

**U.S. Department of Education
Office of Elementary and Secondary Education
Education Innovation and Research
Washington, D.C. 20202-6200**

Fiscal Year 2023

**Application for New Grants Under
The Education Innovation and Research**

CFDA 84.411 B



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

Yvonne Crockett
Education Innovation and Research
U.S. Department of Education
400 Maryland Avenue SW, 3E320
Washington, DC 20202-6200

[Note: Please do not return the completed application to this address.]

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United States Department of Education
OFFICE OF ELEMENTARY AND SECONDARY EDUCATION
EDUCATION INNOVATION AND RESEARCH

Dear Applicant:

Thank you for your interest in the Education Innovation and Research program, administered by the Office of Elementary and Secondary Education of the U.S. Department of Education (Department). This document includes information for applicants seeking funding for new grant projects in Fiscal Year 2023 under the Education Innovation and Research program, authorized under Title IV, Part F, Subpart 1 of the Elementary and Secondary Act, as amended. The purpose of the Education Innovation and Research program is to provide funding to create, develop, implement, replicate, or take to scale entrepreneurial, evidence-based, field-initiated innovations to improve student achievement and attainment for high-need students; and rigorously evaluate such innovations.

Please take the time to review the applicable priorities, selection criteria, and all the application instructions thoroughly. An application will not be evaluated for funding if the applicant does not comply with all the procedural rules that govern the submission of the application, or the application does not contain the information required under the program (EDGAR §75.216 (b) and (c)).

For this competition, please use the government-wide website, <http://www.grants.gov> to apply. We strongly encourage you to familiarize yourself with Grants.gov and strongly recommend that **you register *and* submit early.**

Applications submitted to [Grants.gov](http://www.grants.gov) for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download a compatible version of Adobe reader if they wish to view successful applicants. Please review the **Education Submission Procedures and Tips for Applicants** form found within this package for further information and guidance.

Using FY 2023 funds, the Department expects to award approximately \$273,000,000 for new grants across Early-phase, Mid-phase, and Expansion Education Innovation and Research competitions. We will award discretionary grants on a competitive basis for a project period of up to 60 months. Grants are expected to be awarded by December 2023 with a project start date of January 1, 2024.

Please visit our program website at <https://oese.ed.gov/offices/office-of-discretionary-grants-support-services/innovation-early-learning/education-innovation-and-research-eir/> for further information. The program website includes helpful information, frequently asked questions, dates of future webinars or workshops, and clarifications. If you have any technical questions about the program after reviewing the application package, please contact Yvonne Crockett by telephone at (202) 987-1753 or via e-mail at eir@ed.gov.

Sincerely,

Jamila Smith, Director
Innovation and Early Learning Programs

I. Program Background Information

Program Overview

The purpose of the Education Innovation and Research is to provide funding to create, develop, implement, replicate, or take to scale entrepreneurial, evidence-based, field-initiated innovations to improve student achievement and attainment for high-need students; and rigorously evaluate such innovations. These projects may include activities authorized under section 4611 of the Elementary and Secondary Education Act of 1965, as amended (ESEA). Priority shall be given to entities proposing projects that are designed to address the needs listed under section 461 of the Elementary and Secondary Education Act of 1965.

Application Requirements and Priorities

There are application requirements for this FY 2023 Mid-phase grant competition and any subsequent year in which awards are made from the list of unfunded applications from this competition. Grant competitions may include “Absolute Priorities,” which must be clearly met in order for an application to be considered, and also “Competitive Preference Priorities,” which are not required to be met but may increase the likelihood of receiving an award.

To read a list of priorities for this grant competition, please reference the Notice Inviting Applications (NIA) for this competition on the [Federal Register](#).

Frequently Asked Questions

Current information on this program, including Frequently Asked Questions (FAQs), can be found at [FY 2023 Competition - Office of Elementary and Secondary Education](#).

Applicant Guide

A completed application will include a program narrative. The program narrative is the section of the application that directly responds to the selection criteria. The program narrative should follow the order of the selection criteria. Applicants should describe, in detail, activities planned for each of the funding periods of the grant. The program office suggests that applicants limit the program narrative to 30 pages. Typically, applications are entered into the [Grants.gov](#) system. E-mailed applications are **not** acceptable. Narrative attachments must be submitted as files in a read-only, flattened Portable Document Format (PDF) document. If applicants upload a different file type or submit a password-protected file, we will not review that material.

Peer reviewers will evaluate each proposal. Reviewers will be asked to review the applicants’ responses to each criterion and score each of their assigned proposals. Not responding to a specific criterion could negatively the score.

The Notice Inviting Applications for this competition provides the selection criteria, application requirements, eligibility, definitions, and explanations on how each criterion and requirement will be applied during the review process.

Selection Criteria

The selection criteria for this competition are from 34 CFR 75.210. The maximum score for all the selection criteria and the maximum possible score for addressing each selection criterion (indicated in parentheses) is detailed in the Notice Inviting Applications for this grant competition. Each criterion also includes the factors that reviewers will consider in determining the extent to which an applicant meets the criterion. The selection criteria for this competition can be found in the Notice Inviting Applications for this grant competition.

Program Authority: Section 4611 of the ESEA, 20 U.S.C. 7261

Definitions

Definitions for this program are from 34 CFR 77.1, section 8101 of the ESEA, and the Supplemental Priorities and Definitions for Discretionary Grant Programs, published in the Federal Register on December 10, 2021 (86 FR 70612) (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 Notice Inviting Applications for this grant competition.

Technical Assistance Workshops for Prospective Applicants

A technical assistance webinar for prospective applicants, as well as informational PowerPoints and resources, will also be posted on the program website.

II. Application Submission Procedures

The deadline for submission of Education Innovation and Research Mid-phase Competition applications through Grants.gov is 11:59:59 PM EST on July 12, 2023.

IMPORTANT – PLEASE READ FIRST
U.S. Department of Education
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 Internet Explorer (IE), Mozilla Firefox, Google Chrome, and Apple Safari are supported for use with Grants.gov. However, these web browsers undergo frequent changes and updates, so we recommend you have the latest version when using Grants.gov. Legacy versions of these web browsers may be functional, but you may experience issues. Grants.gov no longer provides support for Microsoft Internet Explorer 9 or below.

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

ATTENTION – Workspace, Adobe Forms and PDF Files

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

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

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

NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download

the appropriate version of the software at:

<https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>

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

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

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

For additional training resources, including video tutorials, refer to

<https://www.grants.gov/web/grants/applicants/applicant-training.html>.

Helpful Reminders

- 1) **REGISTER EARLY** – Grants.gov registration involves many steps including registration on SAM (www.sam.gov), which usually takes approximately 7 to 10 business days, but can take longer depending on the completeness and accuracy of the data entered into the SAM database by an applicant. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. Please note that once your SAM registration is active, it will take 24-48 hours for the information to be available in Grants.gov, and before you can submit an application through Grants.gov. For detailed information on the Registration Steps, please go to: <http://www.grants.gov/web/grants/register.html>. Please note that your organization will need to update its SAM registration annually.

To register in SAM.gov, click on the “Get Started” link under the “Register Your Entity...” heading in SAM.gov. Grantees, and other entities wanting to do business with the U.S. Department of Education (e.g., entities applying for a grant), that are not already registered in SAM.gov must complete the “Register Entity” registration option and NOT the “Get a Unique Entity ID” option. The “Get a Unique Entity ID” option, which is not a full registration, is only available to entities for reporting purposes. Failing to complete the “Register Entity” option may result in loss of funding, loss of applicant eligibility, and/or

delays in receiving a grant award. Information about SAM is available at www.SAM.gov. To further assist you with registering in SAM or updating your existing SAM registration, see the [Quick Start Guide for Grant Registrations](#) and the Entity Registration Video at <https://sam.gov/content/entity-registration>.

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

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

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

If the date/time received is later than 11:59:59 p.m. Eastern Time, on the deadline date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site:

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

Submission Problems – What should you do?

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or email at: <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>

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

Helpful Hints When Working with Grants.gov

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

Slow Internet Connections

When using a slow internet connection, such as a dial-up connection, to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g., cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial up connection. Failure to fully upload an application by the deadline date and time will result in your application being marked late in the G5 system. **If you do not have access to a high-speed internet connection, you may want to consider following the instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than 14 calendar days before the application deadline date.** (See the Federal Register notice for detailed instructions and the [2022 Common Instructions](#).)

Attaching Files – Additional Tips

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

- When you submit your application electronically, you must upload any narrative sections and all other attachments to your application as files in either Portable Document Format (PDF) or Microsoft Word. Although applicants have the option of uploading any narrative sections and all other attachments to their application in either PDF or Microsoft Word, we **recommend** applicants submit all documents as read-only flattened PDFs, meaning any fillable PDF files must be saved and submitted as non-fillable PDF files and not as interactive or fillable PDF files, to

better ensure applications are processed in a more timely, accurate, and efficient manner.

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

Application Transmittal Instructions

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

Applicants are required to follow the Common Instructions for Applicants to Department of Education Discretionary Grant Programs, published in the Federal Register on December 27, 2021 (86 FR 73264), and available at [Federal Register :: Common Instructions for Applicants to Department of Education Discretionary Grant Programs](#) which contain requirements and information on how to submit an application.

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

Electronic Application Submission Checklist:

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

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

Part 1: Standard Documents

- Application for Federal Assistance (Form SF 424)
- ED Supplemental Information for SF 424
- Evidence Form
- Grant Application Form for Project Objectives and Performance Measures Information

Part 2: Budget Information

- ED Budget Information Non-Construction Programs (ED Form 524) Sections A & B

Part 3: ED Abstract Form

- Project Abstract (available at [FY23 Competition Page](#))

Part 4: Project Narrative Attachment Form

- Application Narrative

Part 5: Budget Narrative Attachment Form

- Budget Narrative

Part 6: Other Attachments Form

- Appendix A: Nonprofit 501(c)(3) status verification, if applicable
- Appendix B: Resumes of Key Personnel
- Appendix C: Letters of Support and Memoranda of Understanding, if applicable
- Appendix D: Waiver Request of 10% Match Requirement, if applicable
- Appendix E: Eligible Applicant's list of proprietary information found in the application, if applicable
- Appendix F: Rural Eligibility, if applicable (available at [FY23 Competition Page](#))
- Appendix G: Logic Model
- Appendix H: Demonstration of Match Contributions
- Appendix I: Copy of Indirect Cost Rate Agreement
- Appendix J: Other, if applicable

NOTE: Eligible applicants should attach all appendices to the Other Attachments Form. The Grants.gov system will allow applicants to attach as many as ten separate appendices in this section; however, applicants are encouraged to limit the number of appendix entries to a

reasonable number for a reviewer to read. The entire application package should be no larger than 8MB. Therefore, you may want to check the total size of your package before submission.

Part 7: 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 GEPA427 form)

Part 8: Intergovernmental Review (Executive Order 12372)

- State Single Point of Contact (SPOC) List

Part 1: Standard Documents

Application for Federal Assistance (Form SF 424)

Applicants may consider attaching their documentation for eligibility requirements to the SF 424 Form. The entity name as listed on the SF-424 (Box 8a) must be the legal name of an entity eligible for an EIR grant. Additional information is provided in the pages that follow and at <https://oese.ed.gov/offices/office-of-discretionary-grants-support-services/innovation-early-learning/education-innovation-and-research-eir/applicant-info-eligibility/>.

Additional information is available at the following links:

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

https://apply07.grants.gov/apply/forms/instructions/SF424_4_0-V4.0-Instructions.pdf

ED Supplemental Information for SF 424

These forms require basic identifying information about the applicant and the application. Please provide all requested applicant information (including name, address, e-mail address and Unique Entity ID (UEI)). **When applying electronically via Grants.gov, you will need to ensure that the UEI enter on your application is the same as the UEI your organization used when it registered with the System for Award Management.**

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 automatically wherever needed on other forms.

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

Additional information is provided at the following links

<https://www2.ed.gov/fund/grant/apply/appforms/sf424instruct.pdf>

Evidence Form

To be eligible for an award, an application for a Mid-phase grant must be supported by moderate evidence (as defined in the NIA) for at least one population or setting.

An applicant must identify up to two study citations to be reviewed against What Works Clearinghouse Evidence Standards for the purposes of meeting moderate evidence. The studies may have been conducted by the applicant or by a third party. An applicant must clearly identify these citations in the Evidence form. The Department may not review a study citation that an applicant fails to clearly identify for review. In addition to the two study citations, applicants must include in the Evidence form: (1) the positive student outcomes they intend to replicate under their Mid-phase grant and how the characteristics of students in the study citations and the positive student outcomes correspond with the characteristics of the high-need students to be served under the Mid-phase grant; (2) the correspondence of practice(s) the applicant plans to

implement with the practice(s) cited in the studies; and (3) the intended student outcomes that the practice(s) attempts to impact.

Additional information is provided at the following link

<https://www.grants.gov/web/grants/forms/sf424-fid.html?formId=759>

❑ Grant Application Form for Project Objectives and Performance Measures Information

Applicants, please download the fillable *Grant Application Form for Project Objectives and Performance Measures Information PDF* at the following link [SF-424 Family | GRANTS.GOV](#).

Part 2: Budget Information

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

This part of your application contains information about the Federal funding you are requesting. Remember that you must provide all requested budget information for each year of the project and the total column in order to be considered for Federal funding.

Instructions for completing ED Form 524 Section A (Refer to the following link for additional instructions: <https://www2.ed.gov/fund/grant/apply/appforms/ed524.pdf>):

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

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

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

Travel (line 3): Indicate the travel costs of employees and participants only. Provide a breakdown of the costs associated with each trip and justification for the costs. In addition, applicants should include costs for four project staff persons (project director, evaluator, and two partners) to attend a three-day meeting in Washington, DC in Year 1 and an annual 2-day project directors meeting in Washington, DC in Years 2-5. Include travel of persons such as consultants on line 6.

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

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

Contractual (line 6): The contractual category should include all costs specifically incurred with actions that the applicant takes in conjunction with an established internal procurement system. Include consultant fees, expenses, and travel costs in this category if the consultant's services are obtained through a written binding agreement or contract. Identify who is being contracted with, the amount of the contract (this should include a breakdown of the major service components of the contract and the costs of each portion) and an explanation of what the services are being provided by the contractor.

Construction (line 7): Not applicable

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

If considering costs related to meals, please first refer to the Department's guidance: <https://www2.ed.gov/policy/fund/guid/uniform-guidance/faqs-grantee-conferences.doc>.

Total Direct Costs (line 9): The sum of lines 1-8.

Indirect Costs (line 10): Indicate the applicant's approved indirect cost rate, per sections 75.560 – 75.564 of EDGAR. If an applicant does not have an approved indirect cost rate agreement with a cognizant Federal agency, the applicant may, if permitted by the Department use a temporary indirect cost rate if it wishes to charge indirect costs to the grant. For more information, go to the Department's website at: <http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>. In addition, a grantee, if it is eligible, may also use De Minimis rate as provided for under 2 CFR 200.414(f).

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

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

Part 3: ED Abstract Form

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

Ensure that you only attach the Education approved file types detailed in the Federal Register application notice. Also, do not upload any password-protected files to your application. Please note that Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.

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

Part 4: Project Narrative Attachment Form

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

Ensure that you only attach the Education approved file types detailed in the common instructions. Also, do not upload any password-protected files to your application.

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

☐ Table of Contents

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

☐ Application Narrative

The application narrative responds to the selection criteria, Absolute Priority 1: Moderate Evidence and one of the other four absolute priorities as specified in the NIA.

We encourage applicants to limit this section of the application to the equivalent of no more than 30 pages and adhere to the following guidelines:

- A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
 - Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
 - Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
 - Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.
- The recommended page limit **does not apply** to the cover sheet; the budget section, including the narrative budget justification; the assurances and certifications; or the project abstract, the resumes, the bibliography, or the letters of support. However, the recommended page limit does apply to the **Project Narrative**.

Selection Criteria for Program Narrative

The selection criteria for this competition are from 34 CFR 75.210 and section. Each criterion includes the factors that reviewers will consider in determining the extent to which an applicant meets the criterion. The selection criteria for this competition can be found in the Notice Inviting Applications for this grant competition.

All applicants are required to respond to each of the selection criteria in the NIA published in the Federal Register on May 23, 2023. Peer reviewers will assess applications based on the selection criteria. No outside factors, such as personal knowledge of past performance, or subjective

judgments about what an application should contain may be considered. Please note that within each criterion factors have specific points associated with them. The application should be a comprehensive design for the proposed intervention and desired outcomes. Therefore, reviewers will be directed to read the application in its entirety to determine the overall quality of the proposed project and the quality of the applicant’s response to each criterion.

Peer reviewer comments and scores reflect the overall assessment of the quality of the response. Comments indicate why the applicant’s response to each selection criterion is excellent, very good, good, fair, poor, or not addressed. Scores indicate how well or poorly the applicant responded to a selection criterion.

Suggested Point Ranges for Rating Applicant Responses to the Factors in the Selection Criteria: This suggested scoring range chart will be provided to peer reviewers to assist in the reviewing and scoring of the eligible applicant’s response to the selection criteria. It is included here for the applicants’ reference. Reviewers can use this when scoring each factor that correspond to each criterion.

Maximum Point Value	Quality of Applicant’s Response					
	Not Addressed	Poor	Fair	Good	Very Good	Excellent
40	0	1-8	9-16	17-24	25-32	33-40
35	0	1-7	8-14	15-21	22-28	29-35
30	0	1-6	7-12	13-18	19-24	25-30
25	0	1-5	6-10	11-15	16-20	20-25
20	0	1-4	5-8	9-12	13-16	17-20
15	0	1-3	4-6	7-9	10-12	13-15
10	0	1-2	3-4	5-6	7-8	9-10
5	0	1	2	3	4	5

Selection Criteria A. Significance (up to 15 points).

The Secretary considers the significance of the proposed project. In determining the significance of the proposed project, the Secretary considers the extent to which the proposed project involves the development or demonstration of promising new strategies that build on, or are alternatives to, existing strategies.

Selection Criteria B. Strategy to Scale (up to 40 points).

The Secretary considers the applicant’s strategy to scale the proposed project. In determining the applicant’s capacity to scale the proposed project, the Secretary considers the following factors:

- (1) The extent to which the applicant identifies a specific strategy or strategies that address a particular barrier or barriers that prevented the applicant, in the past, from reaching the level of scale that is proposed in the application. (10 points)
- (2) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks. (5 points)
- (3) The applicant's capacity (e.g., in terms of qualified personnel, financial resources, or management capacity) to bring the proposed project to scale on a national or regional level (as defined in 34 CFR 77.1(c)) working directly, or through partners, during the grant period. (10 points)
- (4) The mechanisms the applicant will use to broadly disseminate information on its project so as to support further development or replication. (10 points)
- (5) The likely utility of the products (such as information, materials, processes, or techniques) that will result from the proposed project, including the potential for their being used effectively in a variety of other settings (5 points)

Selection Criterion C. Quality of the Project Design (up to 15 points).

The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers the following factors:

- (1) The extent to which there is a conceptual framework underlying the proposed research or demonstration activities and the quality of that framework. (5 points)
- (2) The extent to which the goals, objectives, and outcomes to be achieved by the proposed projects are clearly specified and measurable. (5 points)
- (3) The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs. (5 points)

Selection Criterion D. Quality of the Project Evaluation (up to 30 points).

The Secretary considers the quality of the evaluation to be conducted of the proposed project. In determining the quality of the evaluation, the Secretary considers the following factors:

- (1) The extent to which the methods of evaluation will, if well implemented, produce evidence about the project's effectiveness that would meet the What Works Clearinghouse standards without reservations as described in the What Works Clearinghouse Handbook (as defined in 34 CFR 77.1(c)). (15 points)
- (2) The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings. (5 points)
- (3) The extent to which the evaluation plan clearly articulates the key project components, mediators, and outcomes, as well as a measurable threshold for acceptable implementation. (5 points)
- (4) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes. (5 points)

Important note about the project evaluation: Applicant may wish to review the following technical assistance resources on evaluation:

- (1) WWC Procedures and Standards Handbook: <https://ies.ed.gov/ncee/wwc/Handbooks>;

(2) “Technical Assistance Materials for Conducting Rigorous Impact <https://ies.ed.gov/ncee/projects/evaluationTA.asp>; and (3) IES/NCEE Technical Methods papers: https://ies.ed.gov/ncee/tech_methods/. In addition, applicants may view an optional webinar recording that was hosted by the Institute of Education Sciences. The webinar focused on more rigorous evaluation designs, discussing strategies for designing and executing experimental studies that meet WWC evidence standards without reservations. This webinar is available at: <https://ies.ed.gov/ncee/wwc/multimedia/18>.

Part 5: Budget Narrative

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

Ensure that you only attach the Education approved file types detailed in the common instructions. Also, do not upload any password-protected files to your application. When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.

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

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

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

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

Important Notes

Applicants are encouraged to review the Electronic Code of Federal Regulations Uniform Guidance, *Cost Principles* in preparing their budget and budget narrative.

The Uniform Guidance may be found at the following link:
https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl

For each line item of both Sections A (federal costs) and B (non-federal costs/ match costs) of

the Budget Form (ED 524), provide detailed costs (in whole dollars) accompanied by a narrative justification to support your request. Also, please note that, in Section B, an applicant shows the funds or in-kind donations it proposes to use to meet the matching requirement as well as any other match funds or in-kind donations that it proposes to use to support its EIR project. For example, an applicant that requests \$1,000,000 must secure \$100,000 in matching funds; therefore, the project budget narrative would reflect how the total proposed budget of \$1,100,000 will be expended. An applicant need not have secured matching funds or in-kind donations in order to show those funds or donations in Section B; however, applicants must provide information on the source(s) of their matching contributions for the first year of the grant in their grant applications. If an applicant is submitting with its application a request for a reduction of the 10% matching requirement, the applicant may show in Section B the amount of match funds or in-kind donations it intends to use to support its EIR project consistent with that request.

Please check all figures and combined totals in the budget narrative and compare the amounts with those reflected on the ED 524.

Suggested Guidelines for the Budget Narrative

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

1. Personnel

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

2. Fringe Benefits

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

3. Travel

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

4. Equipment

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

5. Supplies

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

6. Contractual

- Provide the purpose and relation to project success.
- Describe the products to be acquired, and/or the professional services to be provided.
- Provide a brief justification for the use of the contractors selected.
- Identify the name(s) of the contracting party, including consultants, if available.
- Provide the cost per contractor.
- Provide the amount of time that the project will be working with the contractor(s).
- For professional services contracts, provide the amounts of time to be devoted to the project, including the costs to be charged to this proposed grant award.
- Provide a brief statement that you have followed the procedures for procurement under: 2 CFR 200.317-200.326.
- Provide the basis for cost estimates or computations.

7. Construction

Not applicable

8. Other

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

9. Total Direct Costs

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

10. Indirect Costs

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

11. Training Stipends

- Provide the basis for cost estimates or computations.

12. Total Costs

- Sum of direct costs, indirect costs, and stipends.
- Please provide total costs for each year of the project as well as grand total cost for the entire project.

Part 6: Other Attachment Form

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

Ensure that you only attach the Education approved file types detailed in the common instructions. Also, do not upload any password-protected files to your application.

Please note that Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.

Appendix A: Nonprofit 501(c)(3) status verification, if applicable

Consistent with 34 CFR 75.51(b), an entity may show that it is a nonprofit organization (as defined under 34 CFR 77.1(c)) by providing any of the following:

- (1) **Proof** that the Internal Revenue Service currently recognizes the applicant as an organization to which contributions are tax deductible under section 501(c)(3) of the Internal Revenue Code;
- (2) A statement from a State taxing body or the State attorney general certifying that:
 - (i) The organization is a nonprofit organization operating within the State; and
 - (ii) No part of its net earnings may lawfully benefit any private shareholder or individual;
- (3) A certified copy of the applicant's certificate of incorporation or similar document if it clearly establishes the nonprofit status of the applicant; or
- (4) Any item described in paragraphs (b)(1) through (3) of this section [immediately above] if that item applies to a State or national parent organization, together with a statement by the State or parent organization that the applicant is a local nonprofit affiliate.

LEA, SEA, BIE, and nonprofits are eligible to apply and submit and receive an EIR grant. A private IHE that can document its nonprofit status, as provided for under 34 CFR 75.51(b), which includes recognition by the Internal Revenue Service (IRS) as having 501(c)(3) status, is eligible to apply for and receive an EIR grant as a lead applicant, applying as a nonprofit organization. In addition, any IHE is eligible to be a partner in an application where an LEA, SEA, BIE, consortium of SEAs or LEAs, or a nonprofit organization is the lead applicant that submits the application. A nonprofit organization, such as a development foundation, which is affiliated with a public IHE, can apply for a grant. A public IHE that has 501(c)(3) status would also qualify as a nonprofit organization and could be a lead applicant for an EIR grant. A public IHE without 501(c)(3) status, or that could not provide any other documentation described in 34 CFR 75.51(b), however, would not qualify as a nonprofit organization, and therefore could not apply for and receive an EIR grant.

- Appendix B: Resumes of Key Personnel:** Provide brief resumes or job descriptions that describe personnel qualifications for the responsibilities they will carry out under the project.
- Appendix C: Letters of Support and Memoranda of Understanding, if applicable**
- Appendix D: Waiver Request of 10% Match Requirement, if applicable**
- Appendix E: Eligible Applicant’s list of proprietary information found in the application, if applicable.**
Eligible Applicants should identify the specific information and page numbers in the application where proprietary information can be found.
- Appendix F: Rural Eligibility Checklist, if applicable**
Applicants are strongly encouraged to complete the Rural Eligibility checklist, if applicable. The Rural Eligibility Checklist document is located on the EIR website at [FY 2023 Competition - Office of Elementary and Secondary Education](#). Also, applicants applying as rural are encouraged to retrieve locale codes from the National Center for Education Statistics School District search tool (<https://nces.ed.gov/ccd/districtsearch/>), where districts can be looked up individually to retrieve locale codes, and Public School search tool (<https://nces.ed.gov/ccd/schoolsearch/>), where individual schools can be looked up to retrieve locale codes.
- Appendix G: Logic Model:** Applicants should include a logic model (theory of action) for the proposed project. [Logic models: A tool for effective program planning, collaboration, and monitoring \(ed.gov\)](#)
- Appendix H: Demonstration of Match Contributions**
Grantees must demonstrate that they have secured their matching contributions for the first year of the grant in their grant applications. Please click on the following link to view EIR Matching Resources, which includes EIR Guidance and Examples of Adequate Evidence of Match and a Sample Summary Sheet:
<https://oese.ed.gov/offices/office-of-discretionary-grants-support-services/innovation-early-learning/education-innovation-and-research-eir/eir-matching-resources/>
Also check out the informational PowerPoint on the program website for Matching and Other General Requirements.
- Appendix I: Copy of Indirect Cost Rate Agreement**
- Appendix J: Other, if applicable**

Part 7: Assurances and Certifications

Be certain to complete all required assurances and certifications in [Grants.gov](https://grants.gov), 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)

Refer to instructions provided at the following link:

https://apply07.grants.gov/apply/forms/instructions/SFLLL_2_0-V2.0-Instructions.pdf

Grants.Gov Lobbying Form – “Certification Regarding Lobbying” (ED 80-013 Form)

Refer to the instructions provided at the following link:

https://apply07.grants.gov/apply/forms/instructions/GG_LobbyingForm-V1.1-Instructions.pdf

General Education Provisions Act (GEPA) Requirements – Section 427

Refer to Form Overview and Instructions provided at the following link: [GEPA 427 - Form Instructions for Application Package \(ed.gov\)](#)

GEPA Form provided at the following link:

<https://www2.ed.gov/fund/grant/apply/appforms/gepa427.pdf>

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

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

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

Further information about the State Single Point of Contact process and a list of names by State can be found at: [Intergovernmental Review \(SPOC List\) \(whitehouse.gov\)](#)

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.**

III. Reporting and Accountability

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

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

Government Performance and Results Act (GPRA) Measures

Under the Government Performance and Results Act (GPRA), the following performance indicators have been established to evaluate the overall effectiveness of the Education Innovation and Research. The GPRA Indicators can be found in the Notice Inviting Applications for this program.

Annual performance measures: (1) The percentage of grantees that reach their annual target number of students as specified in the application; (2) the percentage of grantees that reach their annual target number of high-need students as specified in the application; (3) the percentage of grantees with ongoing well-designed and independent evaluations that will provide evidence of their effectiveness at improving student outcomes in multiple contexts; (4) the percentage of grantees that implement an evaluation that provides information about the key practices and the approach of the project so as to facilitate replication; (5) the percentage of grantees that implement an evaluation that provides information on the cost-effectiveness of the key practices to identify potential obstacles and success factors to scaling; and (6) the cost per student served by the grant.

Cumulative performance measures: (1) The percentage of grantees that reach the targeted number of students specified in the application; (2) the percentage of grantees that reach the targeted number of high-need students specified in the application; (3) the percentage of grantees that implement a completed well-designed, well-implemented and independent evaluation that provides evidence of their effectiveness at improving student outcomes at scale; (4) the percentage of grantees with a completed well-designed, well-implemented, and independent evaluation that provides information about the key elements and the approach of the project so as to facilitate replication or testing in other settings; (5) the percentage of grantees with a completed evaluation that provided information on the cost-effectiveness of the key practices to identify potential obstacles and success factors to scaling; and (6) the cost per student served by the grant.

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

IV. Legal and Regulatory Information

Notice Inviting Applications Mid-phase

Program Statute

<https://oese.ed.gov/files/2016/12/ESEA-ESSA-eir.pdf>