U.S. Department of Education
Office of Elementary and Secondary Education
Office of Indian Education
Washington, D.C. 20202-6244

Fiscal Year 2015

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

CFDA 84.415A

Dated Material - Open Immediately
Closing Date: June 15, 2015

Approved OMB Number: 1810-0723
Expiration Date: 04/30/2018

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: **1810-0723**. The time required to complete this information collection is estimated to average 50 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Shahla Ortega, Office of Indian Education, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3W223, Washington, D.C. 20202-6244.

Table of Contents

DEAR COLLEAGUE LETTER **1**

PROGRAM BACKGROUND INFORMATION **3**

PROGRAM OVERVIEW 3
APPLICATION REQUIREMENTS 4
Preliminary Agreement Requirements *5*
Final Agreement Requirements *5*
Schools and ESEA Formula Grant Programs Included in Project Requirements *6*
ISDEAA Hiring Preference Requirements *6*
DEFINITIONS 6
FREQUENTLY ASKED QUESTIONS (FAQS) 7
TECHNICAL ASSISTANCE WORKSHOP 16
TIPS FOR PREPARING AND SUBMITTING AN APPLICATION 16

APPLICATION SUBMISSION PROCEDURES **17**

APPLICATION TRANSMITTAL INSTRUCTIONS 17
SUBMITTING APPLICATIONS WITH ADOBE READER SOFTWARE 20
GRANTS.GOV SUBMISSION PROCEDURES AND TIPS FOR APPLICANTS 21

APPLICATION INSTRUCTIONS **24**

ELECTRONIC APPLICATION FORMAT 24
ELECTRONIC APPLICATION SUBMISSION CHECKLIST 26
PART 1: PRELIMINARY DOCUMENTS 27
PART 2: BUDGET INFORMATION 34
PART 3: ED ABSTRACT FORM 37
PART 4: PROJECT NARRATIVE ATTACHMENT FORM 38
Selection Criteria for Project Narrative *39*
PART 5: BUDGET NARRATIVE 42
PART 6: OTHER ATTACHMENT FORM 47
PART 7: ASSURANCES AND CERTIFICATIONS 48
PART 8: INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS (EXECUTIVE ORDER 12372) 51

REPORTING AND ACCOUNTABILITY **52**

LEGAL AND REGULATORY INFORMATION **53**

NOTICE INVITING APPLICATIONS 53

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) Program, administered by the Office of Elementary and Secondary Education of the U.S. Department of Education (Department). This program is authorized under Section 7131(a)(4) of the Elementary and Secondary Education Act of 1965, as amended (ESEA).

The purpose of STEP is to promote increased collaboration between tribal educational agencies (TEAs), State educational agencies (SEAs), and local educational agencies (LEAs) that serve students from affected tribes. Additionally, the program seeks to build the capacity of TEAs to conduct certain administrative functions under certain ESEA formula grant programs for eligible schools, as determined by the TEA, SEA, and LEA.

Please take the time to review the applicable priorities, 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. (34 CFR §75.216).

All applicants are eligible to receive up to 100 points based on the published selection criteria. In addition, there are two absolute priorities for this competition, as established in the Notice of Final Priorities published in the Federal Register on March 4, 2015. The first absolute priority is for established TEAs; the second absolute priority is for TEAs with limited prior experience.

For this competition it is **mandatory** for applicants to use the government-wide website, Grants.gov (http://www.grants.gov), to apply. We strongly encourage you to familiarize yourself with Grants.gov and strongly recommend that you register *and* submit early.

Applications submitted to Grants.gov for the Department 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 2015 funds, the Department expects to award approximately $1,950,000 for new grants under this competition. We will award discretionary grants on a competitive basis for a project period of up to 48 months. Grants are expected to be awarded in September 2015.

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 Shahla Ortega, Office of Indian Education, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3W223, Washington, D.C. 20202-6244. by

telephone at (202) 453-5602 or via e-mail at shahla.ortega@ed.gov.

Joyce Silverthorne
Director, Office of Indian Education

Program Background Information

Program Overview

The purpose of the STEP program is to (a) promote increased collaboration between TEAs and the SEAs and LEAs that serve students from affected tribes,; and (b) build the capacity of TEAs to conduct certain administrative functions under certain ESEA formula grant programs for eligible schools, as determined by the TEA, SEA, and LEA.

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 (NIA) published in the Federal Register on April 16, 2015 (See Legal and Regulatory Documents of this application package). The NIA is also available electronically at the following Web site: http://www.gpo.gov/fdsys/pkg/FR-2015-04-16/pdf/2015-08681.pdf.

Eligible Applicants

Eligible applicants include (a) a TEA that is from an eligible Indian tribe and is authorized by its tribe to administer this program; or (b) a consortium of such TEAs.

Absolute Priorities

The FY 2015 competition includes two absolute priorities. To meet the first absolute priority, a TEA must be an Established TEA. To meet the second absolute priority, a TEA must be a TEA with Limited Prior Experience.

Program Contact

Please contact Shahla Ortega at (202) 453-5602 or via email at shahla.ortega@ed.gov after reviewing the application package if you have any questions about the program.

Project Period

The project period for this grant is 48 months (4 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 Estimations

We estimate that awards for a single TEA will range from $150,000 to $330,000, and awards for a consortium of TEAs will range from $300,000 to $500,000. We expect to award 4-6 grants.

Grant Award Limitations
We will reject any application from a single TEA that proposes a budget exceeding $330,000 for a single budget period of 12 months, or from a Consortium of TEAs that proposes a budget exceeding $500,000 for a single budget period of 12 months.

Application Due Date
Applications must be submitted on or before June 15, 2015. 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 "Application Submission Procedures" for information on how to submit applications electronically.

Project Director Time Commitment
Applicants are requested to provide the percentage 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 percent. We suggest that applicants include this information in the budget narrative or add this information to the Project Director line on the Department of Education Supplement to the Standard Form 424.

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.

Application Requirements

To be considered for an award under this competition, each eligible applicant must provide a detailed project narrative, a budget narrative, and resumes of key personnel. Additionally, applicant TEAs must provide certification by the tribe that it is the authorized TEA, as well as a signed preliminary agreement among the TEA, SEA, and at least one LEA that meets the requirements noted below. Each grantee will be required to submit to the Department a signed final agreement, among the TEA, SEA, and at least one LEA during the first year of the grant award, as described below.

If an applicant has a current indirect cost rate agreement, and includes indirect costs in its budget, the applicant must provide a copy of its indirect cost rate agreement. An application submitted by a consortium must include a consortium agreement that meets the requirements of 34 CFR 75.128 and 75.129.

Preliminary Agreement Requirements

An applicant must submit with its application for funding a signed preliminary agreement among the TEA, SEA, and LEA(s). Letters of support from an SEA or LEA will not meet this requirement and will not be accepted as a substitute.

The preliminary agreement must include--

(a) An explanation of how the parties will work collaboratively to:
  (1) Administer selected ESEA formula grant programs in eligible schools; and
  (2) Cooperate on administering other educational programs or services as agreed to by the parties.
(b) The primary ESEA formula grant program(s) for which the TEA will assume SEA-type or LEA-type administrative functions;
(c) A description of the primary SEA-type or LEA-type administrative functions that the TEA will assume;
(d) The training and other activities that the SEA or LEA, as appropriate, will provide for the TEA to gain the knowledge and skills needed to administer ESEA formula programs;
(e) The assistance that the TEA will provide to the SEA or LEA, as appropriate, to facilitate the project, such as cultural competence training;
(f) A statement concerning student data that--
  (1) Acknowledges that access by the TEA to data on students who are tribal members is important to building the capacity of the TEA, and, depending on the project design, may be one of the factors the Secretary considers in determining whether a grantee has made substantial progress in achieving the goals and objectives of the project for the purpose of making continuation awards; and
  (2) Commits the parties to making their best efforts to:
  (i) Participate in training and technical assistance, provided by or through the Department, on the requirements of section 444 of the General Education Provisions Act (commonly referred to as the Family Educational Rights and Privacy Act, or FERPA) and on the possible ways in which the TEA could be provided access to tribal student data consistent with FERPA; and
  (ii) Reach agreement on and include, as part of the Final Agreement to be submitted during year 1 of the grant, a provision on data sharing that is consistent with FERPA, if data sharing is required by the project design;
(g) The names of at least one LEA and two or more eligible schools, at least one of which must be a public school, that are expected to participate in the project;
(h) An explanation of how the STEP funds will be used to build on existing activities or add new activities rather than replace tribal or other funds; and
(i) Signatures of the authorized representatives of the TEA, SEA, participating LEA(s), and any BIE-funded tribally controlled school that is included in the project.

Final Agreement Requirements

As provided in the NIA, each grantee must submit to the Department a final agreement that builds on the preliminary agreement no later than March 31, 2016. The final agreement must contain--

(a) All of the elements from the preliminary agreement, in final form;

(b) A timetable for accomplishing each of the objectives and activities that the parties will undertake;

(c) Goals of the project and measureable objectives towards reaching the goals; and

(d) The actions that the parties will take to sustain the relationships and activities established in the agreement after the project ends.

Schools and ESEA Formula Grant Programs Included in Project Requirements

Projects must include at least two eligible schools, at least one of which must be a public school. All schools included in the project must receive services or funds for the specific ESEA formula grant program(s) selected by the applicant. For projects that include one or more BIE-funded schools, the applicant TEA must include in its application evidence that it submitted a copy of the application to BIE. For more information regarding these submission procedures, see Frequently Asked Question number 23. If the proposed project includes SEA-type functions with regard to the BIE-funded school, the TEA may be required by BIE to enter into an agreement with BIE, to be submitted to the Department at the same time as the final agreement.

Projects must include at least one State-administered ESEA formula grant program.

ISDEAA Hiring Preference Requirements

Grants that serve primarily members of federally-recognized tribes are subject to the provisions of section 7(b) of the Indian Self-Determination and Education Assistance Act (Pub. L. 93-638). That section requires that, to the greatest extent feasible, a grantee give to Indians preferences and opportunities for training and employment in connection with the administration of the grant; and give to Indian organizations and to Indian-owned economic enterprises, as defined in section 3 of the Indian Financing Act of 1974 (25 U.S.C. 1452(e)), preference in the award of contracts in connection with the administration of the grant.

Definitions

The following definitions apply to this competition:

Cultural competency means the use of culturally responsive education that takes into account a student's own cultural experiences, creates connections between home and school experiences, and uses the cultural knowledge, prior experiences, and learning styles of diverse students to make learning more appropriate and effective.

Eligible Indian tribe means a federally recognized or a State-recognized tribe.

Eligible school means a school that is included in the applicant's preliminary and final agreements, and that is: (a) A public school, including a public charter school, or (b) A BIE-funded tribally controlled school.

Established TEA means a TEA that: (a) Previously received a STEP grant, or (b) Has an existing prior relationship with an SEA or LEA as evidenced by a prior written agreement between the TEA and SEA or LEA, and meets two or more of the following criteria:

(i) Has an existing tribal education code;
(ii) Has administered at least one education program (for example, a tribally operated preschool or afterschool program) within the past five years; or
(iii) Has administered at least one Federal, State, local, or private grant within the past five years.

ESEA formula grant program means one of the following programs authorized under the Elementary and Secondary Education Act of 1965, as amended (ESEA), for which SEAs or LEAs receive formula funding: (a) Improving Academic Achievement of the Disadvantaged (title I, part A); (b) School Improvement Grants (section 1003(g)); (c) Migrant Education (title I, part C); (d) Neglected and Delinquent State Grants (title I, part D); (e) Improving Teacher Quality State Grants (title II, part A); (f) English Learner Education State Grants (title III, part A); (g) 21st Century Community Learning Centers (title IV, part B); and (h) Indian Education Formula Grants (title VII, part A).

Note: State-administered ESEA formula grant programs are the programs identified in paragraphs (a)-(g) of the definition of ESEA formula grant program. If an applicant chooses the Indian Education Formula Grants program (title VII, part A), which makes direct grants to LEAs, it must also choose at least one State-administered program listed in (a)-(g), as required by paragraph (b) of the Schools and ESEA Formula Grant Programs Included in Project requirement. Applicants can still choose SEA- or LEA-type functions for the State-administered ESEA formula grant.

LEA-type function means the type of activity that LEAs typically conduct, such as direct provision of educational services to students, grant implementation, school district curriculum development, staff professional development pursuant to State guidelines, and data submissions.

SEA-type function means the type of activity that SEAs typically conduct, such as overall education policy development, supervision and monitoring of school districts, provision of technical assistance to districts, statewide curriculum development, collecting and analyzing performance data, and evaluating programs.

Tribal educational agency (TEA) means the agency, department, or instrumentality of an eligible Indian tribe that is primarily responsible for supporting tribal students' elementary and secondary education, which may include early learning.

Frequently Asked Questions (FAQs)

These FAQs are designed to provide State Tribal Education Partnership (STEP) applicants with information about the 2015 competition.

1. What is the purpose of the STEP Program?

The purpose of the STEP program is to: (1) promote increased collaboration between Tribal Education Agencies (TEAs) and the State educational agencies (SEAs) and local educational agencies (LEAs) that serve students from affected tribes, and (2) build the capacity of TEAs to conduct certain SEA-type or LEA-type administrative functions under certain Elementary and Secondary Education Act (ESEA) formula grant programs for eligible schools, as determined by the TEA, SEA, and LEA.

2. What do we mean by "SEA-type functions" and what are examples of SEA-level responsibilities that a TEA might assume as part of this grant program?

Depending on the statutory authorization of the particular ESEA formula grant program, SEA-level functions may include developing policy; providing technical assistance to subgrantees; monitoring for compliance; collecting, analyzing, and reporting performance information; and evaluating programs. SEAs also make subgrants (either competitively or by formula) to LEAs and other subgrantees, but a TEA cannot take on an SEA's subgranting function. A TEA can, however, agree to take on any of the other functions, under agreement with the SEA, consistent with State procurement laws.

For example, SEA-level responsibilities that a TEA might carry out through the STEP grant include:

- Developing a reservation-wide title I-A implementation plan in collaboration with the SEA;
- Providing technical assistance to LEAs on various topics related to the implementation of title I, such as technical assistance on school improvement; or
- Working with the SEA on title II-A to develop teacher evaluation systems, provide training and support to teachers and school leaders, or provide technical assistance to LEAs.

3. For purposes of STEP, what is an LEA, what are LEA-type functions, and what are examples of LEA-level responsibilities that a TEA might assume as part of the STEP project?

An LEA is an entity that meets the definition of "local educational agency" in section 9101(26) of the ESEA, (*i.e.*, a school district that is recognized by the State as an LEA). This can include a charter school that is a stand-alone LEA, but not a charter school that is part of a larger LEA. A charter school that is part of a larger LEA can only participate as a school in a STEP project. Similarly, BIE schools can be included as participating schools in a STEP project, but are not considered LEAs for purposes of the STEP program.

Activities that LEAs typically conduct include supervision and direction for educational services to students, grant implementation, and data submissions, as well as school district curriculum development and staff professional development pursuant to State guidelines.

For example, LEA-level responsibilities that a TEA may carry out through the STEP grant include:

- Assisting with development of job descriptions for teachers in schools receiving School Improvement Grant (SIG) funds;
- Running an after-school program under the 21st Century Community Learning Centers program;
- Conducting native language activities, summer programs for either students or teachers, or culturally-responsive curriculum development under title I-A; or

- Providing cultural competence training for staff under title II-A.

4. Does the Department have any prohibitions on the SEA-type or LEA-type functions a TEA may adopt?

A TEA may choose any SEA-level or LEA-level functions, as long as all parties agree to each function in the preliminary and final agreements. However, if a TEA performs both SEA-level and LEA-level functions for a single ESEA program, the parties must ensure there is no conflict between these functions. A TEA cannot perform both LEA-type and SEA-type functions for the same ESEA formula grant program if the result would be that the TEA is monitoring itself. For example, if a TEA includes the title II-A formula grant program in its STEP project, the TEA could not perform both the LEA function of providing professional development to schools and the SEA function of monitoring the delivery of professional development, because then the TEA would be monitoring itself.

5. Which ESEA formula grant programs could TEAs and SEAs or LEAs include under STEP?

ESEA State-administered formula grant programs are programs for which States: receive ESEA formula funding; subgrant funds to LEAs or other entities (in accordance with statutory allocation formulas or other criteria); and oversee the use of those funds by subrecipients.

TEAs may include the following SEA-administered programs in a STEP grant application:

- Improving Academic Achievement of the Disadvantaged (title I, part A);
- School Improvement Grants (Section 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); and
- 21st Century Community Learning Centers (title IV, part B).

TEAs may include the following LEA-administered program in a STEP grant application:

- Indian Education Formula Grants (title VII, part A).

Title VII is a direct grant to LEAs; it is not a State-administered grant. Projects that include title VII grants must also include at least one State-administered ESEA formula grant program. (See question 7 below for more information). TEAs can still choose SEA-type or LEA-type functions for the State-administered ESEA formula grant.

Projects cannot include Impact Aid grants. Impact Aid funds are intended to replace local tax revenues and are generally treated by LEAs as part of the general fund budget. There is no required use of Impact Aid funds by LEAs. Thus, unlike the other ESEA formula programs, there are not required LEA functions for Impact Aid that would be relevant to the STEP program.

Additionally, the schools included in the partnership agreement must be recipients of grant funds or services under the particular ESEA formula grant program chosen. It is possible for a project

to include one ESEA program for one school (*e.g.*, title VII for a public school), and a different ESEA program for another school (*e.g.*, title I for a BIE-funded school).

6. How can a TEA include the title VII, part A Indian Education formula grant program in a project?

A TEA interested in assuming administrative functions for the title VII, part A Indian Education formula grant program has two options:

i. A tribe may be eligible, outside of the STEP project, to apply for a title VII grant, but only if the tribe is applying in lieu of the LEA under the provisions of section 7112 of the ESEA. A tribe or TEA may not compete with an LEA for a title VII grant. If the LEA meets the eligibility requirements of the title VII program, but does not apply for or receive title VII funds, the tribe and LEA may agree that the tribe can apply for and administer the title VII program in place of the LEA. In this case, the tribe would be the grantee under title VII, and the parties could also include the title VII program in the STEP project.

ii. If the LEA, not the TEA, remains the grantee under title VII, the parties can still agree to coordinate administration of the title VII project in participating STEP schools. Through the STEP project, the TEA would coordinate with the applicable LEA and submit a preliminary agreement that explains, in part, how the parties would work collaboratively to administer the title VII program and what functions the TEA would assume.

7. Can a TEA propose to include in its STEP project only the title VII, part A Indian Education formula grant program?

No. If a TEA includes title VII, part A in its STEP project, it must also include at least one State-administered ESEA formula grant. STEP's dual purpose is to build TEA capacity and to build relationships between the TEA and the relevant LEAs and SEA; if a proposed project only included title VII, part A, there would be no State role in the project. However, for each State-administered program, the TEA can still choose to propose either LEA-type or SEA-type functions.

8. What is meant by "capacity-building" as part of the STEP grant program?

Capacity-building refers to activities that strengthen the knowledge, skills, and abilities of individuals or groups to perform specific activities or functions that lead to strengthening communication, cooperation, coordination and collaboration between and among individuals or groups. Regardless of which ESEA programs or functions are selected, we expect that capacity-building will be a focus of each grant proposal. For example, to build the capacity of the organization, applicants may conduct a needs assessment, develop a technical assistance plan, and implement the technical assistance plan.

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, SEA, and LEA. By "capacity-building activities," we mean activities intended to increase the capacity of the:

- TEA to carry out administrative responsibilities under the affected ESEA programs;
- TEA, SEA, and LEA(s) to work together effectively on meeting the objectives of this program; and
- SEA and LEA to understand the unique cultural and academic needs of the American Indian/Alaskan Native students enrolled in participating schools and how to address them more effectively.

9. Who must comply with the ISDEAA hiring preference?

STEP grants that are primarily for the benefit of members of federally-recognized tribes are subject to the provisions of section 7(b) of the Indian Self-Determination and Education Assistance Act (Pub. L. 93-638). That section requires that, to the greatest extent feasible, a grantee—

i. Give to Indians preferences and opportunities for training and employment in connection with the administration of the grant; and

ii. Give to Indian organizations and to Indian-owned economic enterprises, as defined in section 3 of the Indian Financing Act of 1974 (25 U.S.C. 1452(e)), preference in the award of contracts in connection with the administration of the grant.

A TEA from a federally-recognized tribe that receives a STEP grant is subject to the hiring preference. If such a TEA shares STEP funds with an SEA or LEA or any other entity, that entity would be subject to the hiring preference when using STEP funds. However, a TEA from a State-recognized tribe generally would not be subject to this hiring preference.

10. What are the ways in which the parties can share ESEA formula grants funds, or STEP funds?

There are several ways applicants could share funding. The applicant could: (a) share the STEP grant award only; (b) share the STEP grant award and the SEA's or LEA's formula grant administration funds; (c) share the SEA's or LEA's grant administration funds, but not 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 program.

To enable the TEA to assume certain ESEA administrative functions, SEAs or LEAs can provide a portion of their formula grant administration funds to the TEA, in accordance with applicable State laws. If the TEA and the SEA or LEA agree to share formula grant administrative funds, the TEA must detail the fund distribution in the budget submitted to the Department with the grant application, and the TEA, SEA, or LEA should describe the plans to share these funds in the preliminary and final agreement.

11. Will the Department provide TEAs with State-administered formula grant program funds to distribute to the affected LEAs under the STEP program?

No. The Department will not grant formula funds to TEAs as a part of this grant program. No changes have been made to the ESEA that would permit the Department to change the designated grantee under any ESEA program. STEP grant funds to successful applicants will consist only of discretionary funds appropriated for this competition. However, a TEA, SEA and LEA may distribute funds according to the options listed in question ten.

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

No. SEAs that participate in the STEP program will continue to subgrant ESEA State-administered formula funds to eligible LEAs in the State, including to LEAs with schools involved in the STEP grant program. 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.

13. If a TEA decides to undertake joint functions with either the SEA or the LEA, such as monitoring or providing technical assistance, would that count as the TEA assuming administrative functions?

Yes. A TEA's assumption of SEA-level or LEA-level responsibilities under an agreement could include carrying out responsibilities jointly with the SEA or LEA. Alternatively, TEAs could take on an activity alone, on behalf of the SEA or LEA. Under either option, SEAs retain legal responsibility to the Department, as discussed above. The types of SEA-level or LEA-level functions that a TEA will perform will depend on the terms of the agreement reached by the TEA and SEA, or TEA and LEA.

14. 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 SEA or an LEA could release student information in non-personally identifiable form to a TEA. In addition, an SEA or an LEA 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. For further information, see resources from the Department's Family Policy Compliance Office and Departmental regulations. Also, review the requirements for the preliminary and final agreements, as detailed in the application package.

15. What does the Department expect to see in a Preliminary Agreement between a TEA, an SEA, and an LEA?

A TEA must submit a preliminary agreement between the TEA, SEA, and LEA with its application. The preliminary agreement must document the commitment of the TEA, SEA, and LEA to work together and must include all of the elements required in the application package.

16. Which parties must sign the Preliminary and Final Agreements?

The preliminary and final agreements must be signed by the TEA, the SEA, and at least one LEA. Letters of support will not be accepted as a substitute.

17. Will an application be reviewed if it is missing required signatures on the Preliminary Agreement?

No. The signatures in the preliminary agreement are evidence of a commitment between the TEA, SEA and LEA to fulfill the requirements in the proposed application.

18. What does the Department expect to see in a Final Agreement between a TEA, an SEA, and an LEA?

By March 30, 2016, 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, SEA, and LEA will work together to administer selected ESEA formula grant programs for identified schools. The final agreement must contain all required elements listed in the application package

19. Are TEAs required to identify the participating schools in their applications?

Yes. Applicant TEAs are required to list the participating schools in the preliminary agreements that they submit with their applications.

20. Can a TEA choose to work with only one school? Is a TEA required to make an agreement with two different LEAs?

A TEA cannot work with only one school; it must work with a minimum of two schools, at least one of which is a public school. However, the TEA is not required to make an agreement with two different LEAs. For example, a TEA may work with two schools within a single LEA, such as an elementary school on the reservation, and a high school off the reservation; it could not choose, however, to include only the single elementary school. The TEA could also work with one school that is part of an LEA and one BIE school. This does not require that a TEA make an agreement with two different LEAs. (Please refer to the LEA definition in question three).

21. Can a TEA apply if one or more selected schools serve students from multiple tribes?

Yes. We expect TEA grantees to serve students from all tribes who attend schools participating in the STEP project. For schools that have students from multiple tribes with a presence in the community, we would encourage a TEA planning a STEP application to first consult with other affected tribes. One option for the TEA would be to form a consortium and include the affected TEAs as its consortium partners. Another option is for all tribes in the community to agree that one TEA will serve as the sole applicant, without forming a formal consortium.

22. Can a TEA choose to work with only BIE schools?

No. If a project includes a BIE school, the TEA must include at least one public school as well, in order to promote better communication and collaboration between the tribe and the SEA and LEA.

23. What additional requirements apply to applicants that include BIE-funded schools?

Applicants that include one or more BIE schools in a proposed project are required to transmit a copy of the application to the Bureau of Indian Education. Applicants may transmit this application through email to stepapp@bia.gov, fax the application to (202) 208-3312, or send the application to Dr. Charles M. Roessel, Director, Bureau of Indian Education, 1849 C Street, NW, MS-4657-MIB, Washington, D.C. 20240. In submitting the application to the Department, these applicants must include as an attachment evidence of the submission to BIE (*e.g.*, copy of dated email transmission or fax receipt).

This will allow the Department and BIE to consult as to whether the TEA will be required to enter into an agreement with BIE that details the respective responsibilities of each entity. Applicants proposing to assume SEA-type functions in a BIE-funded school will be required to enter such an agreement. If the TEA is not able to reach an agreement with BIE by the time of award, the TEA must remove the proposed BIE school from its project and adjust its budget accordingly. A TEA that proposes to assume only LEA-type functions with respect to BIE-funded schools will not be not required to enter into an agreement with the BIE.

24. Can STEP funds be used for BIE schools if BIE-funded schools are included?

STEP funds can be used to build communication between BIE-funded tribally-controlled schools and public schools. However, STEP funds cannot be used on activities that are already funded by BIE. For example, a TEA may work with a BIE-funded tribally-controlled preschool and the LEA to promote kindergarten readiness and ensure that student goals are aligned across the programs. The STEP funds could not be used, however, to hire additional teachers for the BIE-funded school.

25. What is the purpose of permitting applicants to include Bureau of Indian Education (BIE)-funded tribally-controlled schools in STEP projects?

BIE-funded tribally-controlled schools are administered by the tribe. These schools serve students that may move between BIE-funded schools and public schools. By including BIE-funded tribally-controlled schools, we promote better communication between the BIE-funded schools and public schools, coordinated through the TEA whose member students are affected by the systems serving the community.

26. What are the audit requirements for STEP applicants? Is the TEA required to have an audit?

Under 2 CFR 200.500-512, all entities that expend $750,000 or more annually in total Federal awards must have a current audit. If an entity does not comply with the Federal audit requirements, the Department has the option of awarding the STEP grant with special conditions or not funding an application. Note that, as applicable, TEAs may meet this requirement through an audit of the whole tribe; if the tribe expends $750,000 or more annually, the tribe is required to have a current audit. A late audit or an audit with findings for the tribe may have an impact on the TEA's application status.

27. What are examples of costs that are not allowable under STEP?

Direct services are not allowable costs under STEP. For example, a grantee cannot hire teachers for a school using STEP funds. In addition, costs must be aligned to the scope of the application, the project purpose, and the general purpose of the STEP program. Additionally, the general government-wide cost principles apply, which prohibit use of funds for most purchases of food, any entertainment expenses, incentives, prizes, or other items identified by the Office of Management and Budget's (OMB) Cost Principles at 2 CFR 200. For more information, please read the FAQs about the Cost Principles.

28. How does the Department review proposed project budgets before an award is made?

The Department's pre-award review of a proposed budget will focus on whether the proposed budget supports the goals and objectives of the grant program and whether those costs are allowable, reasonable, and allocable. The Department eliminates amounts for unallowable or unreasonable expenditures; thus the actual grant amount may be less than the amount in the applicant's proposed budget. For information on allowable costs, see references in question 27.

29. Must a TEA submit a current indirect cost rate (ICR) agreement as part of its application?

If a TEA has a current ICR agreement and intends to charge indirect costs to the STEP grant, the TEA must submit a copy of the ICR agreement as part of its application. The ICR agreement 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 OMB; or (3) the State agency that provides the most subgrant funds to the grantee (if no direct federal awards are received). For federally-recognized tribes, the Department of Interior (DOI) is the cognizant agency.

An applicant selected for funding that has an expired ICR agreement and intends to charge indirect costs to the STEP grant must follow the Department's regulations at 34 CFR 75.560. Those rules permit an applicant to use a temporary rate of 10 percent of budgeted direct salaries and wages while it negotiates a rate with its cognizant agency (*e.g.*, DOI); the applicant must then submit an ICR proposal to its cognizant agency within 90 days after the Department issues the grant award notification. 34 CFR 75.560.

Applicants with no previous ICR can use a de minimis rate of 10 percent of modified total direct costs (MTDC); these TEAs do not need to negotiate for this rate. Should such an applicant decide to use this MTDC as its ICR, it must use this rate for a full fiscal year; it cannot negotiate for a different rate. 2 CFR 200.414(f).

Please note that, in accordance with OMB's Cost Principles at 2 CFR 200, applicants that have an expiring ICR agreement can apply to the cognizant agency for a one-time extension of up to four years. 2 CFR 200.414(g). If a successful applicant has an expiring ICR agreement, after the expiration date of the original agreement, the grantee will be required to submit evidence to the Department that its cognizant agency granted an extension of the ICR agreement in order to charge indirect costs to the STEP grant at the approved rate.

Technical Assistance Workshop

A pre-application webinar is planned following the publication of the NIA. The date of this webinar will be posted in the Notice, and the date and time will be posted on the program website at http://www2.ed.gov/programs/STEP/index.html. Please check the site regularly for updates.

Tips for Preparing and Submitting an Application

Beginning the Application Process

- Read this application package in its entirety, including the NIA, and make sure you follow all of the instructions.
- Read the Frequently Asked Questions section in this application package.
- If you do not understand an instruction or requirement, contact Shahla Ortega, U.S. Department of Education, Office of Indian Education, Room 3W223, Washington, D.C. 20202. Telephone: (202) 453-5602 or by email: shahla.ortega@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 Department 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 NIA, 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 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 applicants will also 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 June 15, 2015.

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.
Room 7039, Potomac Center Plaza
Washington, DC 20202-4260

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

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

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

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/web/grants/support/technical-support/troubleshooting/verifying-adobe-reader.html#.

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://www.grants.gov/web/grants/support/technical-support/software/adobe-reader-compatibility.html.

We strongly recommend that you review the information on computer and operating system compatibility with Adobe available at http://www.grants.gov/web/grants/support/technical-support/software/adobe-reader-compatibility.html **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 10.1.14). (Please note that in early 2013, Grants.gov discovered an issue with the newest version of Adobe Reader XI but it was subsequently resolved.) Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov at this link: compatibility table. 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.

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

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

2) **SUBMIT EARLY – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded.** The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to

process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully to Grants.gov before 4:30:00 p.m. Washington, DC time on the deadline date.

Note: To submit successfully, you must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This DUNS number is typically the same number used when your organization registered with the SAM (formerly CCR - Central Contractor Registry). 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/web/grants/applicants/applicant-faqs.html. For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Error Messages document at http://www.grants.gov/web/grants/support/technical-support/troubleshooting/encountering-error-messages.html. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

Submission Problems – What should you do?

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or http://www.grants.gov/web/grants/about/contact-us.html, or access the Grants.gov Self-Service web portal at: https://grants-portal.psc.gov/Welcome.aspx?pt=Grants

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/web/grants/about/contact-us.html 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/web/grants/support/general-support/faqs.html.

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

MAC Users
For MAC compatibility information, review the Operating System Platform Compatibility Table at the following Grants.gov link: http://www.grants.gov/web/grants/support/technical-support/recommended-software.html. **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 under the heading of additional resources: http://www.grants.gov/web/grants/support/technical-support/software/pdf-conversion-software.html

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 be less than 50 characters, contain no spaces, no special characters (example: -, &, *, %, /, #, \) 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.

3/2014

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 from the tribe that the applicant is an eligible TEA
- ❑ Current Indirect Cost Agreement
- ❑ For projects including a BIE funded school only: evidence of submission to BIE
- ❑ For consortium applicants only: a consortium agreement that meets the requirements of 34 CFR 75.128-.129

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

Part 8: Intergovernmental Review (Executive Order 12372)
- ❑ State Single Point of Contact (SPOC) List

Part 1: Preliminary Documents

- ❑ Application for Federal Assistance (Form 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. **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.

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 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

	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).		parentheses.
	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.	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
	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.	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 U.S. Department of Education
Supplemental Information for the SF-424

1. Project Director. Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application. Items marked with an asterisk (*) are mandatory.

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

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

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

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

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

3b. If Human Subjects Research is Exempt from the Human Subjects Regulations. Check "**Yes**" if all the research activities proposed are designated to be exempt from the regulations. Check the exemption number(s) corresponding to one or more of the 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 U.S. Department of Education Supplemental Information for the SF-424."

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

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

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

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

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

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 1894-0007. 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, D.C. 20202-0170. 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.*

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 48 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, SEA, and any LEA to attend a Project Director's Meeting in the first three years 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).

General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. You may access the Education Department General Administrative Regulations cited within these instructions at: http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html. You may access requirements from 2 CFR 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards" cited within these instructions at: https://www.federalregister.gov/articles/2013/12/26/2013-30465/uniform-administrative-requirements-cost-principles-and-audit-requirements-for-federal-awards.

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

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

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

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

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

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

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

Indirect Cost Information: If you are requesting reimbursement for indirect costs on line 10, 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 (**complete (4) of this section when using the temporary rate**) subject to the following limitations:

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

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

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

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

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

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

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

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

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

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

5. Provide other explanations or comments you deem necessary.

Paperwork Burden Statement

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

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 TEA, SEA, and LEA(s)) and include a concise description of the following information:

- The project goals and objectives.
- The SEA expected to participate in the project.
- The LEAs and eligible schools expected to participate in the project.
- The ESEA State-administered formula programs for which the TEA will assume administrative functions.
- The SEA-type and LEA-type administrative functions the TEA will assume by the end of the project period.
- The capacity-building activities that the TEA, SEA, and LEAs 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 responds to the selection criteria found in this application package and should follow the order of the selection criteria.

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, the activities planned for each funding period. The narrative must explain how the terms of the agreement between the TEA, SEA, and LEA(s), as outlined in the preliminary agreement, will be met.

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.

Selection Criteria for Project Narrative

The maximum score for all criteria is 100 points. The points or weight assigned to each criterion are indicated in parentheses. Non-Federal peer reviewers will review each application. They will be asked to evaluate and score each program narrative against the following selection criteria.

The applicant must address all the following criteria, which come from 34 CFR 75.210 of EDGAR as well as the Notice of Final Priorities, published in the Federal Register on March 4, 2015.

Selection Criteria	Maximum Points
Need for Project	5 points
Quality of the Project Design	35 points
Adequacy of Resources	5 points
Quality of the Management Plan	25 points
Quality of Project Personnel	15 points
Quality of Project Evaluation	15 points

Panel readers will award points only for an applicant's response to a given selection criterion that is contained within the section of the application designated to address that particular selection criterion. Readers will not review, or award points for responses to a given selection criterion that are in any other section of the application or appendices. However, readers will use the information contained within the Budget and Budget Narrative sections of the application to award points for relevant selection criteria responses.

In describing the proposed project, applicants should address the six selection criteria in the order in which they are listed above.

Need for Project (Maximum 5 points). In determining the need for the proposed project, the Secretary considers the extent to which the goals and objectives in the preliminary agreement, including the TEA capacity-building activities, address identified educational needs of the Indian students to be served.

Quality of the Project Design (Maximum 35 points). In determining the quality of project design, the Secretary considers the following factors:

(1) The extent to which the proposed project would recognize and support tribal sovereignty. (5 points)
(2) The extent to which the preliminary agreement defines goals, objectives, and outcomes of the proposed project that are likely to be achieved by the end of the project period. (10 points)
(3) The extent to which the proposed project would build relationships and better communication among the TEA, SEA, and LEA, as well as families and communities, to the benefit of Indian students in the selected schools, including by enhancing the cultural competency of SEA and LEA staff. (10 points)
(4) The extent to which the proposed project would enhance the capacity of the TEA to administer ESEA formula grants during the grant period and beyond. (10 points)

Adequacy of Resources (Maximum 5 points). In determining the adequacy of resources, the Secretary considers the extent to which the TEA has established, prior to developing the preliminary agreement, a relationship with either the SEA or an LEA that will enhance the likelihood of the project's success. (5 Points)

Quality of the Management Plan (Maximum 25 points). In determining the quality of the management plan for the proposed project, the Secretary considers:

(1) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks. (10 points)
(2) The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project. (5 points)
(3) How the applicant will ensure that a diversity of perspectives are brought to bear in the operation of the proposed project, including those of parents, teachers, the business community, a variety of disciplinary and professional fields, recipients or beneficiaries of the services, or others, as appropriate. (10 points)

Note: In addressing the third sub-element of the Quality of the Management Plan selection criteria, applicants may want to consider describing the involvement of the SEA and LEA in the project, in addition to the input of other affected groups, as appropriate.

Quality of Project Personnel (Maximum 15 points) In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. In addition, the Secretary considers:

(1) The extent to which the proposed project director has experience in education and in administering Federal grants. (5 points)
(2) The qualifications, including relevant training and experience, of key project personnel. (5 points)
(3) The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services. (5 points)

Note: Please note that section 7(b) of the Indian Self-Determination and Education Assistance Act requires that to the greatest extent feasible, a grantee must give to Indians preference and opportunities in connection with the administration of the grant, and give Indian organizations and Indian-owned economic enterprises, as defined in section 3 of the Indian Financing Act of 1974 (25 U.S.C. 1452(e)), preference in the award of contracts in connection with the administration of the grant.

In addressing the third sub-element of the Quality of Project Personnel selection criterion, applicants may want to consider including the context of training or PD among all three entities--TEA, SEA, and LEA. For example, the SEA or LEA could provide training to TEA staff with regard to Federal grant administration, and the TEA could provide training to SEA and LEA staff with regard to cultural competence.

Quality of Project Evaluation (Maximum 15 points). In determining the quality of the evaluation, the Secretary considers one or more of the following factors:

(1) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project. (5 points)
(2) The extent to which the methods of evaluation provide for examining the effectiveness of project implementation strategies. (5 points)
(3) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes (5 points)

Note: 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 or organization that has 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 the 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 length of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend 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 48 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 Note

Applicants are encouraged to review the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR part 200, as adopted and amended in 2 CFR part 3474.

Suggested Guidelines for the Budget Narrative

In accordance with 34 CFR 75.232, Department 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 the basis for cost estimates or computations.

Note: see **Important Information Regarding Professional Services Contracts** below.

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 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, and see **Important Information Regarding Indirect Costs** below.

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 48 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 LEA and SEA that proposes a budget in excess of $330,000 for a single budget period of 12 months. We will also reject any application from a Consortium of TEAs in partnership with an LEA and SEA that proposes a budget in excess of $500,000 for a single budget period of 12 months

Important Information Regarding Professional Services Contracts

Generally, applicants other than States must comply with the procurement requirements in 2 CFR 200.318 through 200.326 and States must follow the same policies and procedures they use for procurements from their non-Federal funds.

However, there are two exceptions. Under 34 CFR 75.135(a), an applicant may contract, without regard to the procurement procedures in 2 CFR part 200, to obtain services from an entity that provides a site or sites where the applicant would conduct the project activities. Also, under 34 CFR 75.135(b), an applicant may use the small purchase procedures authorized under 2 CFR 200.320(b) to procure data collection, data analysis, evaluation services, or other essential services that are needed to meet a statutory, regulatory, or priority requirement related to the competition.

If you relied on either of these exceptions please contact Shahla Ortega by phone at (202) 453-5602 or via e-mail at shahla.ortega@ed.gov for additional guidance.

Important Information Regarding Indirect Costs

The Department reimburses grantees for its portion of indirect costs that a grantee incurs on projects funded by the STEP program (CFDA Number 84.415A). If a TEA has a current ICR agreement and intends to charge indirect costs to the STEP grant, the TEA must submit a copy of the ICR agreement as part of its application. The ICR agreement 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 OMB; or (3) the State agency that provides the most subgrant funds to the grantee (if no direct federal awards are received). For federally-recognized tribes, the Department of Interior (DOI) is the cognizant agency.

An applicant selected for funding that has an expired ICR agreement and intends to charge indirect costs to the STEP grant must follow the Department's regulations at 34 CFR 75.560. Those rules permit an applicant to use a temporary rate of 10 percent of budgeted direct salaries and wages while it negotiates a rate with its cognizant agency (*e.g.*, DOI); the applicant must then submit an ICR proposal to its cognizant agency within 90 days after the Department issues the grant award notification. 34 CFR 75.560.

Applicants with no previous ICR can use a de minimis rate of 10 percent of modified total direct costs (MTDC); these TEAs do not need to negotiate for this rate. Should such an applicant decide to use this MTDC as its ICR, it must use this rate for a full fiscal year; it cannot negotiate for a different rate. 2 CFR 200.414(f).

Please note that, in accordance with OMB's Cost Principles at 2 CFR 200, applicants that have an expiring ICR agreement can apply to the cognizant agency for a one-time extension of up to four years. 2 CFR 200.414(g). If a successful applicant has an expiring ICR agreement, after the expiration date of the original agreement the grantee will be required to submit evidence to the Department that its cognizant agency granted an extension of the ICR agreement in order to charge indirect costs to the STEP grant at the approved rate.

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 the Department is very often not the cognizant agency for its grantees. Rather, the Department accepts the currently approved ICR established by the appropriate cognizant agency.

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: Provide a signed preliminary agreement among the TEA, SEA, and at least one LEA that meets the requirements outlined in the Program Background Information section.
- ❑ Certification from the tribe that the applicant is an eligible TEA
- ❑ Current Indirect Cost Agreement
- ❑ Evidence of submission to BIE (for projects including a BIE-funded school only)
- ❑ A consortium agreement that meets the requirements of 34 CFR 75.128-.129 (for consortium applicants only)

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

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.

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

This program falls under the rubric of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79. However, federally-recognized tribes are not subject to these requirements.

One of the objectives of the Executive order is to strengthen federalism--or the distribution of responsibility between localities, States, and the Federal government--by fostering intergovernmental partnerships. This idea includes supporting processes that State or local governments have devised for coordinating and reviewing proposed Federal financial grant applications.

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

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

http://www.whitehouse.gov/omb/grants_spoc

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372—CFDA #84.415A, U.S. Department of Education, room 7E200. 400 Maryland Avenue, SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR §75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (eastern time) on the closing date indicated in this notice.

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

Not all states have chosen to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located in a State that does not have a SPOC, you may send application materials directly to the Department as described in the *Federal Register* notice.

Reporting and Accountability

Successful applicants with multi-year grants must submit an APR 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) Number of TEA grantees that report increased collaboration among TEAs, SEAs, and LEAs.
> (2) The number of SEA-type and LEA-type administrative functions for which the TEA has assumed responsibility.

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

[Federal Register Volume 80, Number 73 (Thursday, April 16, 2015)]
[Notices]
[Pages 20475-20482]
From the Federal Register Online via the Government Printing Office
[http://www.gpo.gov/]
[FR Doc No: 2015-08681]

==========

DEPARTMENT OF EDUCATION

Applications for New Awards; State Tribal Education Partnership Program

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

ACTION: Notice.

Overview Information

State Tribal Education Partnership Program (STEP) Notice inviting applications for new awards for fiscal year (FY) 2015.

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

[[Page 20476]]

DATES:
Applications Available: April 16, 2015.
Date of Pre-Application Webinar: April 30, 2015.
Deadline for Notice of Intent to Apply: May 21, 2015.
Deadline for Transmittal of Applications: June 15, 2015.
Deadline for Intergovernmental Review: August 14, 2015.
Deadline for Submission of Final Agreement: March 31, 2016.

Full Text of Announcement

I. Funding Opportunity Description

Purposes of Program: The purposes of this program are to: (1) Promote increased collaboration between tribal education agencies (TEAs) and the State educational agencies (SEAs) and local educational agencies (LEAs) that serve students from the affected tribes; and (2) build the capacity of TEAs to conduct certain administrative functions under certain Elementary and Secondary Education Act of 1965 (ESEA)

formula grant programs for eligible schools, as determined by the TEA, SEA, and LEA.

Priorities: These priorities are from the notice of final priorities, requirements, definitions, and selection criteria for this program (NFP), published in the Federal Register on March 4, 2015 (80 FR 11550).

Absolute Priorities: For FY 2015 and any subsequent year in which we make awards based on the list of unfunded applicants from this competition, these priorities are absolute priorities. Under 34 CFR 75.105(c)(3) we consider only applications that meet these priorities.

These priorities are:

Priority 1--Established TEAs.

To meet this priority, a TEA must be an established TEA.

Priority 2--TEAs with Limited Prior Experience.

To meet this priority, a TEA with limited prior experience is, for any STEP competition, a TEA that does not meet the definition of an ``established TEA.''

Requirements: Applicants must meet the following requirements from the NFP:

Schools and ESEA Formula Grant Programs Included in Project:

(a) Schools. (1) Projects must include at least two eligible schools, at least one of which must be a public school.

(2) All schools included in the project must receive services or funds for the specific ESEA formula grant program(s) selected by the applicant.

(3) For projects that include one or more tribally controlled schools--

(i) The applicant TEA must include in its application evidence that it submitted a copy of the application to BIE; and

(ii) If the proposed project includes SEA-type functions with regard to the tribally controlled school, the TEA may be required by BIE to enter into an agreement with BIE, to be submitted to the Department at the same time as the final agreement.

(b) ESEA Formula Grant Programs. Projects must include at least one ESEA formula grant program that is State-administered.

Preliminary Agreement: An applicant must submit with its application for funding a signed preliminary agreement among the TEA, SEA, and LEA. Letters of support from an SEA or LEA will not meet this requirement and will not be accepted as a substitute.

The preliminary agreement must include:

(a) An explanation of how the parties will work collaboratively to:

(1) Administer selected ESEA formula grant programs in eligible schools; and

(2) Cooperate on administering other educational programs or services as agreed to by the parties.

(b) The primary ESEA formula grant program(s) for which the TEA will assume SEA-type or LEA-type administrative functions;

(c) A description of the primary SEA-type or LEA-type administrative functions that the TEA will assume;

(d) The training and other activities that the SEA or LEA, as appropriate, will provide for the TEA to gain the knowledge and skills needed to administer ESEA formula programs;

(e) The assistance that the TEA will provide to the SEA or LEA, as appropriate, to facilitate the project, such as cultural competence training;

(f) A statement concerning student data that--

(1) Acknowledges that access by the TEA to data on students who are tribal members is important to building the capacity of the TEA, and,

depending on the project design, may be one of the factors the Secretary considers in determining whether a grantee has made substantial progress in achieving the goals and objectives of the project for the purpose of making continuation awards; and

(2) Commits the parties to making their best efforts to:

(i) Participate in training and technical assistance, provided by or through the Department, on the requirements of section 444 of the General Education Provisions Act (commonly referred to as the Family Educational Rights and Privacy Act, or FERPA) and on the possible ways in which the TEA could be provided access to tribal student data consistent with FERPA; and

(ii) Reach agreement on and include as part of the Final Agreement to be submitted during year 1 of the grant, a provision on data sharing that is consistent with FERPA, if data sharing is required by the project design;

(g) The names of at least one LEA and two or more eligible schools, at least one of which must be a public school, that are expected to participate in the project;

(h) An explanation of how the STEP funds will be used to build on existing activities or add new activities rather than replace tribal or other funds; and

(i) Signatures of the authorized representatives of the TEA, SEA, participating LEA(s), and any BIE-funded tribally controlled school that is included in the project.

Final Agreement: Each grantee must submit to the Department a final agreement by March 31, 2016. The final agreement must contain:

(a) All of the elements from the preliminary agreement, in final form;

(b) A timetable for accomplishing each of the objectives and activities that the parties will undertake;

(c) Goals of the project and measureable objectives towards reaching the goals; and

(d) The actions that the parties will take to sustain the relationships and activities established in the agreement after the project ends.

ISDEAA Hiring Preference:

(a) Awards that are primarily for the benefit of Indians are subject to the provisions of section 7(b) of the Indian Self-Determination and Education Assistance Act (Pub. L. 93-638). That section requires that, to the greatest extent feasible, a grantee--

(1) Give to Indians preferences and opportunities for training and employment in connection with the administration of the grant; and

(2) Give to Indian organizations and to Indian-owned economic enterprises, as defined in section 3 of the Indian Financing Act of 1974 (25 U.S.C. 1452(e)), preference in the award of contracts in connection with the administration of the grant.

(b) For purposes of this section, an Indian is a member of any federally recognized Indian tribe.

Definitions: The following definitions are from the NFP and apply to this competition:

Cultural competency means the use of culturally responsive education that takes into account a student's own cultural experiences, creates connections between home and school experiences, and uses the cultural

[[Page 20477]]

knowledge, prior experiences, and learning styles of diverse students

to make learning more appropriate and effective.

Eligible Indian tribe means a federally recognized or a State-recognized tribe.

Eligible school means a school that is included in the applicant's preliminary and final agreements, and that is:

(a) A public school, including a public charter school, or

(b) A BIE-funded tribally controlled school.

Established TEA means, for purposes of this competition, a TEA that:

(a) Previously received a STEP grant, or

(b) Has an existing prior relationship with an SEA or LEA as evidenced by a prior written agreement between the TEA and SEA or LEA, and meets two or more of the following criteria:

(i) Has an existing tribal education code;

(ii) Has administered at least one education program (for example, a tribally operated preschool or afterschool program) within the past five years; or

(iii) Has administered at least one Federal, State, local, or private grant within the past five years.

ESEA formula grant program means one of the following programs authorized under the ESEA, for which SEAs or LEAs receive formula funding:

(a) Improving Academic Achievement of the Disadvantaged (title I, part A);

(b) School Improvement Grants (section 1003(g));

(c) Migrant Education (title I, part C);

(d) Neglected and Delinquent State Grants (title I, part D);

(e) Improving Teacher Quality State Grants (title II, part A);

(f) English Learner Education State Grants (title III, part A);

(g) 21st Century Community Learning Centers (title IV, part B); and

(h) Indian Education Formula Grants (title VII, part A).

Note: State-administered ESEA formula grant programs are the programs identified in paragraphs (a)-(g) of the definition of ESEA formula grant program. If an applicant chooses the Indian Education Formula Grants program (title VII, part A), which makes direct grants to LEAs, it must also choose at least one State-administered program listed in (a)-(g), as required by paragraph (b) of Schools and ESEA Formula Grant Programs Included in Project, in the Requirements section of this notice. Applicants can still choose SEA- or LEA-type functions for the State-administered ESEA formula grant.

LEA-type function means the type of activity that LEAs typically conduct, such as direct provision of educational services to students, grant implementation, school district curriculum development, staff professional development pursuant to State guidelines, and data submissions.

SEA-type function means the type of activity that SEAs typically conduct, such as overall education policy development, supervision and monitoring of school districts, provision of technical assistance to districts, statewide curriculum development, collecting and analyzing performance data, and evaluating programs.

Tribal educational agency (TEA) means the agency, department, or instrumentality of an eligible Indian tribe that is primarily responsible for supporting tribal students' elementary and secondary education, which may include early learning.

Program Authority: 20 U.S.C. 7451(a)(4).

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 79, 81, 82, 84, 86, 97, 98, and 99. (b) The OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Non-procurement) in 2 CFR part 180, as adopted and amended as regulations of the Department in 2 CFR part 3485. (c) The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR part 200, as adopted and amended in 2 CFR part 3474. (d) The NFP published in the Federal Register on March 4, 2015 (80 FR 11550).

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: $1,950,000.
Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2016 from the list of unfunded applicants from this competition.
Estimated Range of Awards: Awards for a single TEA range from $150,000 to $330,000; awards for a consortium of TEAs range from $300,000 to $500,000.
Estimated Average Size of Awards: $390,000.
Maximum Award: We will reject any application from a single TEA that proposes a budget exceeding $330,000 for a single budget period of 12 months, or from a consortium of TEAs that proposes a budget exceeding $500,000 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: 4-6.

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

Project Period: Up to 48 months.

III. Eligibility Information

1. Eligible Applicants: (a) A TEA that is from an eligible Indian tribe and authorized by its tribe to administer this program; or (b) a consortium of such TEAs.
To be eligible for an award, an applicant must include, as a part of its application, certification by the eligible Indian tribe that the applicant is the agency, department, or instrumentality of the eligible Indian tribe that is primarily responsible for supporting the elementary and secondary education of the tribe's students.
2. Cost Sharing or Matching: This program does not require cost sharing or matching.
3. Other: (a) To be eligible for an award, a TEA must submit a preliminary agreement, signed by an SEA and at least one LEA, with its application.
(b) Projects funded under this competition must budget funds for a representative from the TEA, a representative from the SEA, and a representative from at least one LEA to attend a two-day Project Director's meeting in the Washington, DC area during each year of the

project period.

IV. Application and Submission Information

1. Address to Request Application Package: Shahla Ortega, U.S. Department of Education, Office of Indian Education, 400 Maryland Avenue SW., Room 3W223, Washington, DC 20202. Telephone: (202) 453-5602 or by email: shahla.ortega@ed.gov.

To obtain a copy of the application package via the Internet, use the following address: http://www2.ed.gov/programs/step/index.html.

If you use a telecommunications device for the deaf (TDD) or a text telephone (TTY), call the Federal Relay Service (FRS), toll free, at 1-800-877-8339.

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 program contact person listed in this section.

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.

[[Page 20478]]

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 Assistant Secretary strongly encourages each potential applicant to notify us of their intent to submit an application for funding no later than May 21, 2015. To do so, please email shahla.ortega@ed.gov with the subject line ``Intent to Apply,'' and include the following information:

1. Applicant's name, mailing address, and phone number;
2. Contact person's name and email address;
3. Name of SEA; 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; applicants that do submit a notice of intent to apply are not bound to apply or bound by the information provided.

Pre-Application Webinar: The Department intends to hold a pre-application webinar designed to provide technical assistance to interested applicants. Information about webinar times and instructions for registering are on the Department Web site at http://www2.ed.gov/programs/STEP/index.html.

Page Limit: The project narrative (Part IV) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the project narrative to 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. An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

We will reject your application if you exceed the page limit.

3. Submission Dates and Times:

Applications Available: April 16, 2015.

Date of Pre-Application Webinar: April 30, 2015.

Deadline for Notice of Intent to Apply: May 21, 2015.

Deadline for Transmittal of Applications: June 15, 2015.

Deadline for Submission of Final Agreement: March 31, 2016.

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 if you qualify for an exception to the electronic submission requirement, 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.

Deadline for Intergovernmental Review: August 14, 2015.

4. Intergovernmental Review: This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this competition.

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 System for Award Management: 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 System for Award Management (SAM) (formerly the Central Contractor Registry (CCR)), the Government's primary registrant database;

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

d. Maintain an active 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 to two business days.

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 two to five weeks for your TIN to become active.

The SAM registration process can take approximately seven business days, but may take upwards of several weeks, depending on the completeness and accuracy of the data entered into the SAM database by an entity. Thus, if you think you might want to apply for Federal financial assistance under a program administered by the Department, please allow sufficient time to obtain and register your DUNS number and TIN. We strongly recommend that you register early.

Note: Once your SAM registration is active, you will need to

allow 24 to 48 hours for the information to be available in Grants.gov and before you can submit an application through Grants.gov.

If you are currently registered with SAM, 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 registration annually. This may take three or more business days.

Information about SAM is available at http://www.sam.gov/. To further assist you with obtaining and registering your DUNS number and TIN in SAM or updating your existing SAM account, we have prepared a SAM.gov Tip Sheet, which you can find at: http://www2.ed.gov/fund/grant/apply/sam-faqs.html.

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/web/grants/register.html.

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.

[[Page 20479]]

Applications for grants under STEP, CFDA number 84.415A, must be submitted electronically using the Governmentwide 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 email an electronic copy of a grant application to us.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

You may access the electronic grant application for STEP at http://www.grants.gov/. You must search for the downloadable application package for this program by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.415, not 84.415A).

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 program 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 http://www.g5.gov/.

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.

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 email. 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

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 prevents you from using the Internet to submit your application.

[[Page 20480]]

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

Address and mail or fax your statement to: Shahla Ortega, U.S. Department of Education, 400 Maryland Avenue SW., Room 3W223, Washington, DC 20202. FAX: (202) 401-0606.

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 84.415A), 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.

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 84.415A), 550 12th Street SW., Room 7039, Potomac Center Plaza, Washington, DC 20202-4260.

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

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

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

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

V. Application Review Information

1. Selection Criteria: The selection criteria for this competition are from the NFP and from 34 CFR 75.210. We will award up to 100 points to an application under the selection criteria; the total possible points for each selection criterion are noted in parentheses.

a. Need for Project (Maximum 5 points). In determining the need for the proposed project, the Secretary considers the extent to which the goals and objectives in the preliminary agreement, including the TEA capacity-building activities, address identified educational needs of the Indian students to be served.

b. Quality of the Project Design (Maximum 35 points). In determining the quality of project design, the Secretary considers the following factors:

(i) The extent to which the proposed project would recognize and support tribal sovereignty. (5 points)

(ii) The extent to which the preliminary agreement defines goals, objectives, and outcomes of the proposed project that are likely to be

achieved by the end of the project period. (10 points)

(iii) The extent to which the proposed project would build relationships and better communication among the TEA, SEA, and LEA, as well as families and communities, to the benefit of Indian students in the selected schools, including by enhancing the cultural competency of SEA and LEA staff. (10 points)

(iv) The extent to which the proposed project would enhance the capacity of the TEA to administer ESEA formula grants during the grant period and beyond. (10 points)

c. Adequacy of Resources (Maximum 5 points). In determining the adequacy of resources, the Secretary considers the extent to which the TEA has established, prior to developing the preliminary agreement, a relationship with either the SEA or an LEA that will enhance the likelihood of the project's success.

d. Quality of the Management Plan (Maximum 25 points). In determining the quality of the management plan for the proposed project, the Secretary considers:

(i) 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. (10 points)

(ii) The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project. (5 points)

(iii) How the applicant will ensure that a diversity of perspectives are brought to bear in the operation of the proposed project, including those of parents, teachers, the business community, a variety of disciplinary and professional fields, recipients or beneficiaries of the services, or others, as appropriate. (10 points)

Note: In addressing the third subpart of the Quality of the Management Plan selection criteria, applicants may want to consider describing the involvement of the SEA and LEA in the project, in addition to the input of other affected groups, as appropriate.

e. Quality of Project Personnel (Maximum 15 points). In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. In addition, the Secretary considers:

(i) The extent to which the proposed project director has experience in education and in administering Federal grants. (5 points)

(ii) The qualifications, including relevant training and experience, of key project personnel. (5 points)

(iii) The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in

[[Page 20481]]

practice among the recipients of those services. (5 points)

Note: Please note that section 7(b) of the Indian Self-Determination and Education Assistance Act requires that to the greatest extent feasible, a grantee must give to Indians preference and opportunities in connection with the administration of the grant, and give Indian organizations and Indian-owned economic

enterprises, as defined in section 3 of the Indian Financing Act of 1974 (25 U.S.C. 1452(e)), preference in the award of contracts in connection with the administration of the grant.

In addressing the third subpart of the Quality of Project Personnel selection criterion, applicants may want to consider including the context of training or professional development among all three entities--TEA, SEA, and LEA. For example, the SEA or LEA could provide training to TEA staff with regard to Federal grant administration, and the TEA could provide training to SEA and LEA staff with regard to cultural competence.

f. Quality of Project Evaluation (Maximum 15 points). In determining the quality of the evaluation, the Secretary considers the following factors:

(i) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project. (5 points)

(ii) The extent to which the methods of evaluation provide for examining the effectiveness of project implementation strategies. (5 points)

(iii) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes. (5 points)

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 2 CFR 3474.10, the Secretary may impose special conditions and, in appropriate circumstances, high-risk 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 2 CFR part 200, subpart D; 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); or we may send you an email containing a link to access an electronic version of your 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).

(b) 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 Government Performance and Results Act of 1993 (GPRA) performance measures:

(1) Number of TEA grantees that report increased collaboration among TEAs, SEAs, and LEAs.

(2) The number of SEA-type and LEA-type administrative functions for which the TEA grantees have assumed responsibility.

These measures constitute the Department's indicators of success for this program. Consequently, we advise an applicant for a grant under this program to give careful consideration to these measures in developing the proposed project and identifying the method of evaluation. Each grantee will be required to provide, in its annual performance and final reports, data about its progress in meeting these measures.

5. Continuation Awards: In making a continuation award under 34 CFR 75.253, the Secretary considers, among other things: whether a grantee has made substantial progress in achieving the goals and objectives of the project; whether the grantee has expended funds in a manner that is consistent with its approved application and budget; and, if the Secretary has established performance measurement requirements, the performance targets in the grantee's approved application. 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: Shahla Ortega, U.S. Department of Education, 400 Maryland Avenue SW., Room 3W223, Washington, DC 20202-6450. Telephone: (202) 453-5602 or by email: shahla.ortega@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

[[Page 20482]]

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

Dated: April 10, 2015.

Deborah S. Delisle,

Assistant Secretary for Elementary and Secondary Education.

[FR Doc. 2015-08681 Filed 4-15-15; 8:45 am]

BILLING CODE 4000-01-P