need to obtain prior approval from the State Legislature or other agency in the State’s Executive Branch, the SEA may submit this signed commitment statement from the Chief State School Officer after the application deadline. For the SEA to be eligible to receive a Consortium Incentive Grant award, the Office of Migrant Education must receive the formal letter of SEA commitment no later than 45 days after the application deadline. Submit this signed letter of intent to the person listed as the Program Contact for this grant program.

As a placeholder, the SEA’s application must include a signed statement of intent to participate in the proposed consortium signed by the SEA’s Migrant Education Program Director or his or her superior. This placeholder letter should also include an expected timeline for submitting the letter of commitment from the SEA’s Chief State School Officer or his or her authorized representative, and an acknowledgment that the SEA will be ineligible to receive an award of CIG funds if OME does not receive the signed commitment statement no later than 45 days after the application deadline.

The applicant may include a bibliography or other supporting documentation in the Other Attachments Form section if it chooses.

## **Part V: Assurances and Certifications**

Be certain to complete all required assurances and certifications, and include all required information in the appropriate place on each form. The assurances and certifications required for this application are:

* Disclosure of Lobbying Activities (SF LLL Form)
* Grants.Gov Lobbying Form – “Certification Regarding Lobbying” (ED 80-013 Form)
* General Education Provisions Act (GEPA) Requirements – Section 427

The Lead SEA must submit these documents with Part V: Assurances and Certifications when it submits its application via Grants.gov.

Non-Lead SEAs can submit these documents to the Lead SEA for inclusion in the application submitted via Grants.gov or they can be submitted to the person listed as the Program Contact for this grant competition. **If these forms will be submitted for Non-Lead SEAs as part of the Grants.gov application submission, they must be submitted in Part IV: Other Attachment Forms.**

These documents must be submitted by the application closing date identified in the NIA.

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

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

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a follow up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5. If the organization filing the report in item 4 checks “Subawardee,” then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.

6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., “RFP-DE-90-001.”

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 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

**CERTIFICATION REGARDING LOBBYING**

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 an 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 than 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 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 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.

\* APPLICANT’S ORGANIZATION



\* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

Prefix: \_\_\_\_\_\_\_\_\_\_\_\_ \* First Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Middle Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\* Last Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Suffix: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\* Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\* SIGNATURE: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \* DATE: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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

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

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

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

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

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

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

OMB Control No. 1894-0005 (Exp. 06/30/2023)

**NOTICE TO ALL APPLICANTS**

The purpose of this enclosure is to inform you about the following 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**

**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 and reference the OMB Control Number 1894-0005.**

## **Part VI: Intergovernmental Review of Federal Programs (Executive Order 12372)**

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

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

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

[Intergovernmental Review (SPOC List) (whitehouse.gov)](https://www.whitehouse.gov/wp-content/uploads/2020/04/SPOC-4-13-20.pdf)

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], U.S. Department of Education, room 7E200. 400 Maryland Avenue, SW., Washington, DC 20202. Proof of mailing will be determined on the same basis as applications (see 34 CFR §75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Eastern Time) on the closing date indicated in this notice.

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

# **Legal and Regulatory Information**

## **Notice Inviting Applications**

<https://www.federalregister.gov/d/2023-03731>

## **Program Statute**

<https://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf>

## **Notice of Final Requirement (78 FR 79613)**

<https://www.federalregister.gov/d/2013-31325>

## **Notice of Final Priority (73 FR 13217)**

<https://www.federalregister.gov/d/E8-4960>

## **Notice of Final Requirements (69 FR 10110)**

<https://www.federalregister.gov/d/04-4719>

## **Supplemental Priorities (86 FR 70612)**

<https://www.federalregister.gov/d/2021-26615>