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Fiscal Year 2012

Application for New Grants Under the State-Tribal Education Partnership (STEP) Pilot

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If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Joyce Silverthorne, Office of Indian Education, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3E201, Washington, D.C. 20202-6244.

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United States Department of Education
OFFICE OF ELEMENTARY AND SECONDARY EDUCATION
OFFICE OF INDIAN EDUCATION

Dear Colleague:

Thank you for your interest in the State-Tribal Education Partnership (STEP) Pilot, administered by the Office of Elementary and Secondary Education of the U.S. Department of Education (Department). The Consolidated Appropriations Act of 2012 (Pub. L. 112-74) has provided funding under the Indian Education National Activities authority for a pilot competition under which the Department will provide grants to tribal education agencies (TEAs) to increase their role in the education of American Indian/Alaska Native (AI/AN) children.

Please take the time to review the applicable requirements, definitions, 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. (EDGAR §75.216 (b) and (c)).

For this competition it is **mandatory** for applicants to use the government-wide website, Grants.gov (http://www.grants.gov), to apply. Please note that the Grants.gov site works differently than the U.S. Department of Education's e-Application System. We strongly encourage you to familiarize yourself with Grants.gov and strongly recommend that you register *and* submit early.

Also be aware that applications submitted to Grants.gov for the Department of Education will now be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Please review the **Submitting Applications with Adobe Reader Software** and **Education Submission Procedures and Tips for Applicants** forms found within this package for further information and guidance related to this requirement.

Using FY 2012 funds, the Department expects to award $1,977,000 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 September.

Please visit our program website at http://www2.ed.gov/programs/STEP/index.html for further information. If you have any questions about the program after reviewing the application package, please contact Joyce Silverthorne, Office of Indian Education, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3E201, Washington, D.C. 20202-6244. by telephone at (202) 401-0767 or via e-mail at step@ed.gov.

State-Tribal Education Partnership (STEP) Pilot Fast Facts

Purpose: The purposes of these grants are to (a) promote increased collaboration between TEAs and SEAs in the administration of certain State-administered formula grant programs, and (b) build the capacity of TEAs to conduct certain State-level administrative functions under those programs for eligible schools located on a reservation.

Eligible Applicants: A TEA, in partnership with a State educational agency (SEA), or a consortium of TEAs in partnership with an SEA. In all cases a single TEA will serve as the applicant. A TEA consortium application must comply with the Department's regulations governing group applications in 34 CFR 75.127 through 75.129, and must include a signed consortium agreement that identifies each member of the consortium, binds each member of the group to every statement and assurance made by the applicant in the application, and details the activities that each member of the group would perform under the grant. Letters of support from proposed consortium members do not meet the requirement for a consortium agreement.

Tribal Education Agency (TEA): The agency, department, or instrumentality of an eligible Indian tribe that is primarily responsible for supporting the elementary and secondary education of tribal students.

Application Deadline Date: July 13, 2012

Application Submission: Applications must be submitted electronically using the Government-wide Grants.gov Apply site at www.Grants.gov.

Project Period: The project period for this grant program consists of three grant periods, each of 12 months duration for a total of 36 months.

Estimated Available Funds: $1,977,000

Estimated Range Of Awards: $400,000-$500,000 for a single TEA in partnership with a single SEA. $500,000-$750,000 for a consortium of TEAs in partnership with a single SEA.

Estimated Average Size Of Awards: $450,000 for a single TEA in partnership with a single SEA; $600,000 for a consortium of TEAs in partnership with a single SEA.

Maximum Award: We will reject any application from a single TEA that proposes a budget exceeding $500,000 for a budget period of 12 months. In addition, we will reject any application from a consortium of TEAs that proposes a budget exceeding $750,000 for a single budget period of 12 months. The Assistant Secretary for Elementary and Secondary Education may change the maximum amount through a notice published in the Federal Register.

Estimated Number Of Awards: 3 to 5.

Notice Of Intent To Apply: The Secretary strongly encourages each potential applicant to notify us of the applicant's intent to submit an application for funding by sending an email to

step@ed.gov with "Intent to Apply" in the subject line. The email should contain the following information:

1. Applicant name, mailing address and phone number;
2. Contact person's name and email address;
3. Name of State Education Agency; and
4. Whether the applicant intends to apply as a single TEA or a consortium of TEAs.

Applicants that do not submit a notice of intent to apply may still apply for funding.

Pre-Application Webinars: The Department intends to hold pre-application Webinars designed to provide technical assistance to interested applicants. The first Webinar will be held on June 1, 2012, and repeated on June 5, 2012. Information about Webinar times and instructions for registering are on the Department Web site at http://www2.ed.gov/programs/STEP/index.html.

Competition Manager: Joyce Silverthorne**, Email**: step@ed.gov. **Telephone:** (202) 401-0767.

Program Overview

The fiscal year 2012 appropriation for the Department includes funding for a pilot program under the Indian Education National Activities authority. Under the pilot, the Department will award competitive grants to TEAs (as defined in the Notice inviting applications and in this application package) to increase their role in the education of American Indian and Alaska Native (AI/AN) students, including education to meet the unique educational and cultural needs of AI/AN students and improve their academic achievement.

Specifically, the purposes of these grants are to (a) promote increased collaboration between TEAs and SEAs in the administration of certain State-administered formula grant programs, and (b) build the capacity of TEAs to conduct certain State-level administrative functions under those programs for eligible schools located on a reservation.

Background

Under this pilot program, known as the STEP Pilot, the Department intends to fund the implementation of collaborative agreements between TEAs and SEAs. Under these agreements, SEAs will transfer to TEAs some State-level functions related to the administration of certain Elementary and Secondary Education Act (ESEA) programs for eligible schools located on a reservation, with the goal of improving educational outcomes for AI/AN students. (Eligible schools and reservation are defined in the Notice inviting applications and in this application package.)

The most critical aspect of the STEP Pilot will be the strength of the collaborative agreement between the TEA and SEA. The agreement must document the SEA's and the TEA's commitment to the pilot project and describe in detail what is to be accomplished during the project period (as defined in the Notice inviting applications and in this application package). However, the Department recognizes that, given the complexities involved in developing such an agreement, the application period for the STEP Pilot grant program likely will not be long enough for the TEAs and SEAs to complete a detailed collaborative agreement that adequately addresses each of the issues that need to be considered. Therefore, we are requiring an application for a STEP Pilot grant to include a written preliminary agreement between the participating SEA and the TEA under which the SEA and TEA agree to (a) work together toward the transfer of agreed-upon State-level ESEA formula grant administrative functions to the TEA over the course of the pilot, and (b) collaborate on activities that will enable the TEA to begin to carry out those functions by July 2, 2013. Within nine months from the start of the grant period, the TEA and SEA must enter into a final collaborative agreement that builds on the preliminary agreement and details the activities that the two agencies will carry out under the grant to enable the TEA to perform the agreed-upon State-level administrative functions by the end of the project period and beyond. TEA grantees must submit the final agreement to the Department by June 29, 2013. The Department's review of the final agreement will serve as one basis for continued funding in grant years two and three.

The Department expects that, during the first year of the STEP Pilot, the SEA will work with the TEA to prepare the TEA to perform the State-level administrative grant functions detailed in the preliminary agreement, so that by July 2, 2013, the TEA will begin to perform those functions. By the end of the project, the Department expects that each TEA grantee will be able to carry out selected State-level administrative functions under ESEA State-administered formula grant programs and that the TEA will have strengthened its relationship with the SEA, local educational agencies (LEAs), and schools on a reservation in a manner that is sustainable and supports the TEA's efforts to improve educational services and outcomes for AI/AN students.

Note: The Department will not grant formula funds to TEAs as a part of this pilot program. We cannot change the designated grantee, under an ESEA program, from an SEA to a different entity without a statutory change to the ESEA, and the FY 2012 Appropriations Act does not provide that authority. Grant funds awarded to successful applicants will consist only of discretionary funds appropriated for this competition. SEAs that participate in a project under the pilot will continue to subgrant ESEA State-administered formula funds to LEAs that are eligible to receive them, including LEAs with schools participating in that project. SEAs will continue to have the responsibility to ensure subrecipient compliance with the applicable laws and regulations governing all ESEA State-administered formula grant programs. However, an SEA could, as part of its agreement with a TEA, provide a portion of the SEA's administrative set-aside funds under ESEA programs to a TEA in accordance with applicable State procurement law. The Department will continue to monitor the performance of the SEA as the agent required to comply with Federal law.

Preliminary Agreement Requirements:

An applicant must submit a preliminary agreement between the TEA and the SEA with its application for funding. Letters of support from an SEA will not meet this requirement.

The preliminary agreement must include--

(a) A clear vision for how the SEA and TEA will work collaboratively to administer selected ESEA State-administered formula grant programs in eligible schools;
(b) A list of the ESEA State-administered formula programs for which the TEA will assume State-level administrative functions;
(c) A description of the State-level administrative functions the TEA will assume by July 2, 2013, and by the end of the project period;
(d) The capacity-building activities that both the TEA and the SEA will carry out before July 2, 2013, in order for the TEA to be ready to assume those functions;
(e) A description of the capacity-building (as defined in the Notice inviting applications and in this application package) activities that the SEA will undertake to prepare the TEA to assume those functions, and of any assistance that the TEA will provide to the SEA to facilitate the project. This assistance may include (1) increasing the SEA's knowledge about the unique cultural and academic needs of AI/AN students enrolled in schools that will participate in the project, (2) addressing those needs more effectively, and (3) increasing the SEA's ability to work effectively with TEAs in a culturally competent manner (as defined in the Notice inviting applications and in this application package);
(f) A list of the LEAs and eligible schools expected to participate in the project;
(g) The collaborative activities the SEA and TEA will undertake to produce a final agreement; and
(h) The activities the SEA and the TEA will undertake to engage LEAs' participation in the grant project.

Final Agreement Requirements:

By June 29, 2013, nine months after the start of the first grant period, each TEA grantee must submit to the Department a final agreement that builds on the preliminary agreement and details a feasible, sustainable plan for how the TEA and SEA will work together and in collaboration with affected LEAs to administer selected ESEA State-administered formula grant programs to children in public schools on reservations. The final agreement must--

(a) Expand and refine, as appropriate, the vision presented in the preliminary agreement for how the TEA and SEA will work together and in collaboration with the selected LEAs to administer ESEA formula grant

programs in ways that (1) acknowledge and support the role of the tribe in educating its students, and (2) account for the responsibility of the SEA to ensure that LEAs are in compliance with the laws and regulations that govern the relevant formula grant programs.

(b) Make explicit what will be accomplished during the remainder of the project period in order to fully realize that vision, including by providing detailed descriptions of (1) the specific functions that the TEA will assume for one or more ESEA State-administered programs, (2) the timetable for the TEA assuming those functions, (3) the knowledge and competencies the TEA will need to acquire over the remainder of the project period in order to perform those functions successfully, (4) the functions or aspects of functions that the SEA will retain for the programs and schools covered by the agreement, (5) the activities that the SEA (directly or through contracted entities) will conduct to ensure that the TEA is able to perform its new functions successfully, (6) the activities, if appropriate, that the TEA and SEA will carry out in order to increase the SEA's knowledge about the unique cultural and academic needs of AI/AN students enrolled in participating schools and how to address those needs more effectively, and (7) the activities, if appropriate, that the SEA and TEA will undertake to further their ability to work together effectively in a culturally competent manner.

(c) Discuss the actions that the TEA and SEA will take to sustain the TEA's assumption of State-level responsibilities for the ESEA programs for the participating schools after the project ends.

(d) Include a list of the eligible schools that will participate in the second and third grant periods. The list may differ from the list of schools included in the preliminary agreement.

(e) Make explicit how the specific functions that the TEA will assume during the course of the grant will (1) align with and support Federal and State education priorities and initiatives to improve the education outcomes for all students and ensure that all students graduate high school college- and career-ready; and (2) address the unique educational and cultural needs of the students.

(f) Identify challenges (e.g., legislative constraints, State policy constraints, local school board rules, collective bargaining agreements) that may pose a risk to the implementation of the project and the strategies that the TEA and SEA will pursue in order to overcome those challenges.

(g) Assure that the TEA and SEA understand the continued responsibility of the SEA to ensure that affected LEAs are in compliance with the relevant ESEA formula grant laws and regulations.

(h) Describe how the TEA and SEA will work together to support the SEA's continued oversight responsibilities.

(i) Describe the relationships to be built among the TEA, the SEA, and the affected LEAs, including lines of authority, responsibility, and methods of communication.

(j) Include a letter of support from the superintendent of each LEA that will participate in the project indicating that the superintendent understands and supports the purposes, activities, and outcomes of the project as proposed in the application and defined in the final agreement.

Additional Application Requirements

To be considered for an award under this competition, each applicant must provide a detailed project narrative and a budget narrative.

Project Narrative: The project narrative must explain how the terms of the agreement between the TEA and SEA, as outlined in the preliminary agreement, will be met.
At minimum, the project narrative must--

(a) Describe the proposed STEP Pilot project goals and objectives pursuant to the vision and terms of agreement outlined in the preliminary agreement and the timeline for accomplishing the goals and objectives over the project period;

(b) Describe the demographics of the LEA (or LEAs) and eligible schools for which the TEA will perform ESEA State-level administrative functions and explain the rationale for selecting those LEAs and schools;
(c) Explain the rationale for selecting the ESEA State-administered formula grant program(s) for which the TEA will perform State-level administrative functions;
(d) Explain the rationale for selecting the State-level function(s) the TEA will perform during the project period and the timeline for the TEA assuming those function(s);
(e) Explain how the TEA's performance of those functions will support the implementation of State and local efforts to improve services to and the educational outcomes for AI/AN children;
(f) Describe the functions the TEA will be able to perform during each year of the grant;
(g) Describe how the STEP Pilot grant funds will enable the TEA capacity to carry out the agreed upon State-level functions;
(h) Discuss the actions that the TEA and SEA will take during the first nine months of the grant toward developing a final agreement;
(i) Identify the members of the applicant project team and each member's role and responsibility;
(j) Describe the qualifications of key personnel on the project team and the time each will be allocated to the project;
(k) Identify the key SEA contacts and the role each will have in carrying out the activities of the project;
(l) If the application is submitted by a consortium, describe each consortium member's role, activities, and time allocated to the project;
(m) If applicable, identify consultants to the project, their role, and their qualifications;
(n) Describe the organizational structure for managing project activities and resources, including lines of authority and procedures for decision-making;
(o) Include a schedule of tasks and timelines for carrying out the activities of the grant that assign responsibility for each task, including milestones and deliverables;
(p) Describe the procedures and measures that the applicant will use to document project activities, monitor the progress in implementing those activities, and assess the effectiveness of the project activities toward meeting the goals and objectives of the grant; and
(q) To the extent the TEA's performance under this agreement requires the use of information from student education records covered by the Family Educational Rights and Privacy Act (FERPA) or other privacy statutes, explain how compliance with FERPA and other privacy statutes will be achieved (e.g., under FERPA, the participating LEA(s) may designate the TEA as an authorized representative under the audit and evaluation exception).

Budget Narrative: In general, the budget narrative must, for each year of funding--

(a) Detail the amount of grant funds that will be allocated to each budget category;
(b) Explain how grant funds allocated to each category will be used (e.g., by the TEA to hire and train personnel, to acquire data systems, to purchase supplies and equipment, or for travel; by the SEA for training of TEA personnel, or for travel, by the SEA for training of TEA personnel or for travel). In addition, the budget narrative must identify any procurements that will be required, the purpose for the procurements, and the procurement process that will be used.

Eligibility Requirements

To be eligible for an award, an applicant must include, as a part of its application, evidence that documents the applicant's eligibility, including a:
(a) Certification by the eligible Indian tribe, as defined in the Notice inviting applications and in this application package, that the applicant is the agency, department, or instrumentality of an Indian tribe that is primarily responsible for supporting the elementary and secondary education of the tribe's students.
(b) Certification by the eligible Indian tribe that it has a reservation, as defined in the Notice Inviting Applications and in this application package; the certification must specify the census designation under which the reservation qualifies.
(c) Confirmation by the SEA that the schools participating in the project are eligible schools, as defined in the Notice inviting applications and in this application package.

Definitions

The following definitions apply to this program:

Applicant means the single entity that applies for a grant under this program. The applicant may be a single TEA in partnership with an SEA, or a single TEA applying on behalf of a consortium of eligible TEAs in partnership with an SEA.

Capacity refers to the level of knowledge, skills and ability of individuals or groups to perform specific activities or functions.

Capacity-building refers to activities to strengthen the knowledge, skills, and abilities of individuals or groups to perform specific activities or functions.

Consortium of TEAs means two or more Tribal Education Agencies acting collaboratively for the purpose of applying for and implementing a joint project as part of the STEP Pilot program.

Cultural competence manner means an ability to understand, communicate with, and interact effectively with people of different cultures. Cultural competence involves (a) awareness of one's own cultural worldview and (b) knowledge of and the capacity to value different cultural practices and worldviews.

Eligible Indian tribe means a federally recognized or State-recognized tribe that has an Indian reservation on which one or more eligible schools are operating.

Eligible school means a public school operating on the eligible Indian tribe's reservation. Eligible schools do not include schools that are funded primarily by the Department of Interior's Bureau of Indian Education.

Project period for this pilot consists of three grant periods, each of 12 months duration for a total of 36 months.

Reservation means an "American Indian Reservation or Off-Reservation Trust Land (Federal)," "Oklahoma Tribal Statistical Area," "American Indian Reservation (State)," or "Alaska Native Village Statistical Areas," as those terms are used by the U.S. Census Bureau (see definitions at www.census.gov/geo/www/2010census/gtc/gtc_aiannha.html).
Note: If you are unsure as to a reservation's status, contact the person listed as the Agency Contact in section VII of the Notice inviting applications.

State-administered formula grant program means a program authorized under the Elementary and Secondary Education Act of 1965, as amended (ESEA), for which States receive formula funding, sub-grant (distribute) funds to LEAs or other entities in accordance with a statutory allocation formula and other criteria established in the statute, and oversee the use of those funds by sub-recipients. As such, State-administered ESEA formula grant programs do not include programs for which formula funds are not granted directly to the State.

Programs that could be included in a STEP Pilot project are: Title I, Part A; School Improvement Grants (ESEA §1003(g)); Migrant Education (Title I, Part C); Neglected and Delinquent State Grants (Title I, Part D); Improving Teacher Quality State Grants (Title II, Part A); English Learner Education State Grants (Title III, Part A); 21st Century Community Learning Centers (Title IV, Part B), and Rural and Low-Income School Program (Title VI, Part B).

Note: Impact Aid (Title VIII) and Indian Education Formula Grant Programs (Title VII, Part A), are not included in this definition as funds for those programs are granted by the Department directly to LEAs, not SEAs.

Tribal Education Agency (TEA) means the agency, department, or instrumentality of an eligible Indian tribe that is primarily responsible for supporting the elementary and secondary education of tribal students.

Authority

This grant program is authorized under Section 7131(a)(4) of the Elementary and Secondary Education Act, 20 U.S.C. 7451(a)(4).

Official Documents Notice

The official document governing this competition is the Notice inviting applications published in the Federal Register on May 29, 2012 (See Section G --Legal and Regulatory Documents of this application package). The Notice inviting applications is also available electronically at the following Web sites: www.ed.gov/legislation/FedRegister and www.gpoaccess.gov/nara.

Project Period

The project period for this grant is 36 months (3 budget periods of 12 months each).
Note: Continuation of each successive grant period is subject to satisfactory performance, submission of an annual report and availability of funds.

Grant Award Limitations

(a) No applicant may receive more than one grant award.
(b) Limitation on the award amount. We will reject any application from a single TEA in partnership with an SEA that proposes a budget exceeding $500,000 for a single budget period of 12 months. We will reject any application from a Consortium of TEAs in partnership with an SEA that proposes a budget exceeding $750,000 for a single budget period of 12 months.

Application Due Date

Applications must be submitted on or before July 13, 2012. Please note that the Department of Education (Department) grant application deadlines are 4:30:00 P.M. Washington, D.C. time. Late applications will not be accepted. *We strongly suggest that you submit your application several days before the deadline.* The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date and time.

Application Submission

Applications must be submitted electronically using the Government-wide Grants.gov Apply site at www.Grants.gov. See Section C, "Application Submission Procedures" for information on how to submit applications electronically.

Project Director Time Commitment

Applicants are requested to provide the percent of the Project Director's time that will be dedicated to the grant project if funded. For example, if the Project Director works 40 hours per week and spends 20 hours per week working on grant activities, then the time commitment for the Project Director would be 50%. We suggest that applicants include this information in the budget narrative or that they add this information to the Project Director line on the Department of Education Supplement to the Standard Form 424.

Travel Budget

Applicants are strongly encouraged to budget funds for a representative from the TEA and a representative from the SEA to attend a Project Director's Meeting in the first year of the grant. The applicant is also strongly encouraged to budget funds for a representative from the TEA, a representative from the SEA and a representative from at least one LEA to attend a Project Director's Meeting in years two and three of the grant. For planning purposes, this would include funds for transportation, lodging for one night and per diem costs. There are no meeting or registration costs for our grantees and the meetings will be held in Washington, DC.

E-Mail Addresses

As part of our review of your application, we may need to contact you with questions for clarification. Please be sure your application contains valid e-mail addresses for the project director and authorized representative or another party designated to answer questions in the event the project director and authorized representative are unavailable.

Frequently Asked Questions

These frequently asked questions (FAQs) are designed to provide applicants for funding from the STEP tribal education agency pilot program with information about the 2012 competition.

1. What is the purpose of the STEP tribal education agency (TEA) pilot?

The purpose of the STEP pilot is to increase the role of tribal education agencies in the education of American Indian/Alaska Native (AI/AN) students so that TEAs and State educational agencies (SEA) can, through collaboration, better meet the needs of AI/AN children. The funds awarded by this program must support the activities detailed in the preliminary and final agreements (see question 10), which include efforts to build the capacity of TEAs to perform certain State-level functions for certain formula grant programs in public schools operating on Indian reservations. Those grant programs are the State-administered formula grant programs under Elementary and Secondary Education Act, as amended (ESEA) (see question 3).

2. What is an SEA, and what do we mean by "SEA-level functions"?

As defined in section 9101(41) of the ESEA, a "State educational agency" is the agency primarily responsible for the State supervision of public elementary schools and secondary schools. Depending on the particular program authorization, SEA-level functions include making subgrants (either competitively or by formula) to

local educational agencies (LEAs) and other subgrantees; developing policy; providing technical assistance to subgrantees; monitoring for compliance; collecting, analyzing, and reporting performance information; and evaluating programs. (See question 8). A TEA cannot take on an SEA's subgranting function. It can, however, agree to take on any of the other functions, under agreement with the SEA, consistent with State procurement laws.

3. What are the ESEA State-administered formula grant programs, and which programs could TEAs and SEAs include in a pilot?

ESEA State-administered formula grant programs are the programs for which States: receive ESEA formula funding, may subgrant these funds to LEAs or other entities (in accordance with statutory allocation formulas or other criteria), and oversee the use of those funds by subrecipients. Therefore, ESEA State-administered formula grant programs *do not* include formula grant programs such as Impact Aid (Title VIII) and Indian Education Grants to Local Educational Agencies (Title VII, Part A) because the Department makes these grants directly to local educational agencies (LEAs).

The programs that may be included in a STEP pilot are:

- Title I, Part A;
- School Improvement Grants (ESEA §1003(g));
- Migrant Education (Title I, Part C);
- Neglected and Delinquent State Grants (Title I, Part D);
- Improving Teacher Quality State Grants (Title II, Part A);
- English Learner Education State Grants (Title III, Part A);
- 21st Century Community Learning Centers (Title IV, Part B); and
- The Rural and Low-Income School Program (Title VI, Part B).

4. Can an SEA provide part of its State set-aside funding for administrative costs under an ESEA formula grant program to its TEA partner in the STEP pilot?

This will depend on the provisions of the agreement entered into between the TEA and the SEA. SEAs are not required to provide a portion of their formula grant administration funds to the TEA in order to participate in this pilot; however, an SEA could agree to provide a TEA with a portion of these funds, in accordance with applicable State procurement laws, in order to enable the TEA to assume certain ESEA State-level functions. If the TEA and the SEA agree to share formula grant administrative funds, the fund distribution must be detailed in the budget submitted to the Department with the grant application. There are several ways applicants and SEAs could share funding: (a) share the STEP grant award only; (b) share the STEP grant award and the SEA's grant administration funds; (c) share the SEA's grant administration funds but only the TEA uses the STEP grant award; or (d) share no funds. The ultimate goal of the distribution of funds should be to support the objectives of the pilot.

5. Will TEAs receive State-administered formula grant program funds from the Department to distribute to the affected LEAs during the pilot?

No. The Department will not grant formula funds to TEAs as a part of this pilot. The Department cannot change the designated grantee under an ESEA program from an SEA to a different entity without a statutory change. The FY 2012 Appropriations Act does not provide that authority. STEP grant funds to successful

applicants will consist only of discretionary funds appropriated for this competition. However, a TEA and SEA may distribute funds according to the options listed in question 4. SEAs that participate in the pilot will continue to subgrant ESEA State-administered formula funds to eligible LEAs in the State, including to LEAs with schools involved in the pilot. SEAs will continue to have the responsibility and authority to ensure subrecipient compliance with the applicable laws and regulations governing all ESEA State-administered formula grant programs. The Department will continue to monitor the performance of the SEA as the agent required to comply with the requirements of Federal laws and regulations related to the administration of the ESEA.

6. Will a TEA receiving a STEP pilot grant become the agency responsible to the Department for ensuring compliance with statutory and regulatory requirements?

No. As noted in the response to question 5, the SEA will remain responsible for compliance with ESEA program requirements. The Department will continue to monitor the performance of the SEA as the agent required to comply with the requirements of Federal laws and regulations related to the administration of the ESEA.

7. If a TEA and SEA decide to undertake joint functions, such as monitoring or providing technical assistance, would that count as the TEA assuming administrative functions?

Yes, it could. The types of SEA-level functions that a TEA will perform by the end of year one and for the remainder of the grant period will depend on the terms of the agreement reached by the TEA and SEA. A TEA's assumption of State-level responsibilities under an agreement could include carrying out certain responsibilities jointly with the SEA. Alternatively, TEAs could take on an activity on its own, on behalf of the SEA. Under either option, SEAs would retain legal responsibility to the Department, as discussed in question 5.

8. What are examples of SEA-level responsibilities that a TEA might assume as part of this pilot?

Examples of responsibilities that a TEA might carry out through the pilot include:

a. Under Title I-A, Part A, a TEA could propose in its STEP pilot grant proposal to develop a reservation-wide Title I-A implementation plan in collaboration with the SEA. A TEA could also choose to provide technical assistance to LEAs on various topics related to the implementation of Title I, such as technical assistance on school improvement.

b. Under Title II-A (Improving Teacher Quality State Grants), a TEA could propose in its STEP pilot grant proposal to work with the SEA on developing teacher evaluation systems, providing training and support to teachers and school leaders, or providing technical assistance to LEAs.

c. See also the general examples of SEA-level responsibilities in question 2. Please note, however, that a TEA is never authorized to make subgrants (either competitively or by formula) under the STEP pilot program.

9. Does the Family Educational Rights and Privacy Act (FERPA) prohibit a TEA from collecting or receiving data on students as part of its agreement with the SEA?

FERPA does not prohibit data-sharing with TEAs if required steps and safeguards are followed. FERPA generally prohibits the disclosure of personally identifiable information from students' education records without parental consent; however, an LEA or SEA could release information on students to a TEA in non-personally identifiable form. In addition, an LEA or an SEA may designate an Indian tribe or TEA as its authorized representative to audit or evaluate Federal or State-supported education programs, under the conditions set forth in the Department's regulations. See 34 CFR 99.3, 99.31(a)(3), 99.35. 76 FR 75604 (December 2, 2011).

10. What does the Department expect to see in a Preliminary Agreement (versus the Final Agreement) between a TEA and an SEA?

An applicant TEA must submit a preliminary agreement between the TEA and the SEA with its application for funding. The preliminary agreement must document the commitment of the SEA and TEA to work together and must include all of the elements required in the notice.

Over the course of the planning period (the period before July 1, 2013), the TEA and SEA must develop a final agreement, which may include amending some of the statements included in the preliminary agreement. Therefore, the development of a final agreement is included as a required activity of year one of the grant.

By June 29, 2013, nine months after the start of the grant, each TEA grantee must submit to the Department a final agreement that builds on the preliminary agreement and details a feasible, sustainable plan for how the TEA and SEA will work together and in collaboration with affected LEAs to administer selected ESEA State-administered formula grant programs for identified public schools on Indian reservations. The final agreement must contain all of the required elements listed in the notice.

11. What is meant by "capacity-building" and "technical assistance" as part of this pilot?

We expect that a major component of both the preliminary and final agreements will be descriptions of capacity-building activities to be conducted by and for the TEA and SEA. By "capacity-building activities," we mean activities intended to increase the capacity of the:

- TEA to carry out State-level responsibilities under the affected ESEA programs;
- TEA and SEA to work together effectively on meeting the objectives of this pilot program; and
- SEA to understand the unique cultural and academic needs of the AI/AN students enrolled in participating schools and how to address them more effectively.

We expect that capacity-building to occur through the provision of technical assistance. By "technical assistance," we mean activities that enable the recipient to effectively perform certain tasks or functions.

12. Are Bureau of Indian Education-funded schools (BIE) eligible to participate in the pilot?

No. The definition of "eligible schools" under the STEP pilot program does not include BIE schools. Furthermore, individual schools (including individual BIE schools) could not apply for grants, because the pilot program will make grants to TEAs, not to schools. However, TEAs on reservations that include BIE schools can apply for funding if there is also a public school or schools on the reservation. In particular, if a reservation includes both State public schools and BIE schools, the activities under the grant (and under the TEA's agreement with the SEA) can include addressing the needs of students who move between State public schools and BIE schools.

The funds under this pilot will be used by the TEA to build relationships with the LEA and SEA, and help with the State public schools on the reservation. If a TEA wants also to enter a separate agreement with BIE regarding the BIE-funded schools on the reservation, it can, of course, do so.

Technical Assistance Workshop

The Department intends to hold pre-application Webinars designed to provide technical assistance to interested applicants. The first Webinar will be held on June 1, 2012 and repeated on June 5, 2012. Information about Webinar times and instructions for registering are on the Department Web site at http://www2.ed.gov/programs/STEP/index.html. In addition, as a supplement to the Notice inviting applications, the Department has developed a document entitled "State-Tribal Education Partnership (STEP) Pilot: Responses to Frequently Asked Questions." This supplemental document is available at http://www.ed.gov/programs/step/faq.html.

Applicant Guide Language

The intent of this section of the application package is to identify the selection criteria and priorities and help applicants understand how each criterion and priority will be applied during the review process. Each selection criterion and priority are presented in bold type below.

The selection criteria are used to evaluate the applications submitted for new grants under a discretionary grant program. The program narrative is the section of the application that directly responds to the selection criteria. The narrative should follow the order of the selection criteria listed in the Notice inviting applications for new awards, published in the *Federal Register* for the FY 2012 competition, and the application package. Within the 50-page limit, applications should describe in detail activities planned for each funding period. (See Part 4: Project Narrative.)

Each application will be evaluated and scored by a minimum of three peer reviewers. The maximum score for all criteria is 100 points. Not responding to a specific criterion could negatively impact your score. Applicants may address each criterion and priority in any way that is reasonable. The selection criteria are listed in the Federal Register Notice inviting applications for this program as well as is in Part 4: Project Narrative of this application package.

Tips for Preparing and Submitting an Application

Beginning the Application Process

- Read this application package in its entirety and make sure you follow all of the instructions.
- Read the Frequently Asked Questions section in this application package.
- If you do not understand an instruction or requirement, contact Joyce Silverthorne, U.S Department of Education, Office of Indian Education at 202-401-0767 or step@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 community and the proposed activities, curricula, programs, and services can understand what you are proposing and why.
- Make sure your budget provides sufficient itemization and detailed descriptions about planned expenditures so ED staff can easily determine how amounts were calculated.
- Link your planned expenditures to the proposed activities, curricula, programs, and services. Do not request funds for miscellaneous purposes. Make sure you demonstrate that your proposed expenditures are necessary to carry out your program.

Submitting Your Application

- Use the checklist provided in this application package to ensure your application is complete before submitting it.
- Make sure all required forms are included and signed by an authorized representative of your organization.
- Transmit your application by the deadline date and time. When submitting your application electronically, you must use Grants.gov at: www.grants.gov. Unless you qualify for an exception in accordance with the instructions found in the Notice inviting applications, you must submit your application electronically.

What Happens Next?

- When your application is submitted through Grants.gov, the PR/Award number will be generated automatically. Please refer to this PR/Award number if you need to contact us about your application.
- Staff members screen each application to ensure that all program eligibility requirements are met and that all forms are included and signed by the Authorized Representative.
- Your application will be assigned to a three-person panel of independent 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, depending upon how well it addresses the selection criteria.
- A Grant Award Notification will be sent to applicants whose proposals rank high enough to be awarded a grant. Both successful and unsuccessful applicants will receive peer reviewers' comments approximately 6 to 8 weeks after grant awards are announced. Unsuccessful applicant also will receive a notification letter. Please be sure your application contains a valid mailing address for both the Project Director and the Authorized Representative so that reviewers' comments can be successfully delivered.

Application Submission Procedures

The deadline for submission of Program applications through Grants.gov is July 13, 2012.

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.

We will reject your application if you submit it in paper format unless, as described in the Federal Register notice for this competition, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions.

Applications Submitted Electronically

Applications for grants under this program must be submitted electronically using the Government-wide Grants.gov Apply site at http://www.Grants.gov. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may **not** e-mail an electronic copy of a grant application to us.

Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system **no later than 4:30:00 p.m., Washington, DC time, on the application deadline date.** Except as otherwise noted in Federal Register notice for this competition, we will not consider your application if it is date and time stamped by the Grants.gov system later than 4:30:00 p.m., Washington, DC time, on the application deadline date.

You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in this application package to ensure that you submit your application in a timely manner to the Grants.gov system.

Please note the following:

- You must attach any narrative sections of your application as files in a **.pdf** (Portable Document) format. **If you upload a file type other than a .pdf file, or submit a password-protected file, we will not review that material**.

- 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. The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.

- Your electronic application must comply with any page-limit requirements described in this application package.

- If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

According to the instructions found in the Federal Register notice, only those requesting and qualifying for an Exception to the electronic submission requirement may submit an application via mail, commercial carrier or by hand delivery.

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

U.S. Department of Education
Application Control Center
Attention: (CFDA Number **84.415A**)
LBJ Basement Level 1
400 Maryland Avenue, SW.
Washington, DC 20202-4260

You must show proof of mailing consisting of one of the following:
(1) A legibly dated U.S. Postal Service postmark.
(2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
(3) A dated shipping label, invoice, or receipt from a commercial carrier.
(4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:
(1) A private metered postmark.
(2) A mail receipt that is not dated by the U.S. Postal Service.
If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

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

U.S. Department of Education
Application Control Center
Attention: (CFDA Number **84.415A**)
550 12th Street, SW.
Washington, DC 20202-4260

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

Note for Mail or Hand Delivery of Paper Applications:
If you mail or hand deliver your application to the Department--
(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and

(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

Submitting Applications with Adobe Reader Software

The Department of Education, working with Grants.gov, is currently moving from using PureEdge software to using Adobe Reader software exclusively and applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Applicants will no longer need to use the PureEdge software to create or submit an application.

Please note: The compatible version of Adobe Reader is **required** for viewing, editing and submitting a complete grant application package for the Department of Education through Grants.gov. Applicants should confirm the compatibility of their Adobe Reader version **before** downloading the application. To ensure applicants have a version of Adobe Reader on their computer that is compatible with Grants.gov, applicants are encouraged to use the test package provided by Grants.gov that can be accessed at http://www.grants.gov/applicants/AdobeVersioningTestOnly.jsp.

Important issues to consider:

- If the applicant opened or edited the application package with any software other than the compatible version of Adobe Reader, the application package may contain errors that will be transferred to the new package even if you later download the compatible Adobe Reader version.
- Applicants **cannot** copy and paste data from a package initially opened or edited with an incompatible version of Adobe Reader and will need to download an **entirely new package** using the compatible version of Adobe Reader.
- Some applicants using an incompatible version of Adobe Reader **may have trouble** opening and viewing the application package while others may find they can open, view and complete the application package but **may not be able to submit** the application package through Grants.gov.
- Grants.gov **does not** guarantee to support versions of Adobe Reader that are not compatible with Grants.gov.
- Any and all edits made to the Adobe Reader application package **must** be made with the compatible version of Adobe Reader.

For your convenience, the latest version of Adobe Reader is available for free download at http://grantsgov.tmp.com/static2007/help/download_software.jsp#adobe811.

We strongly recommend that you review the information on computer and operating system compatibility with Adobe available at http://www.grants.gov/applicants/applicant_faqs.jsp#software **before** downloading, completing or submitting your application.

Applicants are reminded that they should submit their application a day or two in advance of the closing date as detailed in the Federal Register Notice. If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726

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.

ATTENTION – Adobe Forms and PDF Files Required
Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov. We strongly recommend that you review these details on www.Grants.gov before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Also, applicants are required to upload their attachments in .pdf format only. (See details below under "Attaching Files – Additional Tips.") If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

Also, applicants should be aware that on October 11, 2010, Grants.gov implemented a new security build which requires each organization's e-Biz POC (Point of Contact) update their Grants.gov registration. To complete this step, the e-Biz POC must have their DUNS number and CCR MPIN. We recommend this step be completed several days before application submission unless the e-Biz POC has already responded to this requirement. For more information on this topic, please visit this Grants.gov information link: http://www.grants.gov/securitycommebiz/.

1) **REGISTER EARLY –** Grants.gov registration may take five or more business days to complete. 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. For detailed information on the Registration Steps, please go to: http://www.grants.gov/applicants/get_registered.jsp. [Note: Your organization will need to update its Central Contractor Registry (CCR) registration annually.]

2) **SUBMIT EARLY – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded.** The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully to Grants.gov before 4:30:00 p.m. Washington, DC time on the deadline date.

   Note: To submit successfully, you must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This DUNS number is typically the same number used when your organization registered with the CCR (Central Contractor Registry), or if you registered after July 2012, with the System for Award Management (SAM), the Government's primary registrant database. If you do not enter the same DUNS number on your application as the DUNS you registered with, Grants.gov will reject your application.

3) **VERIFY SUBMISSION IS OK –** You will want to verify that Grants.gov received your application submission on time and that it was validated successfully. To see the date/time your application was

received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m. Washington, DC time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned. Once the Department of Education receives your application from Grants.gov, an Agency Tracking Number (PR/award number) will be assigned to your application and will be available for viewing on Grants.gov's Track My Application link.

If the date/time received is later than 4:30:00 p.m. Washington, D.C. time, on the deadline date, your application is late. If your application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: http://www.grants.gov/applicants/applicant_faqs.jsp#54. For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Error Messages document at http://www.grants.gov/assets/AdobeReaderErrorMessages.pdf. 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 http://www.grants.gov/contactus/contactus.jsp, or use the customer support available on the Web site: http://www.grants.gov/applicants/applicant_help.jsp.

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.

If electronic submission is required, you must submit an electronic application before 4:30:00 p.m., 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. (See the Federal Register notice for detailed instructions.)

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

Please go to http://www.grants.gov/applicants/applicant_help.jsp for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov http://www.grants.gov/help/submit_application_faqs.jsp.

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.)

MAC Users
For MAC compatibility information, review the Operating System Platform Compatibility Table at the following Grants.gov link: http://www.grants.gov/help/download_software.jsp. **If electronic submission is required and you are concerned about your ability to submit electronically as a non-windows user, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

Attaching Files – Additional Tips

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

1. Ensure that you attach .pdf files only for any attachments to your application, and they must be in a read-only, non-modifiable format. pdf files are the only Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .pdf files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as pdf Portfolio files, or an interactive or fillable .pdf file. Any attachments uploaded that are not .pdf files or are password protected files will not be read. If you need assistance converting your files to a .pdf format, please refer to the following Grants.gov webpage with links to conversion programs:http://www.grants.gov/help/download_software.jsp#pdf_conversion_programs

2. 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.

3. When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded files must have names with less than 50 characters, contain no spaces, no special characters (examples: -, &, *, %, /, #, \) including periods (.), blank spaces and accent marks. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.

4. 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 totals 1 to 2 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 this application package.

In accordance with EDGAR §75.216 (b) and (c), 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.

*Important note***:** Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2).

Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov. Also, please review the **Submitting Applications with Adobe Reader Software** and **Education 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 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. Applicants will no longer need to use the PureEdge software to create or submit an application. If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

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

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.

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

Part 1: Preliminary Documents

- ❑ Application for Federal Assistance (SF 424)
- ❑ ED Supplemental Information for SF 424

Part 2: Budget Information

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

Part 3: ED Abstract Form

- ❑ Project Abstract

Part 4: Project Narrative Attachment Form

- ❑ Table of Contents
- ❑ Application Narrative

Part 5: Budget Narrative Attachment Form

- ❑ Budget Narrative

Part 6: Other Attachments

- ❑ Individual Resumes for Project Directors & Key Personnel
- ❑ Preliminary Agreement
- ❑ Certification that the applicant is an eligible TEA
- ❑ Certification that the tribe is eligible
- ❑ Confirmation that the schools are eligible

Part 7: Assurances and Certifications

- ❑ Assurances for Non-Construction Programs (SF 424B)
- ❑ Disclosure of Lobbying Activities (Standard Form LLL)
- ❑ Grants.gov Lobbying Form
- ❑ General Education Provisions Act (GEPA) Requirements – Section 427 (ED GEPA427 form)
- ❑ Survey on Ensuring Equal Opportunity for Applicants (Form 1890-0014)
- ❑ Prior Approval Requirements (Attachment Z)

Part 1: Preliminary Documents

- ❑ Application for Federal Assistance (SF 424)
- ❑ 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 DUNS number).

When applying electronically via Grants.gov, you will need to ensure that the DUNS number you enter on your application is the same as the DUNS number your organization used when it registered with the Central Contractor Registry.

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.

NOTE: 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.

Instructions for the SF-424

Public reporting burden for this collection of information is estimated to average 60 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 (0348-0043), Washington, DC 20503.

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

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications 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 items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:
1.	**Type of Submission:** (Required): Select one type of submission in accordance with agency instructions. • Preapplication • Application • Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.
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 B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify)
3.	**Date Received:** Leave this field blank. This date will be assigned by the Federal agency.
4.	**Applicant Identifier**: Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.
5a	**Federal Entity Identifier**: Enter the number assigned to your organization by the Federal Agency, if any.
5b.	**Federal Award Identifier**: For new applications leave blank. 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 name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website. **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.

Item	Entry:
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.
12.	**Funding Opportunity Number/Title:** (Required) Enter the Funding Opportunity Number 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:** List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
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 preapplications, attach a summary description of the project.
16.	**Congressional Districts Of**: (Required) 16a. Enter the applicant's Congressional District, and 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 5thth district, CA-012 for California 12th district, NC-103 for North Carolina's 103rd 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.
17.	**Proposed Project Start and End Dates**: (Required) Enter the proposed start date and end date of the project.
18.	**Estimated Funding:** (Required) Enter the amount requested or to be contributed during the first funding/budget period by

	c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website. **d. Address**: Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US). **e. Organizational Unit:** Enter the name of the primary organizational unit (and department or division, if applicable**)** that will undertake the assistance activity, if applicable. **f. Name and contact information of person to be contacted on matters involving this application**: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.		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.
		19.	**Is Application Subject to Review by State Under Executive Order 12372 Process?** 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
		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 debt include delinquent audit disallowances, loans and taxes. If yes, include an explanation on the continuation sheet.
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 with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)		21.	**Authorized Representative**: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. 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.)

[**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 the ED Supplemental Information for SF 424

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

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

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

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

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

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

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

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

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

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

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

Definitions for ED Supplemental Information for SF 424

Definitions:

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

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

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

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

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

—Research

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

—Human Subject

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

B. Exemptions.

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

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

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and

(b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. *If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.* [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

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

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

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

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

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

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

A. Exempt Research Narrative.

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

B. Nonexempt Research Narrative.

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

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

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

(3) **Recruitment and Informed Consent**: Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who

will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

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

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

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

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

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

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

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 (up to 36 months) and the total column in order to be considered for Federal funding. Specific instructions for completing the budget forms are provided within this application package.

Instructions for completing ED Form 524 Section A:

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

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

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

Travel (line 3): Indicate the travel costs of employees and participants only. Include travel of persons such as consultants on line 6. Applicants are strongly encouraged to budget funds for a representative from the TEA and a representative from the SEA to attend a Project Director's Meeting in the first year of the grant. The applicant is also strongly encouraged to budget funds for a representative from the TEA, a representative from the SEA and a representative from at least one LEA to attend a Project Director's Meeting in years two and three of the grant.

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

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

Contractual (line 6): The contractual category should include all costs specifically incurred with actions that the applicant takes in conjunction with an established internal procurement system. Include consultant fees, expenses, and travel costs in this category if the consultant's services are obtained through a written binding agreement or contract.

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.*

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

Indirect Costs (line 10): Indicate the applicant's approved indirect cost rate, per sections 75.560 – 75.564 of EDGAR. If an applicant does not have an approved indirect cost rate agreement with a cognizant Federal agency, the applicant must apply to the Department for a temporary indirect cost rate if it wishes to charge indirect costs to the grant. For more information, go to the Department's website at: http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html.

Training Stipends (line 11): This line item is not applicable to this program. The training stipend line item only pertains to costs associated with long term training programs and college or university coursework, not workshops or short-term training supported by this program. *Salary stipends paid to teachers and other school personnel for participating in short-term professional development should be reported in Personnel (line 1).*

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

Instructions for ED 524

General Instructions

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

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

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

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

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

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

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

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

Indirect Cost Information: If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government.
If you checked "no," ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:

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

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

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

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

Section B - Budget Summary
Non-Federal Funds

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

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

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

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

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

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

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.

2. For non-Federal funds or resources listed in Section B that are used to meet a cost-sharing or matching requirement or provided as a voluntary cost-sharing or matching commitment, you must include:

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

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

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

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

   When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at: http://www.ed.gov/fund/grant/apply/appforms/appforms.html.

   You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

5. Provide other explanations or comments you deem necessary.

Paperwork Burden Statement

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

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 in order to expedite the review process.

Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (read-only, non-modifiable .pdf files). Also, do not upload any password-protected files to your application.

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

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

❑ **Project Abstract**

The project abstract should not exceed **two** double spaced pages and should identify project participants (i.e., the Tribe, the TEA (or TEAs in a consortium) the SEA and include a concise description of the following information:

- The project goals and objectives.
- The LEAs and eligible schools expected to participate in the project.
- The ESEA State-administered formula programs for which the TEA will assume State-level administrative functions.
- The State-level administrative functions the TEA will assume by the end of the project period.
- The capacity-building activities that both the TEA and the SEA will carry out in order for the TEA to be ready to assume those functions.

Note: Grants.gov may include a note that indicates that the project abstract may not exceed one page; however, an abstract of more than one page may be uploaded.

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 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 Federal Register application notice (read-only, non-modifiable .pdf files). 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 addresses each of the application requirements detailed below and responds to the selection criteria found in this application. Applicants must limit this section of the application to the equivalent of no more than **50** 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. An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

Within the 50-page limit, applicants should describe in detail activities planned for each funding period.

The narrative must explain how the terms of the agreement between the TEA and SEA, as outlined in the preliminary agreement, will be met.

At minimum, the narrative must--

(a) Describe the proposed STEP Pilot project goals and objectives pursuant to the vision and terms of agreement outlined in the preliminary agreement and the timeline for accomplishing the goals and objectives over the project period;
(b) Describe the demographics of the LEA (or LEAs) and eligible schools for which the TEA will perform ESEA State-level administrative functions and explain the rationale for selecting those LEAs and schools;

(c) Explain the rationale for selecting the ESEA State-administered formula grant program(s) for which the TEA will perform State-level administrative functions;

(d) Explain the rationale for selecting the State-level functions the TEA will perform during the project period and the timeline for the TEA assuming those functions;

(e) Explain how the TEA's performance of those functions will support the implementation of State and local efforts to improve services to and the educational outcomes for AI/AN children;

(f) Describe the functions the TEA will be able to perform during each year of the grant;

(g) Describe how the STEP Pilot grant funds will enable the TEA's capacity to carry out the agreed upon State-level functions;

(h) Discuss the actions that the TEA and SEA will take during the first nine months of the grant toward developing a final agreement;

(i) Identify the members of the applicant's project team and each member's role and responsibility;

(j) Describe the qualifications of key personnel on the project team and the time each will allocate to the project;

(k) Identify the key SEA contacts and the role each will have in carrying out the activities of the project;

(l) If the application is submitted by a consortium, describe each consortium member's role, activities, and time allocated to the project;

(m) If applicable, identify consultants to the project, their role, and their qualifications;

(n) Describe the organizational structure for managing project activities and resources, including lines of authority and procedures for decision-making;

(o) Include a schedule of tasks and timelines for carrying out the activities of the grant that assign responsibility for each task, including milestones and deliverables;

(p) Describe the procedures and measures that the applicant will use to document project activities, monitor progress in implementing those activities, and assess how effectively project activities meet the goals and objectives of the grant; and

(q) To the extent the TEA's performance under this agreement requires the use of information from student education records covered by the Family Educational Rights and Privacy Act (FERPA) or other privacy statutes, explain how compliance with FERPA and other privacy statutes will be achieved (e.g. under FERPA, the participating LEA(s) may designate the TEA as a school official for certain functions; or the SEA may designate the TEA as an authorized representative under the audit and evaluation exception).

Note: In drafting the project narrative, applicants should keep in mind that peer reviewers must consider only the information provided in the written project narrative when scoring and commenting on the application. Therefore, applicants should draft their project narratives with the goal of helping peer reviewers understand how the narrative content aligns with the selection criteria.

Each application will be evaluated and scored by a minimum of three peer reviewers. The maximum score for all criteria is 100 points. Not responding to a specific criterion could negatively impact your score. Applicants may address each criterion and priority in any way that is reasonable. However, applicants are scored only on the selection criteria.

Selection Criteria for Program Narrative

The selection criteria for this competition are based on 34 CFR 75.210 of EDGAR and are listed below.

The points or weights assigned to each criterion are indicated in parentheses. Non-Federal peer reviewers will review each application. They will use the following selection criteria to evaluate and score each program narrative against the following selection criteria:

Significance *(20 points).* In determining the significance of the project the Secretary considers:

(1) The significance of the problem or issue to be addressed by the proposed project.
(2) The potential replicability of the proposed project or strategies, including, as appropriate, the potential for implementation in a variety of settings.
(3) The likelihood that the proposed project will result in system change or improvement.

Quality of the Project Design and Services *(30 points).* The Secretary considers the quality of the design and services of the proposed project. In determining the quality of the design and services of the proposed project, the Secretary considers:

(1) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.
(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.
(3) The extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance.
(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.

Quality of the Management Plan and Personnel (20 points). The Secretary considers the quality of the management plan for the proposed project and of the personnel who will carry out the proposed project. In determining the quality of the management plan and the project personnel, the Secretary considers:

(1) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.
(2) The qualifications, including relevant training and experience, of key project

personnel.
(3) The qualifications, including relevant training and experience, of project consultants or subcontractors.

Adequacy of Resources (30 points). The Secretary considers the adequacy of resources for the proposed project. In determining the adequacy of resources for the proposed project, the Secretary:

(1) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization.
(2) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project.
(3) The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project.
(4) The potential for continued support of the project after Federal funding ends, including, as appropriate, the demonstrated commitment of appropriate entities to such support.
(5) The potential for the incorporation of project purposes, activities, or benefits into the ongoing program of the agency or organization at the end of Federal funding.

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

The plan should describe the evaluation design, indicating: (1) what types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports of results and outcomes will be available; and (7) how the applicant will use the information collected through the evaluation to monitor progress of the funded project and to provide accountability information both about success at the initial site and effective strategies for replication in other settings. Applicants are encouraged to devote a level of resources to project evaluation appropriate to the size and scope of the grant

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. It 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 Federal Register application notice (read-only, non-modifiable .pdf files). 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 (up to 36 months).

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.

Important Notes

- Applicants are encouraged to review OMB Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments* or (for nonprofit organizations) OMB Circular A-122, *Cost Principles for Nonprofit Organizations* in preparing their budget and budget narrative.
- OMB Circular A-87 may be found at the following link:
  http://www.whitehouse.gov/omb/circulars/a087/a87_2004.html
- OMB Circular A-122 may be found at the following link:
  http://www.whitehouse.gov/omb/circulars/a122/a122_2004.html

Suggested Guidelines for the Budget Narrative

In accordance with 34 CFR 75.232, Department of Education staff perform a cost analysis of the 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.

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 34 CFR Parts 74.40 - 74.48 and Part 80.36.
- 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

- Not applicable.

12. Total Costs

- Sum total 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 period (up 36 months)

NOTE: The total cost for the project cannot exceed the maximum award amount established for this competition. Applications that exceed the maximum award amount will not be considered for funding. We will reject any application from a single TEA in partnership with an SEA that proposes a budget exceeding $500,000 for a single budget period of 12 months. We will also reject any application from a Consortium of TEAs in partnership with an SEA that proposes a budget exceeding $750,000 for a single budget period of 12 months. In addition, TEAs may <u>not</u> receive more than one grant award. We will accept only one application per TEA.

Important Information Regarding Indirect Costs

The Department of Education (ED) reimburses grantees for its portion of indirect costs that a grantee incurs on projects funded by the State-Tribal Education Partnership (STEP) Pilot program (CFDA Number 84.415A). In order to charge indirect costs to this program, a grantee must have a currently approved Indirect Cost Rate (ICR) agreement. The ICR must be negotiated with and approved by the grantee's cognizant agency, i.e., either (1) the federal agency from which it has received the most direct funding, subject to indirect cost support; (2) the federal agency specifically assigned cognizance by the Office of Management and Budget; or (3) the State agency that provides the most subgrant funds to the grantee (if no direct federal awards are received).

Note: Applicants should pay special attention to specific questions on the application budget form (ED 524) about their cognizant agency and the ICR being used in the budget. Applicants should be aware that ED is very often not the cognizant agency for its grantees. Rather, ED accepts the currently approved ICR established by the appropriate cognizant agency.

Applicants are encouraged to have an accountant calculate a proposed ICR using current information in the audited financial statements, actual cost data or the Internal Revenue Service Form 990. Applicants should use this proposed rate in the application materials and indicate the documentation used to calculate the rate. Guidance related to calculating an ICR can be found on ED's website at http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html

An applicant selected for funding, that does not have a currently approved ICR, must review and follow the final regulations published at 34 CFR 75.560 in the Federal Register on December 7, 2007 (72 FR 69145). The rules allow for a temporary ICR of 10% of budgeted salaries and wages and require the grantee to submit an ICR proposal within 90 days after issuance of the grant award notification.

Applicants with questions about charging indirect costs on this program should contact the program contact person noted elsewhere in this application package.

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 of the required information in a single document, or in multiple documents.

Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (read-only, non-modifiable .pdf files). Also, do not upload any password-protected files to your application.

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

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

- ❑ Individual Resumes for Project Directors and Key Personnel**: Provide brief resumes or job descriptions that describe their qualifications for the responsibilities they will carry out under the project.**
- ❑ Preliminary Agreement
- ❑ Certification that the applicant is an eligible TEA
- ❑ Certification that the tribe is eligible
- ❑ Confirmation that the schools are eligible

Part 7: Assurances and Certifications

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

- ❑ Assurances for Non-Construction Programs (SF 424B Form)
- ❑ Disclosure of Lobbying Activities (SF LLL Form)
- ❑ Certification Regarding Lobbying (ED 80-0013 Form)
- ❑ General Education Provisions Act (GEPA) Requirements – Section 427
- ❑ Survey on Ensuring Equal Opportunity for Applicants (Form 1890-0014)
- ❑ Prior Approval Requirements (Attachment Z)

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

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

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

2. Identify the status of the covered Federal action.

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

4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first 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

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 new 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 (included in the electronic application package in Grants.gov) 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.

Survey Instructions on Ensuring Equal Opportunity for Applicants

Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.

1. Self-explanatory.

2. Self-identify.

3. Self-identify.

4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.

5. Self-explanatory.

6. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.

7. Annual budget means the amount of money your organization spends each year on all of its activities.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** The Agency Contact listed in this grant application package.

OMB No. 1894-0010 Exp. 05/31/2012

Attachment Z

Prior Approval Requirements

In accordance with the procedures specified in EDGAR as a condition of this award, the grantee is required to obtain ED approval for any item checked below before undertaking any of the following administrative actions during the budget period specified for this award:

☑ Extending the project period of the grant beyond the project period end date specified in the most recent revision of the Grant Award Notification;

☑ Using grant funds carried forward that the grantee has not obligated in the budget period funded by this award for obligation(s) during the following budget period;

☑ Expending grant funds provided for the budget period funded by this award before the budget period start date specified in the most recent revision of the Grant Award Notification; or

☑ Making cumulative transfers among direct-cost budget categories (on awards greater than $100,000) that exceed 10% of the approved budget for the budget period funded by this award.

12/13/2005

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**.

Under the Government Performance and Results Act (GPRA), the following performance indicators have been established to evaluate the overall effectiveness of the Program:

(1) The number of funded projects for which the TEA assumes State-level functions by the beginning of the second grant period; and (2) The number of funded projects that, at the end of the project period, report that the project has resulted in creation of an arrangement under which the TEA will continue to be responsible for the State-level functions delineated in its TEA-SEA agreement after Federal funding ends.

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.

Legal and Regulatory Information

Notice inviting applications

4000-01-U

DEPARTMENT OF EDUCATION

Applications for New Awards; State-Tribal Education Partnership (STEP) Pilot Grant Competition

AGENCY: Office of Elementary and Secondary Education, Department of Education

ACTION: Notice.

Overview Information:

State-Tribal Education Partnership (STEP) Pilot

Notice inviting applications for new awards for fiscal year (FY) 2012.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.415A.

Dates:

Applications Available: May 29, 2012.

Deadline for Notice of Intent to Apply: June 12, 2012.

Dates of Pre-Application Meetings: June 1, 2012, and June 5, 2012.

Deadline for Transmittal of Applications: July 13, 2012.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The fiscal year 2012 appropriation for the Department of Education includes funding for a pilot program under the Indian Education National Activities authority. Under the pilot, the Department will award competitive grants to Tribal Education Agencies (TEAs) to increase their role in the education of American Indian and Alaska Native (AI/AN) students, including education to meet the unique educational and cultural needs of AI/AN students and improve their academic achievement.

Specifically, the purposes of these grants are to (a) promote increased collaboration between TEAs and State educational agencies (SEAs) in the administration of certain State-administered formula grant programs, and (b) build the capacity of TEAs to conduct certain State-level administrative functions under those programs for eligible schools located on a reservation.

Requirements and Definitions:

Background: Under this pilot program, known as the State-Tribal Education Partnership (STEP) Pilot, the Department intends to fund the implementation of collaborative agreements between Tribal Education Agencies (TEAs) (as defined in this notice) and SEAs. Under these agreements, SEAs will transfer to TEAs some State-level functions related to the administration of certain Elementary and Secondary Education Act (ESEA) programs for eligible schools (as defined in this notice) located on a

reservation (as defined in this notice), with the goal of improving educational outcomes for AI/AN students.

The most critical aspect of the STEP Pilot will be the strength of the collaborative agreement between the TEA and the SEA. The agreement must document the SEA's and the TEA's commitment to the pilot project and describe in detail what is to be accomplished during the project period (as defined in this notice). However, the Department recognizes that, given the complexities involved in developing such an agreement, the application period for the STEP Pilot grant program likely will not be long enough for TEAs and SEAs to complete a detailed collaborative agreement that adequately addresses each of the issues that need to be considered. Therefore, we are requiring an application for a STEP Pilot grant to include a written preliminary agreement between the participating SEA and the TEA under which the SEA and TEA agree to (a) work together toward the transfer of agreed-upon State-level ESEA formula grant administrative functions to the TEA over the course of the project, and (b) collaborate on activities that will enable the TEA to begin to carry out those functions by July 2, 2013. Within nine months from the start of the grant period, the TEA and SEA must enter into a final collaborative agreement that builds on the preliminary agreement and details the activities that the two agencies will carry out under the grant to enable

the TEA to perform the agreed-upon State-level administrative functions by the end of the project period and beyond. Each TEA grantee must submit the final agreement to the Department by June 29, 2013. The Department's review of the final agreement will serve as one basis for continued funding in grant years two and three.

The Department expects that, during the first year of the STEP Pilot, the SEA will work with the TEA to prepare the TEA to perform the State-level administrative functions detailed in the preliminary agreement, so that by July 2, 2013, the TEA will begin to perform those functions. By the end of the project, the Department expects that each TEA grantee will be able to carry out selected State-level administrative functions under ESEA State-administered formula grant programs and that the TEA will have strengthened its relationship with the SEA, local educational agencies (LEAs), and schools on a reservation in a manner that is sustainable and supports the TEA's efforts to improve educational services and outcomes for AI/AN students.

Note: The Department will not grant formula funds to TEAs as a part of this pilot program. We cannot change the designated grantee, under an ESEA program, from an SEA to a different entity without a statutory change to the ESEA, and the FY 2012 Appropriations Act does not provide that authority. Grant funds awarded to successful applicants (as defined in this

notice) will consist only of discretionary funds appropriated for this competition. SEAs that participate in a project under the pilot will continue to subgrant ESEA State-administered formula funds to LEAs that are eligible to receive them, including LEAs with schools participating in that project. SEAs will continue to have the responsibility to ensure subrecipient compliance with the applicable laws and regulations governing all ESEA State-administered formula grant programs. However, an SEA could, as part of its agreement with a TEA, provide a portion of the SEA's administrative set-aside funds under ESEA programs to a TEA in accordance with applicable State procurement law. The Department will continue to monitor the performance of the SEA as the agent required to comply with Federal law.

Preliminary Agreement Requirements:

An applicant must submit a preliminary agreement between the TEA and the SEA with its application for funding. Letters of support from an SEA will not meet this requirement.

The preliminary agreement must include--

(a) A clear vision for how the SEA and TEA will work collaboratively to administer selected ESEA State-administered formula grant programs in eligible schools;

(b) A list of the ESEA State-administered formula programs for which the TEA will assume State-level administrative functions;

(c) A description of the State-level administrative functions the TEA will assume by July 2, 2013, and by the end of the project period;

(d) The capacity-building activities that both the TEA and the SEA will carry out before July 2, 2013, in order for the TEA to be ready to assume those functions;

(e) A description of the capacity-building (as defined in this notice) activities that the SEA will undertake to prepare the TEA to assume those functions, and of any assistance that the TEA will provide to the SEA to facilitate the project. This assistance may include, among other things, (1) increasing the SEA's knowledge about the unique cultural and academic needs of AI/AN students enrolled in schools that will participate in the project, (2) addressing those needs more effectively, and (3) increasing the SEA's ability to work effectively with TEAs in a culturally competent manner (as defined in this notice);

(f) A list of the LEAs and eligible schools expected to participate in the project;

(g) The collaborative activities the SEA and TEA will undertake to produce a final agreement; and

(h) The activities the SEA and the TEA will undertake to engage LEAs' participation in the grant project.

Final Agreement Requirements:

By June 29, 2013, nine months after the start of the first grant period, each TEA grantee must submit to the Department a final agreement that builds on the preliminary agreement and details a feasible, sustainable plan for how the TEA and SEA will work together and in collaboration with affected LEAs to administer selected ESEA State-administered formula grant programs to children in public schools on reservations. The final agreement must--

(a) Expand and refine, as appropriate, the vision presented in the preliminary agreement for how the TEA and SEA will work together and in collaboration with the selected LEAs to administer ESEA formula grant programs in ways that (1) acknowledge and support the role of the tribe in educating its students, and (2) account for the responsibility of the SEA to ensure that LEAs are in compliance with the laws and regulations that govern the relevant formula grant programs.

(b) Make explicit what will be accomplished during the remainder of the project period in order to fully realize that vision, including by providing detailed descriptions of (1) the specific functions that the TEA will assume for one or more ESEA State-administered programs, (2) the timetable for the TEA

assuming those functions, (3) the knowledge and competencies the TEA will need to acquire over the remainder of the project period in order to perform those functions successfully, (4) the functions or aspects of functions that the SEA will retain for the programs and schools covered by the agreement, (5) the activities that the SEA (directly or through contracted entities) will conduct to ensure that the TEA is able to perform its new functions successfully, (6) the activities, if appropriate, that the TEA and SEA will carry out in order to increase the SEA's knowledge about the unique cultural and academic needs of AI/AN students enrolled in participating schools and about how to address those needs more effectively, and (7) the activities, if appropriate, that the SEA and TEA will undertake to further their ability to work together effectively in a culturally competent manner.

(c) Discuss the actions that the TEA and SEA will take to sustain the TEA's assumption of State-level responsibilities for the ESEA programs for the participating schools after the project ends.

(d) Include a list of the eligible schools that will participate in the second and third grant periods. The list may differ from the list of schools included in the preliminary agreement.

(e) Make explicit how the specific functions that the TEA will assume during the course of the grant will (1) align with and support Federal and State education priorities and initiatives to improve the education outcomes for all students and ensure that all students graduate high school college- and career-ready; and (2) address the unique educational and cultural needs of the students.

(f) Identify challenges (e.g., legislative constraints, State policy constraints, local school board rules, collective bargaining agreements) that may pose a risk to the implementation of the project and the strategies that the TEA and SEA will pursue in order to overcome those challenges.

(g) Assure that the TEA and SEA understand the continued responsibility of the SEA to ensure that affected LEAs are in compliance with the relevant ESEA formula grant laws and regulations.

(h) Describe how the TEA and SEA will work together to support the SEA's continued oversight responsibilities.

(i) Describe the relationships to be built among the TEA, the SEA, and the affected LEAs, including lines of authority, responsibility, and methods of communication.

(j) Include a letter of support from the superintendent of each LEA that will participate in the project indicating that the superintendent understands and supports the purposes,

activities, and outcomes of the project as proposed in the application and defined in the final agreement.

Application Requirements:

To be considered for an award under this competition, each applicant must complete an application for funding. Detailed application instructions can be found in the application package. The application package will be available online at www.grants.gov on May 29, 2012.

As a part of the application for the STEP Pilot, each applicant must provide a detailed project narrative and a budget narrative.

Project Narrative. The project narrative must explain how the terms of the agreement between the TEA and SEA, as outlined in the preliminary agreement, will be met.

At minimum, the project narrative must--

(a) Describe the proposed STEP Pilot project goals and objectives pursuant to the vision and terms of agreement outlined in the preliminary agreement and the timeline for accomplishing the goals and objectives over the project period;

(b) Describe the demographics of the LEA (or LEAs) and eligible schools for which the TEA will perform ESEA State-level administrative functions and explain the rationale for selecting those LEAs and schools;

(c) Explain the rationale for selecting the ESEA State-administered formula grant program(s) for which the TEA will perform State-level administrative functions;

(d) Explain the rationale for selecting the State-level functions the TEA will perform during the project period and the timeline for the TEA assuming those functions;

(e) Explain how the TEA's performance of those functions will support the implementation of State and local efforts to improve services to and the educational outcomes for AI/AN children;

(f) Describe the functions the TEA will be able to perform during each year of the grant;

(g) Describe how the STEP Pilot grant funds will enable the TEA capacity to carry out the agreed upon State-level functions;

(h) Discuss the actions that the TEA and SEA will take during the first nine months of the grant toward developing a final agreement;

(i) Identify the members of the applicant's project team and each member's role and responsibility;

(j) Describe the qualifications of key personnel on the project team and the time each will allocate to the project;

(k) Identify the key SEA contacts and the role each will have in carrying out the activities of the project;

(l) If the application is submitted by a consortium, describe each consortium member's role, activities, and time allocated to the project;

(m) If applicable, identify consultants to the project, their role, and their qualifications;

(n) Describe the organizational structure for managing project activities and resources, including lines of authority and procedures for decision-making;

(o) Include a schedule of tasks and timelines for carrying out the activities of the grant that assign responsibility for each task, including milestones and deliverables;

(p) Describe the procedures and measures that the applicant will use to document project activities, monitor progress in implementing those activities, and assess how effectively project activities meet the goals and objectives of the grant; and

(q) To the extent the TEA's performance under this agreement requires the use of information from student education records covered by the Family Educational Rights and Privacy Act (FERPA) or other privacy statutes, explain how compliance with FERPA and other privacy statutes will be achieved (e.g. under FERPA, the participating LEA(s) may designate the TEA as a school official for certain functions; or the SEA may designate

the TEA as an authorized representative under the audit and evaluation exception).

Note: In drafting the project narrative, applicants should keep in mind that peer reviewers must consider only the information provided in the written project narrative when scoring and commenting on the application. Therefore, applicants should draft their project narratives with the goal of helping peer reviewers understand how the narrative content aligns with the selection criteria described in section V of this notice.

Budget Narrative. Specific requirements for the budget narrative are in the application package. In general, the budget narrative must, for each year of funding--

(a) Detail the amount of grant funds that will be allocated to each budget category;

(b) Explain how grant funds allocated to each category will be used (e.g., by the TEA to hire and train personnel, to acquire data systems, to purchase supplies and equipment, or for travel; by the SEA for training of TEA personnel or for travel).

In addition, the budget narrative must identify any procurements that will be required, the purpose for the procurements, and the procurement process that will be used.

Eligibility Requirements:

To be eligible for an award, an applicant must include, as a part of its application, evidence that documents the applicant's eligibility, including:

(a) Certification by the eligible Indian tribe, as defined in this notice, that the applicant is the agency, department, or instrumentality of the Indian tribe that is primarily responsible for supporting the elementary and secondary education of the tribe's students.

(b) Certification by the eligible Indian tribe that it has a reservation; the certification must specify the census designation under which the reservation qualifies.

(c) Confirmation by the SEA that the schools that will participate in the project are eligible schools.

Grant Award Limitations

No applicant may receive more than one grant award under this competition.

Definitions:

The following definitions apply to this program:

Applicant means the single entity that applies for a grant under this program. The applicant may be a single TEA in partnership with an SEA, or a single TEA applying on behalf of a consortium of eligible TEAs in partnership with an SEA.

Capacity refers to the level of knowledge, skills, and ability of individuals or groups to perform specific activities or

functions.

Capacity-building refers to activities to strengthen the knowledge, skills, and abilities of individuals or groups to perform specific activities or functions.

Consortium of TEAs means two or more Tribal Education Agencies acting collaboratively for the purpose of applying for and implementing a joint project as part of the STEP Pilot program.

Culturally competent manner means an ability to understand, communicate with, and interact effectively with people of different cultures. Cultural competence involves (a) awareness of one's own cultural worldview and (b) knowledge of and the capacity to value different cultural practices and worldviews.

Eligible Indian tribe means a federally recognized or State-recognized tribe that has an Indian reservation on which one or more eligible schools are operating.

Eligible school means a public school operating on an eligible Indian tribe’s reservation. Eligible schools do not include schools that are funded primarily by the Department of Interior's Bureau of Indian Education.

Project period for this pilot consists of three grant periods, each of 12 months duration, for a total of 36 months.

Reservation means an “American Indian Reservation or Off-Reservation Trust Land (Federal),” “Oklahoma Tribal Statistical Area,” “American Indian Reservation (State),” or “Alaska Native

Village Statistical Areas," as those terms are used by the U.S. Census Bureau (see definitions at http://www.census.gov/geo/www/2010census/gtc/gtc_aiannha.html). Note: If you are unsure of a reservation's status, contact the person listed as the Agency Contact in section VII of this notice.

State-administered formula grant program means a program authorized under the Elementary and Secondary Education Act of 1965, as amended (ESEA), for which States receive formula funding, sub-grant (distribute) funds to LEAs or other entities in accordance with a statutory allocation formula and other criteria established in the statute, and oversee the use of those funds by sub-recipients. As such, State-administered ESEA formula grant programs do not include programs for which formula funds are not granted directly to the State.

Programs that could be included in a STEP Pilot project are: Title I, Part A; School Improvement Grants (ESEA §1003(g)); Migrant Education (Title I, Part C); Neglected and Delinquent State Grants (Title I, Part D); Improving Teacher Quality State Grants (Title II, Part A); English Learner Education State Grants (Title III, Part A); 21st Century Community Learning Centers (Title IV, Part B), and Rural and Low-Income School Program (Title VI, Part B).

Note: Impact Aid (Title VIII) and the Indian Education

Formula Grants program (Title VII, Part A) are not included in this definition as funds for those programs are granted by the Department directly to LEAs, not SEAs.

Tribal Education Agency (TEA) means the agency, department, or instrumentality of an eligible Indian tribe that is primarily responsible for supporting the elementary and secondary education of tribal students.

Waiver of Proposed Rulemaking: Under the Administrative Procedure Act (5 U.S.C. 553), the Department generally offers interested parties the opportunity to comment on proposed requirements, definitions, and selection criteria. Section 437(d)(1) of GEPA, however, allows the Secretary to exempt from rulemaking requirements, regulations governing the first grant competition under a new or substantially revised program authority. This is the first grant competition for the STEP program under section 7131(a)(4) of the ESEA, 20 U.S.C. 7451(a)(4), and therefore qualifies for this exemption. The Secretary has decided to forgo public comment under the waiver authority in section 437(d)(1) of GEPA in order to ensure timely grant awards. However, we have solicited public participation in two important ways as we developed an approach to conducting and implementing this competition. First, we invited the public to provide input on the program from February 23, 2012 through March 9, 2012, on the ED.gov blog. In response to this

invitation, we received many comments on the questions that we posted on the blog, and we considered those comments in our development of this notice. Second, to gain further input we conducted telephone conferences with various stakeholder groups to obtain additional responses to the questions we posed on the blog, and we considered those comments as well. Several commenters requested that the Department distribute ESEA formula grant funds directly to TEAs under this pilot. As explained in the note in section I, the Department does not have statutory authority to do so.

The definitions, requirements, and selection criteria in this notice will apply to the FY 2012 grant competition and any subsequent year in which we make awards from the list of unfunded applicants from this competition.

Program Authority: Section 7131(a)(4) of the Elementary and Secondary Education Act, 20 U.S.C. 7451(a)(4).

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 86, 97, 98, and 99. (b) The Education Department suspension and debarment regulations in 2 CFR part 3485.

Note: The regulations in 34 CFR part 79 apply to all applicants except federally recognized Indian tribes.

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: $1,977,000.

Estimated Range of Awards: $400,000-$500,000 for a single TEA in partnership with a single SEA. $500,000-$750,000 for a consortium of TEAs in partnership with a single SEA.

Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2013 from the list of unfunded applicants from this competition.

Estimated Average Size of Awards: $450,000 for a single TEA in partnership with a single SEA; $600,000 for a consortium of TEAs in partnership with a single SEA.

Maximum Award: We will reject any application from a single TEA that proposes a budget exceeding $500,000 for a single budget period of 12 months. In addition, we will reject any application from a consortium of TEAs that proposes a budget exceeding $750,000 for a single budget period of 12 months.

The Assistant Secretary for Elementary and Secondary Education may change the maximum amount through a notice published in the Federal Register.

Estimated Number of Awards: 3 to 5.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 36 months.

Note: Continuation of each successive grant period is subject to satisfactory performance and availability of funds.

Grant Award Limitations: No applicant may receive more than one grant award.

III. Eligibility Information

1. Eligible Applicants: A TEA in partnership with an SEA, or a consortium of TEAs in partnership with an SEA. In all cases a single TEA will serve as the applicant. A TEA consortium application must comply with the Department's regulations governing group applications in 34 CFR 75.127 through 75.129 and must include a signed consortium agreement that identifies each member of the consortium, binds each member of the group to every statement and assurance made by the applicant in the application, and details the activities that each member of the group would perform under the grant. Letters of support from proposed consortium members do not meet the requirement for a consortium agreement.

2. Cost Sharing or Matching: This competition does not require cost sharing or matching.

IV. Application and Submission Information

1. Address to Request Application Package: You can obtain an application package via the Internet or from the Education Publications Center (ED Pubs).

To obtain a copy via the Internet, use the following address: http://www.ed.gov/fund/grant/apply/grantapps/index.html. To obtain a copy from ED Pubs, write, fax, or call the following: ED Pubs, U.S. Department of Education, P.O. Box 22207, Alexandria, VA 22304. Telephone, toll free: 1-877-433-7827. FAX: (703) 605-6794. If you use a telecommunications device for the deaf (TDD) or a text telephone (TTY), call, toll free: 1-877-576-7734.

You can contact ED Pubs at its Web site, also: www.EDPubs.gov or at its e-mail address: edpubs@inet.ed.gov.

If you request an application from ED Pubs, be sure to identify this competition as follows: CFDA number 84.415.

Individuals with disabilities can obtain a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) by contacting the person listed under Accessible Format in section VIII of this notice.

2. Content and Form of Application Submission: Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this competition.

Notice of Intent to Apply: The Department will be able to review grant applications more efficiently if we know the

approximate number of applicants that intend to apply. Therefore, the Secretary strongly encourages each potential applicant to notify us of the applicant's intent to submit an application for funding by sending the following information via email to STEP@ed.gov no later than June 12, 2012:

5. Applicant name, mailing address and phone number
6. Contact person's name and email address
7. Name of State Education Agency
8. Whether the applicant intends to apply as a single TEA or a consortium of TEAs.

Applicants that do not complete this form may still apply for funding.

Pre-Application: The Department intends to hold pre-application Webinars designed to provide technical assistance to interested applicants. The first Webinar will be held on June 1, 2012, and repeated on June 5, 2012. Information about Webinar times and instructions for registering are on the Department Web site at http://www2.ed.gov/programs/STEP/index.html. In addition, as a supplement to this notice, the Department has developed a document called "State-Tribal Education Partnership (STEP) Pilot: Responses to Frequently Asked Questions." This supplemental document is available at http://www2.ed.gov/programs/STEP/index.html.

Page Limit: The application narrative is where you, the

applicant, provide the project narrative and management plan to address the selection criteria that reviewers use to evaluate your application. The required budget and budget narrative will be provided in a separate section. You must limit the application narrative to the equivalent of no more than 50 pages, using the following standards:

- A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, 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 page limit does not apply to the cover sheet; the budget section, including the narrative budget justification; the assurances and certifications; or the one-page abstract, the resumes, the bibliography, or the letters of support. However, the page limit does apply to all of the application narrative section.

Our reviewers will not read any pages of your application that exceed the page limit.

3. Submission Dates and Times:

Applications Available: May 29, 2012.

Deadline for Notice of Intent to Apply: June 12, 2012.

Date of Pre-Application Meeting: June 1, 2012, and June 5, 2012.

Deadline for Transmittal of Applications: July 13, 2012.

Applications for grants under this competition must be submitted electronically using the Grants.gov Apply site (Grants.gov)]. For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery, please refer to section IV. 7. Other Submission Requirements of this notice.

We do not consider an application that does not comply with the deadline requirements.

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in section VII of this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

4. Intergovernmental Review: This competition is subject to Executive Order 12372 and the regulations in 34 CFR part 79.

5. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Data Universal Numbering System Number, Taxpayer Identification Number, and Central Contractor Registry: To do business with the Department of Education, you must--

a. Have a Data Universal Numbering System (DUNS) number and a Taxpayer Identification Number (TIN);

b. Register both your DUNS number and TIN with the Central Contractor Registry (CCR)--and, after July 23, 2012, with the System for Award Management (SAM), the Government's primary registrant database;

c. Provide your DUNS number and TIN on your application; and

d. Maintain an active CCR or SAM registration with current information while your application is under review by the Department and, if you are awarded a grant, during the project period.

You can obtain a DUNS number from Dun and Bradstreet. A DUNS number can be created within one business day.

If you are a corporate entity, agency, institution, or organization, you can obtain a TIN from the Internal Revenue Service. If you are an individual, you can obtain a TIN from the Internal Revenue Service or the Social Security Administration. If

you need a new TIN, please allow 2-5 weeks for your TIN to become active.

The CCR or SAM registration process may take five or more business days to complete. If you are currently registered with the CCR, you may not need to make any changes. However, please make certain that the TIN associated with your DUNS number is correct. Also note that you will need to update your CCR registration on an annual basis. This may take three or more business days to complete. Information on SAM is available at SAM.gov.

In addition, if you are submitting your application via Grants.gov, you must (1) be designated by your organization as an Authorized Organization Representative (AOR); and (2) register yourself with Grants.gov as an AOR. Details on these steps are outlined at the following Grants.gov Web page: www.grants.gov/applicants/get_registered.jsp.

7. Other Submission Requirements:

Applications for grants under this competition must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in this section.

a. Electronic Submission of Applications.

Applications for grants under the State-Tribal Education

Partnership (STEP) Pilot, CFDA number 84.415, must be submitted electronically using the Governmentwide Grants.gov Apply site at www.Grants.gov. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement. You may access the electronic grant application for State-Tribal Education Partnership (STEP) Pilot at www.Grants.gov. You must search for the downloadable application package for this competition by the CFDA number.

Please note the following:

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.

- Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30:00 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not accept your application if it is received--that is, date and time stamped by the Grants.gov system--after 4:30:00 p.m., Washington, DC time, on the application deadline date. We do not consider an application that does not comply with the deadline requirements. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30:00 p.m., Washington, DC time, on the application deadline date.

- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.

- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this competition to ensure that you submit your application in a timely manner to

the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov under News and Events on the Department's G5 system home page at www.G5.gov.

(1) • You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

• You must submit all documents electronically, including all information you typically provide on the following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.

• You must upload any narrative sections and all other attachments to your application as files in a PDF (Portable Document) read-only, non-modifiable format. Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-modifiable PDF or submit a password-protected file, we will not review that material. (Additional, detailed information on how to attach files is in the application instructions.]

• Your electronic application must comply with any page-limit requirements described in this notice.

• After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. (This notification indicates receipt by Grants.gov only, not receipt by the Department.) The Department then will retrieve your application from Grants.gov and send a second notification to you by e-mail. This second notification indicates that the Department has received your application and has assigned your application a PR/Award number (an ED-specified identifying number unique to your application).

• We may request that you provide us original signatures on forms at a later date.

Application Deadline Date Extension in Case of Technical Issues with the Grants.gov System: If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30:00 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically or by hand delivery. You also may

mail your application by following the mailing instructions described elsewhere in this notice.

If you submit an application after 4:30:00 p.m., Washington, DC time, on the application deadline date, please contact the person listed under For Further Information Contact in section VII of this notice and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your application by 4:30:00 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

Note: The extensions to which we refer in this section apply only to the unavailability of, or technical problems with, the Grants.gov system. We will not grant you an extension if you failed to fully register to submit your application to Grants.gov before the application deadline date and time or if the technical problem you experienced is unrelated to the Grants.gov system.

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may

submit your application in paper format, if you are unable to submit an application through the Grants.gov system because--

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to the Grants.gov system;

and

(2) • No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application.

(3) If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

(4) Address and mail or fax your statement to: Joyce Silverthorne, U.S. Department of Education, 400 Maryland Avenue, SW, room 3E201, Washington, DC 20202

(5) FAX: (202) 401-0606.

(6) Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

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

U.S. Department of Education
Application Control Center
Attention: CFDA Number 84.415
LBJ Basement Level 1
400 Maryland Avenue, SW.
Washington, DC 20202-4260

You must show proof of mailing consisting of one of the following:

(1) A legibly dated U.S. Postal Service postmark.

(2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.

(3) A dated shipping label, invoice, or receipt from a commercial carrier.

(4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

(1) A private metered postmark.

1. (2) A mail receipt that is not dated by the U.S. Postal Service.

2. If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

c. Submission of Paper Applications by Hand Delivery.

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

U.S. Department of Education
Application Control Center
Attention: CFDA Number 84.415
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

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

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

(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your +application; and

3. (2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

4. V. Application Review Information

1. Selection Criteria: We will use the following selection criteria to evaluate applications submitted under this competition.

The maximum score for all the selection criteria is 100 points. The maximum score for each criterion is indicated in parentheses.

Significance (20 points). In determining the significance of the project the Secretary considers:

(1) The significance of the problem or issue to be

addressed by the proposed project.

(2) The potential replicability of the proposed project or strategies, including, as appropriate, the potential for implementation in a variety of settings.

(3) The likelihood that the proposed project will result in system change or improvement.

Quality of the Project Design and Services (30 points). The Secretary considers the quality of the design and services of the proposed project. In determining the quality of the design and services of the proposed project, the Secretary considers:

(1) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.

(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.

(3) The extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance.

(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.

Quality of the Management Plan and Personnel (20 points).

The Secretary considers the quality of the management plan for the proposed project and of the personnel who will carry out the proposed project. In determining the quality of the management plan and the project personnel, the Secretary considers:

(1) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.

(2) The qualifications, including relevant training and experience, of key project personnel.

(3) The qualifications, including relevant training and experience, of project consultants or subcontractors.

Adequacy of Resources (30 points). The Secretary considers the adequacy of resources for the proposed project. In determining the adequacy of resources for the proposed project, the Secretary considers:

(1) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization.

(2) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project.

(3) The relevance and demonstrated commitment of each

partner in the proposed project to the implementation and success of the project.

(4) The potential for continued support of the project after Federal funding ends, including, as appropriate, the demonstrated commitment of appropriate entities to such support.

(5) The potential for the incorporation of project purposes, activities, or benefits into the ongoing program of the agency or organization at the end of Federal funding.

2. Review and Selection Process: We remind potential applicants that in reviewing applications in any discretionary grant competition, the Secretary may consider, 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, achievement of project objectives, 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).

3. Special Conditions: Under 34 CFR 74.14 and 80.12, the Secretary may impose special conditions on a grant if the applicant or grantee is not financially stable; has a history of unsatisfactory performance; has a financial or other management system that does not meet the standards in 34 CFR parts 74 or 80, as applicable; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN). We may notify you informally, also.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: (a) If you apply for a grant under this competition, you must ensure that you have in place the necessary processes and systems to comply with the reporting requirements in 2 CFR part 170 should you receive funding under the competition. This does not apply if you have an exception under 2 CFR 170.110

(b) In addition, within nine months from the start of the grant (by June 29, 2013), you must submit to the Department a final agreement described in section I- of this notice.

(c) At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118.

The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to www.ed.gov/fund/grant/apply/appforms/appforms.html.

4. Performance Measures: The Department has established the following performance measures for the Pilot:

(1) The number of funded projects for which the TEA assumes State-level functions by the beginning of the second grant period.

(2) The number of funded projects that, at the end of the project period, report that the project has resulted in creation of an arrangement under which the TEA will continue to be responsible for the State-level functions delineated in its TEA-SEA agreement after Federal funding ends.

5. Continuation Awards: In making a continuation award, the Secretary may consider, under 34 CFR 75.253, the extent to which a grantee has made "substantial progress toward meeting the objectives in its approved application." This consideration includes the review of a grantee's progress in meeting the targets and projected outcomes in its approved application, and whether the grantee has expended funds in a manner that is consistent with its approved application and budget. In addition, a major factor the Secretary will consider will be the quality and completeness of the final agreement between the TEA and SEA.

In making a continuation grant, the Secretary also considers whether the grantee is operating in compliance with the assurances in its approved application, including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

VII. Agency Contact

For Further Information Contact: Joyce Silverthorne U.S. Department of Education, 400 Maryland Avenue, SW. 3E201 Washington, 20202. Telephone: (202) 401-0767 or by e-mail: joyce.silverthorne@ed.gov.

If you use a TDD or a TTY, call the FRS, toll free, at 1-800-877-8339.

VIII. Other Information

Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) [on request to the program contact person listed under For Further Information Contact in section VII of this notice.

Electronic Access to This Document: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available via the Federal Digital System at: www.gpo.gov/fdsys. At this site you can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF). To use PDF you must have Adobe Acrobat Reader, which is available free at the site.

You may also access documents of the Department published in the Federal Register by using the article search feature at:

www.federalregister.gov. Specifically, through the advanced search feature at this site, you can limit your search to documents published by the Department.

Date:

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Michael Yudin,
Deputy Assistant Secretary for Policy and Strategic Initiatives,
Delegated Authority to Perform the Functions and Duties of the Assistant Secretary for Elementary and Secondary Education.