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Office of Elementary and Secondary Education  
Academic Improvement and Teacher Quality  
Washington, D.C. 20202-6200**

**Fiscal Year 2014**

**Application for New Grants Under  
the Innovative Approaches to Literacy Program**

**CFDA 84.215G**



**Dated Material - Open Immediately**

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## **Paperwork Burden Statement**

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**If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Melvin Graham, Innovative Approaches to Literacy program, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3E334, Washington D.C. 20202-6200. [Note: Please do not return the completed application to this address.]

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**United States Department of Education**  
OFFICE OF ELEMENTARY AND SECONDARY EDUCATION  
ACADEMIC IMPROVEMENT AND TEACHER QUALITY

Dear Colleague:

Thank you for your interest in the Innovative Approaches to Literacy (IAL) program, administered by the Office of Elementary and Secondary Education of the U.S. Department of Education (Department). The IAL program supports high-quality programs designed to develop and improve literacy skills for children and students from birth through 12th grade in high-need local educational agencies (LEAs) and schools. The IAL program is carried out under the legislative authority of the Fund for Improvement of Education (FIE), Title V, Part D, Subpart 1, Sections 5411 through 5413 of the Elementary and Secondary Education Act of 1965 (ESEA), as amended (20 U.S.C. 7243–7243b). FIE supports nationally significant programs to improve the quality of elementary and secondary education at the State and local levels and to help all children meet challenging State academic content and student academic achievement standards.

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

The fiscal year (FY) 2014 competition contains one absolute and four competitive preference priorities. The application must address the absolute priority for this competition, which is the inclusion of a high-quality plan for innovative approaches to literacy that include book distribution, childhood literacy activities, or both, and that is supported by evidence of strong theory as defined in the notice inviting applications. Applicants must meet this priority for consideration. Details concerning the absolute priority are found within the application package.

The four competitive preference priorities for this program are: (1) turning around persistently lowest-achieving schools; (2) technology; (3) improving early learning outcomes; and (4) serving rural local educational agencies (LEAs). The Department will award an additional 5 points to an application that meets either Priority 1 or 4, an additional 5 points to an applicant that meets Priority 2, and an additional 5 points to an applicant that meets Priority 3. The maximum number of competitive preference points an application can receive for this competition is 15.

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

Applications submitted to Grants.gov for the Department of Education will now be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader

(Grants.gov recommends Adobe Reader 10.1.14). 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 2014 funds, the Department expects to award \$24,341,646 for new grants under this competition. We will award discretionary grants on a competitive basis for a project period of up to 24 months. Grants are expected to be awarded in September.

Please visit our program website at <http://www2.ed.gov/programs/innovapproaches-literacy/index.html> for further information. If you have any questions about the program after reviewing the application package, please contact Melvin Graham, (202) 260-8268, [Melvin.Graham@ed.gov](mailto:Melvin.Graham@ed.gov) or Peter Eldridge, (202) 260-2514, [Peter.Eldridge@ed.gov](mailto:Peter.Eldridge@ed.gov);

Sincerely,

Sylvia E. Lyles, Ph.D.  
Director

## **Program Background Information**

### ***Program Overview***

The IAL program supports high-quality programs designed to develop and improve literacy skills for children and students from birth through 12th grade in high-need local educational agencies (high-need LEAs, as defined in the Notice Inviting Applications (NIA)) and schools. The Department intends to support innovative programs that promote early literacy for young children, motivate older children to read, and increase student achievement by using school libraries as partners to improve literacy, distributing free books to children and their families, and offering high-quality literacy activities.

Many schools and districts across the Nation do not have school libraries that deliver high-quality literacy programming to children and their families. Additionally, many schools do not have qualified library media specialists and library facilities. Where facilities do exist, they often lack adequate books and other materials and resources. In many communities, high-need children have limited access to appropriate age- and grade-level reading material in their homes.

The IAL program supports the implementation of high-quality plans for childhood literacy activities and book distribution efforts that are supported by evidence of strong theory (as defined in the NIA).

Proposed projects under the IAL program, based on those plans, may include, among other things, activities that—

- a. Increase access to a wide range of literacy resources (either print or electronic) that prepare young children to read, and provide learning opportunities to all participating students;
- b. Provide high-quality childhood literacy activities with meaningful opportunities for parental engagement, including encouraging parents to read books often with their children in their early years of life and school, and teaching parents how to use literacy resources effectively;
- c. Strengthen literacy development across academic content areas by providing a wide range of literacy resources spanning a range of both complexity and content (including both literature and informational text) to effectively support reading and writing;
- d. Offer appropriate educational interventions for all readers with support from school libraries or national not-for-profit organizations;
- e. Foster collaboration and joint professional development opportunities for teachers, school leaders, and school library personnel with a focus on using literacy resources effectively to support reading and writing and academic achievement. For example, an approach to professional development within the IAL program might be collaboration between library and school personnel to plan subject-specific pedagogy that is differentiated based on

- each student's developmental level and is supported by universal design for learning (as defined in the NIA), technology, and other educational strategies; and
- f. Provide resources to support literacy-rich academic and enrichment activities and services aligned with State college- and career-ready standards (as defined in the NIA) and the comprehensive statewide literacy plan (as defined in the NIA).

In accordance with the Senate report that accompanied the Consolidated Appropriations Act, 2014 (S. Rep. no. 113-71, at 173 (2013)), and subject to the submission of sufficient applications that meet the requirements of this notice, the Department will award no less than 50 percent of FY 2014 funds to applications from LEAs (on behalf of school libraries) for high-quality school library projects that increase access to a wide range of literacy resources (either print or electronic) and provide learning opportunities to all students.

The IAL program is carried out under the legislative authority of the Fund for Improvement of Education (FIE), Title V, Part D, Subpart 1, Sections 5411 through 5413 of the Elementary and Secondary Education Act of 1965, as amended (ESEA) (20 U.S.C. 7243–7243b). FIE supports nationally significant programs to improve the quality of elementary and secondary education at the State and local levels and to help all children meet challenging State academic content and student academic achievement standards.

## ***Frequently Asked Questions***

The U.S. Department of Education (Department) developed the Frequently Asked Questions (FAQs) for the Innovative Approaches to Literacy (IAL) program to assist potential applicants in developing high-quality proposals. The FAQs are intended to provide applicants with guidance on the requirements governing the fiscal year (FY) 2014 IAL program competition. The FAQs do not create any rights for, or confer any rights on, any person or institutions.

The Department will provide additional or updated program guidance, as necessary, on its IAL Web site, <http://www2.ed.gov/programs/innovapproaches-literacy/index.html>. If you have further questions that are not answered here, please e-mail [David.Miller@ed.gov](mailto:David.Miller@ed.gov), [Melvin.Graham@ed.gov](mailto:Melvin.Graham@ed.gov), or [Peter.Eldridge@ed.gov](mailto:Peter.Eldridge@ed.gov).

### **1. Program Overview: A-1. What is the authorizing statute for the IAL program?**

The IAL program is carried out under the legislative authority of the Fund for Improvement of Education (FIE), Title V, part D, subpart 1, sections 5411 through 5413 of the Elementary and Secondary Education Act of 1965, as amended (ESEA) (20 U.S.C. 7243–7243b).

FIE supports nationally significant programs to improve the quality of elementary and secondary education at the State and local levels and to help all children meet challenging State academic content and student academic achievement standards.

## 2. Program Overview: A-2. What is the purpose of the IAL program?

The IAL program supports high-quality programs designed to develop and improve literacy skills for children and students from birth through 12th grade in high-need local educational agencies (high-need LEAs, as defined in the Notice Inviting Applications (NIA)) and schools. The Department intends to support innovative programs that promote early literacy for young children, motivate older children to read, and increase student achievement by using school libraries as partners to improve literacy, distributing free books to children and their families, and offering high-quality literacy activities.

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- b. Provide high-quality childhood literacy activities with meaningful opportunities for parental engagement, including encouraging parents to read books often with their children in their early years of life and school, and teaching parents how to use literacy resources effectively;
- c. Strengthen literacy development across academic content areas by providing a wide range of literacy resources spanning a range of both complexity and content (including both literature and informational text) to effectively support reading and writing;
- d. Offer appropriate educational interventions for all readers with support from school libraries or national not-for-profit organizations;
- e. Foster collaboration and joint professional development opportunities for teachers, school leaders, and school library personnel with a focus on using literacy resources effectively to support reading and writing and academic achievement. For example, an approach to professional development within the IAL program might be collaboration between library and school personnel to plan subject-specific pedagogy that is differentiated based on each student's developmental level and is supported by universal design for learning (as defined in the NIA), technology, and other educational strategies; and
- f. Provide resources to support literacy-rich academic and enrichment activities and services aligned with State college- and career-ready standards (as defined in the NIA) and the comprehensive statewide literacy plan (as defined in the NIA).

In accordance with the Senate report that accompanied the Consolidated Appropriations Act, 2014 (S. Rep. no. 113-71, at 173 (2013)), and subject to the submission of sufficient applications that meet the requirements of this notice, the Department will award no less than 50 percent of FY 2014 funds to applications from LEAs (on behalf of school libraries) for high-quality school library projects that increase access to a wide range of literacy resources (either print or electronic) and provide learning opportunities to all students.

### **3. Eligibility Requirements: B-1 Who is eligible to apply for an IAL grant?**

To be considered for an award under this competition, an applicant must coordinate with school libraries in developing project proposals.

In addition, to be considered for an award under this competition, an applicant must be one of the following:

1. a high-need LEA (as defined in the NIA);
2. an National not-for-profit (NNP) (as defined in the NIA) that serves children and students within the attendance boundaries of one or more high-need LEAs;
3. a consortium of NNPs that serves children and students within the attendance boundaries of one or more high-need LEAs;
4. a consortium of high-need LEAs; or
5. a consortium of one or more high-need LEAs and one or more NNPs that serve children and students within the attendance boundaries of one or more high-need LEAs.

A national not-for-profit organization that applies for an IAL grant, either as a single entity applicant or as part of a consortium, is required to submit documentation of its nonprofit 501(c)(3) status with the grant application.

To determine the eligibility of an LEA, we use the U.S. Census Bureau's Small Area Income and Poverty Estimates (SAIPE) for school districts for the most recent income year. A list of LEAs by State with family poverty rates (based on the SAIPE data) is posted on the Department's Web site at the address below.

Some LEAs such as some charter school LEAs, State-administered schools, and regional education service agencies are not included in the SAIPE data for school districts. In such cases, LEA eligibility is based on a determination by the State educational agency (SEA), consistent with the manner in which the SEA determines the LEA's eligibility for the Title I allocations, that 25 percent of the students aged 5-17 in the LEA are from families with incomes below the poverty line. Applicants must submit documentation from the State certifying official verifying that the SEA has determined this eligibility requirement is met for each LEA not listed in the SAIPE data. The IAL eligibility form is available in the IAL instructions package and on our Web site at <http://www2.ed.gov/programs/ial/eligibility.html>.

#### **4. Eligibility Requirements: B-2. Can an individual school receive an IAL grant?**

No. Individual schools are not eligible to apply for a grant. However, applicants are required to coordinate with school libraries in developing project proposals. See question B-1 for a definition of eligible entities.

#### **5. Eligibility Requirements: B-3. If an eligible consortium applies for an IAL grant, who is the applicant and what are the responsibilities of members of the consortium?**

The members of an eligible consortium are one or more NNPs that serve children and students within the attendance boundaries of one or more high-need LEAs; one or more high-need LEAs; or a combination of these NNPs and LEAs. The members of each consortium shall either 1) designate one member of the group to apply for the grant; or 2) establish a separate, eligible legal entity to apply for the grant. If the consortium decides to designate one member of the group to apply for the grant, the applicant for the group is the grantee and is legally responsible for: (a) the use of all grant funds; (b) ensuring that the project is carried out by the group in accordance with Federal requirements; and (c) ensuring that indirect cost funds are determined as required under Education Department General Administrative Regulations (EDGAR) at 34 CFR § 75.564(e). Members of the consortium shall also enter into an agreement that details the activities each member plans to perform and that binds each member to every statement and assurance made by the applicant in the application. The applicant shall submit the agreement with its application (See EDGAR at 34 CFR §§ 75.127-129 found at <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>).

#### **6. Eligibility Requirements: B-4. Are private schools eligible to apply for an IAL grant?**

No, private schools are not eligible to apply for this grant nor are they eligible to receive services through an eligible LEA for this program.

#### **7. Eligibility Requirements: B-5. How is eligibility for the IAL program determined for LEAs that are not included in SAIPE for school districts?**

An LEA that is not included on the SAIPE list, such as a charter school LEA, is considered a high-need LEA if the SEA determines, consistent with the manner in which the SEA determines that LEA's eligibility for the Title I allocations, that 25 percent of the students aged 5-17 in the LEA are from families with incomes below the poverty line.

States may use one of two methods of estimating poverty data that involve equating another source of poverty data, such as free and reduced price lunch (FRPL) student eligibility data, to census poverty data and thereby deriving census poverty data for these "special" LEAs. These methods are consistent with the Department's guidance for calculating Title I and Class-Size Reduction program allocations for special LEAs. The first method, using FRPL data as an example, is as follows:

1. Determine the number of children eligible for the FRPL program in each special LEA.

2. Divide the total census poverty number for the State by the total FRPL number for the State (the result is a "State equating factor").
3. For each special LEA, multiply the number of FRPL children in the special LEA by the State equating factor. The result is the census poverty estimate for that special LEA.
4. The State now has census poverty figures for all LEAs.

We believe this is a straightforward approach that involves minimal burden for States. However, some States may wish to use a second method, which tracks children who attend special LEAs back to the sending LEA in order to determine the appropriate census poverty figure for the special LEA. This second method uses the proportion of FRPL children from a regular district or districts who are attending a special LEA or LEAs and applies that proportion to the census poverty data figure for the regular LEAs, to determine: 1) an estimated census poverty data figure for the special LEAs; and 2) an adjusted census poverty data figure(s) for the regular LEAs. In order to use this method, the State must be able to identify the resident LEA of each student attending a special LEA.

Applicants are required to submit documentation from the State certifying official verifying that the SEA has determined this eligibility requirement is met for each LEA not included on the SAIFE list. The IAL eligibility form is available in the IAL instructions package and on our Web site at [www.ed.gov/programs/ial/eligibility.html](http://www.ed.gov/programs/ial/eligibility.html).

#### **8. IAL PROGRAM DEFINITIONS: C-1. What is the definition of an eligible national not-for-profit organization?**

The NIA defines National not-for-profit (NNP) organization as an agency, organization, or institution owned and operated by one or more corporations or associations whose net earnings do not benefit, and cannot lawfully benefit, any private shareholder or entity. In addition, it means, for the purposes of this program, an organization of national scope that is supported by staff or affiliates at the State and local levels, who may include volunteers, and that has a demonstrated history of effectively developing and implementing literacy activities.

To demonstrate that an organization is a national not-for-profit entity, factors include, but are not necessarily limited to:

1. whether the organization's charter, articles of incorporation, or other documents establishing the organization describe its mission as being national in scope;
2. proof that the organization has staff or affiliates at the State and local levels, who may include volunteers, as evidenced by the geographic scope of its activities;
3. legal evidence of a current 501(c) (3) (not-for-profit) designation by the Internal Revenue Service;
4. a certified copy of the applicant's certificate of incorporation or similar document if it clearly establishes the not-for-profit status of the applicant; or
5. a statement from a State taxing body or the State Attorney General certifying that:
  - (i) The organization is a not-for-profit organization operating within the State, and
  - (ii) No part of its net earnings may lawfully benefit any private shareholder or individual.

Note: A local affiliate of an NNP does not meet the definition of NPP. Only a national agency, organization, or institution is eligible to apply as an NPP.

### **9. IAL PROGRAM DEFINITIONS: C-2. What is the definition of "persistently lowest-achieving schools?"**

The NIA defines persistently lowest-achieving schools as, as determined by the State:

- any Title I school in improvement, corrective action, or restructuring that (a) is among the lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring or the lowest-achieving five Title I schools in improvement, corrective action, or restructuring in the State, whichever number of schools is greater; or (b) is a high school that has had a graduation rate as defined in 34 CFR § 200.19(b) that is less than 60 percent over a number of years; and
- any secondary school that is eligible for, but does not receive, Title I funds that: (a) is among the lowest-achieving five percent of secondary schools or the lowest-achieving five secondary schools in the State that are eligible for, but do not receive, Title I funds, whichever number of schools is greater; or (b) is a high school that has had a graduation rate as defined in 34 CFR § 200.19(b) that is less than 60 percent over a number of years.

To identify the persistently lowest achieving schools, a State must take into account both the academic achievement of the “all students” group in a school in terms of proficiency on the State’s assessments under section 1111(b)(3) of the ESEA in reading/language arts and mathematics combined and the school’s lack of progress on those assessments over a number of years in the “all students” group. (76 FR 27640).

Note: For the purposes of this program, the Department considers a school to be a “persistently lowest-achieving school” if it: (1) meets the definition of a Tier I or Tier II school under the School Improvement Grants (SIG) program (see 75 FR 66363), or (2) for SEAs that have received approval of their ESEA Flexibility requests, is a priority school identified in the SEA’s most recent State SIG application for a new awards competition. The State SIG applications and a list of these schools can be found on the Department's Web site at <http://www2.ed.gov/programs/sif/index.html>.

### **10. IAL PROGRAMS AND LITERACY EDUCATION: D-1. Must IAL projects specifically address English and language arts as opposed to other academic content-areas?**

We recognize the need to strengthen literacy development across academic content areas to effectively support reading and writing. Applicants may therefore propose projects that include many strategies to improve and enhance literacy development from birth to 12th grade across academic content areas. The NIA provides an overview of what types of projects the IAL program will support to strengthen literacy development in children.

### **11. IAL PROGRAMS AND LITERACY EDUCATION: D-2. What is universal design for learning?**

The NIA defines universal design for learning (UDL) as a scientifically valid framework for guiding educational practice that (i) provides flexibility in the ways information is presented, in the ways students respond or demonstrate knowledge and skills, and in the ways students are engaged; and (ii) reduces barriers in instruction, provides appropriate accommodations, supports, and challenges, and maintains high achievement expectations for all students, including students with disabilities and students who are English learners.

**12. IAL PROGRAMS AND LITERACY EDUCATION: D-3. What are some elements of a high-quality plan for use of technology that can be used by school libraries?**

A high-quality plan for use of technology might include a description of an applicant's specific goals for using technology to improve student achievement or teacher effectiveness. Such a plan would have a strong rationale and clear goals for using technology that are aligned with the IAL program's purpose.

**13. FISCAL RESPONSIBILITIES FOR IAL PROJECTS: E-1. What are allowable costs under the IAL program?**

Costs must be allowable, allocable, reasonable, and necessary according to the Federal cost principles found in Office of Management and Budget (OMB) Circular A-87, OMB Circular A-122, the statute, and governing regulations. A cost is allocable to a grant award if it is consistently treated like other costs incurred for the same purpose in like circumstances and is considered to be reasonable, in its nature and amount, by a prudent person under the circumstances prevailing at the time the decision is made to incur the cost. Generally, IAL grant funds can be used to support high-quality projects designed to develop and improve literacy skills for children and students from birth through 12th grade. This includes innovative programs that promote early literacy for young children and motivate older children to read and programs that increase student achievement by using school libraries, distributing free books to children and their families, and offering high-quality literacy activities. (See Office of Management and Budget (OMB) Circular A-87 (Cost Principles for State, Local, and Indian Tribal Governments) and Circular A-122 (Cost Principles for Non-Profit Organizations)).

Note: On December 26, 2013, OMB published new guidance for Federal award programs, OMB Uniform Guidance: Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Guidance). The Guidance supersedes and streamlines requirements from OMB Circulars A-21, A-87, A-110, A-122, A-89, A-102 and A-133 and the guidance in Circular A-50 on Single Audit Act follow-up. It is a key component of a larger Federal effort to more effectively focus Federal grant resources on improving performance and outcomes while ensuring the financial integrity of taxpayer dollars.

Please note that the Guidance will not apply to grants made by the Department until adopted by the Department through a Federal Register notice. That notice, which we anticipate will be published in 2014, will indicate the date on which the Guidance applies to Department grant funds. Until that time, Department grantees must comply with the requirements in the current circulars listed above. See <http://www.ed.gov/edblogs/ovae/2014/03/07/the-omb-super-circular-is-now-the-omni-circular/>

**14. FISCAL RESPONSIBILITIES FOR IAL PROJECTS: E-2. Must an applicant selected for an IAL grant have an approved indirect cost rate to charge indirect costs to programs?**

Yes. ED requires grantees charging indirect costs to programs to obtain a Federally-approved indirect cost rate. An applicant that does not have an approved indirect cost rate at the time it is selected for an IAL grant award may request approval from the Department for a temporary indirect cost rate of 10% of the expended amount of the entity's direct salaries and wages. However, a grantee must submit an indirect cost rate proposal to its cognizant agency within 90 days of receiving its grant award notice. Those applicants who plan to charge indirect costs should include a copy of the indirect cost rate agreement as an attachment when submitting their application.

Note: IAL is not subject to a "supplement-not-supplant" requirement. Unless otherwise noted in a grantee's indirect cost rate agreement, applicants are generally permitted to use the normal "indirect cost rate" rather than the "restricted indirect cost rate" when applying for IAL funds. Grantees who use a restricted rate will recover fewer indirect costs than those who use the unrestricted rate.

**15. FISCAL RESPONSIBILITIES FOR IAL PROJECTS: E-3. May IAL funds be used to pay stipends, bonuses, scholarships, and direct teacher support such as salaries for specialists or new teachers?**

These expenses may be allowable in certain circumstances if necessary and reasonable to accomplish the program's and project's objectives, consistent with applicable OMB Circulars and EDGAR.

**16. FISCAL RESPONSIBILITIES FOR IAL PROJECTS: E-4. May IAL funds be used for paying rent?**

Applicants should focus their proposed activities on high-quality literacy activities. To the extent that the leasing of some additional space is necessary and reasonable for meeting the purposes and objectives of the program, rent may be an allowable cost. (See the applicable OMB Cost Circulars at [http://www.whitehouse.gov/omb/grants\\_circulars](http://www.whitehouse.gov/omb/grants_circulars).)

**17. FISCAL RESPONSIBILITIES FOR IAL PROJECTS: E-5. May IAL funds be used for construction?**

No. A grantee may not use its grant for acquisition of real property or for construction unless specifically permitted by the authorizing statute or implementing regulations for the program. (See EDGAR at 34 CFR § 75.533) (Applicants can access EDGAR provisions on the Department's website at <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>.)

**18. FISCAL RESPONSIBILITIES FOR IAL PROJECTS: E-6. Is there a cost share requirement for the IAL program?**

No. The IAL program does not have a cost share requirement; however, applicants are encouraged to leverage grant resources by aligning other Federal, State, local, and private funds to support the project or by engaging in meaningful partnerships to increase the potential effectiveness and sustainability of the project.

**19. FISCAL RESPONSIBILITIES FOR IAL PROJECTS: E-7. May applicants include the cost of food in their budgets?**

No. Costs for entertainment (including food) are not allowable costs. (See OMB Circular A-87 (Cost Principles for State, Local, and Indian Tribal Governments) and Circular A-122 (Cost Principles for Non-Profit Organizations)).

**20. PROGRAM REPORTING: F-1. Are grantees required to submit an annual performance report?**

Yes. Under the Government Performance and Results Act of 1993 (GPRA), the Department has developed performance measures to determine the overall effectiveness of programs funded with Federal dollars, including the IAL program. The GPRA performance measures for the IAL program are:

1. The percentage of 4-year old children participating in the project who achieve significant gains in oral language skills;
2. The percentage of participating 3rd grade students who meet or exceed proficiency on State reading or language arts assessments under section 1111(b)(3) of the ESEA;
3. The percentage of participating 8th grade students who meet or exceed proficiency on State reading or language arts assessments under section 1111(b)(3) of the ESEA; and
4. The percentage of participating high school students who meet or exceed proficiency on State reading or language arts assessments under section 1111(b)(3) of the ESEA.

All grantees will be expected to submit an annual performance report that includes data addressing these performance measures, to the extent that they apply to the grantee's project. For example, a grantee that proposes to improve the quality of school library services for high school students would only be required to report data for measure number 4, in addition to any project-specific measures identified in the application.

**21. PROGRAM REPORTING: F-2. Must an applicant use an outside evaluator?**

No. However, applications submitted for the IAL program will be evaluated based on the quality of the project evaluation (See the IAL application package, Selection Criterion F). As such, applicants will be responsible for carrying out the evaluation plan/activities that are outlined in the application package.

**22. APPLICATION SUBMISSION: G-1. Is IAL subject to Executive Order 12372?**

Yes. Executive Order 12372 concerns the Intergovernmental Review of Federal Programs, and, among other things, gives States the opportunity to review and provide comments to Federal

agencies on applications for Federal discretionary (competitive) grants. Applicants can find more details in the Appendix for the Intergovernmental Review of Federal Programs in the IAL application package. However, potential applicants should not delay the timely submission of their applications in Grants.gov pending the outcome of the State's review.

**23. APPLICATION SUBMISSION: G-2. Must submission of charts and tables be double-spaced in an IAL grant application?**

Yes. Charts and tables must be prepared in double space format.

**24. APPLICATION SUBMISSION: G-3. Is there a page limit for the application?**

Yes. The application narrative must be limited to no more than 25 pages. The application narrative is where the applicant addresses the selection criteria that reviewers use to evaluate the grant application. The page limit does not apply to the cover sheet; eligibility information; the budget section, including the narrative budget justification; the assurances and certifications; the one to two-page abstract; the resumes; the bibliography; the logic model, or the letters of support. However, the page limit does apply to all of the application narrative section. Please note reviewers will not read any pages of the narrative section that exceed the page limit.

**25. APPLICATION SUBMISSION: G-4. What is the required font for this application submission?**

A submitted application must use a font size that is either 12 point or larger or no smaller than 10 pitch (characters per inch). The applicant must 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.

**26. ABSOLUTE AND COMPETITIVE PRIORITIES: H-1. What is an absolute priority? What is a competitive preference priority?**

Under EDGAR at 34 CFR § 75.105(c)(3), the Secretary may give absolute preference to applications that meet a priority. For the IAL FY 2014 competition, all applicants must meet the absolute priority established in the NIA. Applicants that do not meet the absolute priority will not be considered for funding.

Under EDGAR at 34 CFR § 75.105(c)(2), the Secretary may award some or all bonus points to an application depending on the extent to which the application meets each competitive preference priority. These points are in addition to any points the applicant earns under the selection criteria (see 34 CFR § 75.200(b)).

In accordance with the NIA, the maximum number of additional points the Secretary may award to an application depends upon whether the application meets each competitive preference priority. Additionally, the Secretary may select an application that meets a priority over an application of comparable merit that does not meet the priority. Competitive priorities are not

requirements in that applicants do not need to address them to be considered for funding. Applications that meet one or more competitive priorities will be awarded additional points.

**27. ABSOLUTE AND COMPETITIVE PRIORITIES: H-2. How many absolute and competitive preference priorities are in the IAL NIA?**

The IAL NIA contains one absolute priority and four competitive preference priorities. For FY 2014, the following absolute priority has been established:

- Absolute Priority—High-quality plan for innovative approaches to literacy that include book distribution, childhood literacy activities, or both, and that is supported, at a minimum, by evidence of strong theory (as defined in 34 CFR 77.1 (c)).

For the FY 2014 IAL program, the following four competitive priorities have been established:

- Competitive Preference Priority 1—Turning Around Persistently Lowest-Achieving Schools (5 points);
- Competitive Preference Priority 2—Technology (5 points);
- Competitive Preference Priority 3—Improving Early Learning Outcomes (5 points); and
- Competitive Preference Priority 4—Serving Rural LEAs (5 points).

Applicants are strongly encouraged identify, in the project abstract section of their applications, any competitive preference priority they intend to meet with the application, and to include a brief description of how they are qualified to meet each priority.

Please refer to the NIA under Priorities for more information on absolute and competitive priorities under the IAL program.

**28. ABSOLUTE AND COMPETITIVE PRIORITIES: H-3. How many points will be awarded under the competitive priorities?**

We will award an additional 5 points to an application that meets either Competitive Preference Priority 1 or 4, listed in question H-2. We will award an additional 5 points to an application that meets Competitive Preference Priority 2 and an additional 5 points to an application that meets Competitive Preference Priority 3 listed in question H-2. The maximum number of competitive preference points an application can receive for this competition is 15.

**29. ABSOLUTE AND COMPETITIVE PREFERENCE PRIORITIES: H-4. How does an applicant meet the absolute priority?**

To meet the absolute priority, applicants must submit a plan that is supported by evidence of strong theory, as defined in the NIA, including a rationale for the proposed process, product, strategy, or practice and a corresponding logic model (as defined in 34 CFR 77.1(c)).

### **30. ABSOLUTE AND COMPETITIVE PREFERENCE PRIORITIES: H-5. What is a logic model?**

The NIA uses the definition of logic model (also referred to as theory of action) in 34 CFR 77.1(c), which defines logic model as a well-specified conceptual framework that identifies key components of the proposed process, product, strategy, or practice (i.e., the active “ingredients” that are hypothesized to be critical to achieving the relevant outcomes) and describes the relationships among the key components and outcomes, theoretically and operationally.

The Department’s Regional Education Laboratories (RELs) offer resources on logic models, including a webinar recording and logic model maker software. These may be accessed at the following Web sites:

- <http://www.relnei.org/events/skill-builder-archive/skill-builder-logic-models.html>
- <http://relpacific.mcrel.org/PERR.html>

### **31. ABSOLUTE AND COMPETITIVE PRIORITIES: H-6. How would an LEA qualify for additional points under the rural competitive preference?**

An applicant qualifies for competitive preference points under the rural competitive preference if the applicant’s proposed project is designed to provide high-quality literacy programming, or distribute books, or both, to students served by a rural LEA. A rural LEA, for the purposes of the IAL program, is an LEA that is eligible under the Small Rural School Achievement program or the Rural and Low-Income School program authorized under Title VI, Part B of the ESEA. Applicants may determine whether a particular LEA is eligible for these programs by referring to information on the Department’s Web site at: <http://www2.ed.gov/nclb/freedom/local/reap.html>.

### **32. SELECTION CRITERIA: I-1. On what authority are the selection criteria based?**

The selection criteria for this program are from 34 CFR § 75.210 and are listed in the NIA. The maximum score for all criteria is 100 points. The maximum possible score for each criterion is indicated in parentheses next to each criterion listed in the selection criteria section of the NIA.

### **33. SELECTION CRITERIA: I-2. How will applications be reviewed?**

The Department will use peer-reviewers to review and score applications on the selection criteria. The Department has sought independent reviewers from various backgrounds and professions with relevant expertise, whom we will ask to use their professional judgment to evaluate and score each application based on the selection criteria.

Following the peer-review, Department staff will determine whether the application meets the absolute priority, and will also assign competitive preference priority points to applications meeting the competitive priorities, up to a total of 15 additional points.

### **34. SELECTION CRITERIA: I-3. How will the quality of the project evaluation be reviewed?**

Selection criterion f(i) requires reviewers to score and provide feedback on the extent to which the methods of evaluation will, if well-implemented, produce evidence of promise.

In order to provide opportunities for applicants to build the body of evidence of effectiveness in education, we have included this selection criterion to encourage applicants to incorporate evaluation designs that will, if well-implemented, produce evidence of promise that could be used by applicants in future projects. Therefore, this selection criterion assesses whether the evaluation of that project can confirm that the applicant's approach meets the requirements of "evidence of promise," – a higher level of evidence than strong theory.

Peer-reviewers with professional background in evaluation will review the selection criterion related to evaluation design.

Prospective applicants are strongly encouraged to learn about the components of an evaluation design to address the "evidence of promise" selection criterion. We invite prospective applicants to attend online technical assistance workshops the Department will host during the open period. Registration information is available at the program website and in the instructions package. The first workshop will be recorded and posted to the Department's website when it becomes available, at the following location: <http://www2.ed.gov/programs/innovapproaches-literacy/resources.html>

### **35. SELECTION CRITERIA: I-4. In terms of the evaluation design, what is meant by evidence of promise?**

Whereas the Absolute Priority requires applicants to provide evidence of strong theory in support of the proposed project, the selection criterion related to evaluation design asks applicants to develop an evaluation that will, if the proposed project is well-implemented, produce sufficient evidence of promise for applicants to cite in support of future proposals.

Evidence of promise, as defined in 34 CFR 77.1(c), means there is empirical evidence to support the theoretical linkage(s) between at least one critical component and at least one relevant outcome presented in the logic model for the proposed process, product, strategy, or practice. Specifically, evidence of promise means the conditions in paragraphs (i) and (ii) of this section are met:

- (i) There is at least one study that is a—
  - (A) Correlational study with statistical controls for selection bias;
  - (B) Quasi-experimental study that meets the What Works Clearinghouse Evidence Standards with reservations;<sup>1</sup> or
  - (C) Randomized controlled trial that meets the What Works Clearinghouse Evidence Standards with or without reservations.<sup>2</sup>
- (ii) The study referenced in paragraph (a) found a statistically significant or substantively important (defined as a difference of 0.25 standard deviations or larger), favorable association between at least one critical component and one relevant outcome presented in the logic model for the proposed process, product, strategy, or practice.

*Footnote: I&2 What Works Clearinghouse Procedures and Standards Handbook (Version 3.0, March 2014), which can currently be found at the following link:  
<http://ies.ed.gov/ncee/wwc/DocumentSum.aspx?sid=19>.*

**36. SELECTION CRITERIA: I-5. Will an applicant receive its scores and reviewer comments after the competitions are completed?**

Applicants may request a copy of the technical review forms completed by the peer reviewers on their applications. Individual reviewer names are deleted from the forms to preserve confidentiality.

**37. SELECTION CRITERIA: I-6. Will the reviewers be asked to read every part of each application?**

Yes. To facilitate the review, the Department encourages applicants to carefully follow the directions in the application package. Applicants should pay particular attention to the flow of the narrative and correctly label all attachments. Please note that our reviewers will not read any pages of the narrative section that exceed the 25 page limit.

**38. SELECTION CRITERIA: I-7 Does a grantee's past performance count as part of the overall selection process?**

The Department reminds potential applicants that in reviewing applications in any discretionary grant competition, the Secretary may consider, under EDGAR, 34 CFR § 75.217(d)(3)(ii), the applicant's past performance and use of funds under a previous grant award. The Secretary may also consider whether the applicant failed to submit a timely performance report or submitted a report of unacceptable quality.

**39. APPLICABLE REGULATIONS: J-1. What are the applicable regulations that apply to the IAL program?**

- A) The following sections of EDGAR apply to the IAL program:
- Part 74 Administration of Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations
  - Part 75 Direct Grant Programs
  - Part 77 Definitions
  - Part 79 Intergovernmental Review
  - Part 80 Uniform Requirements
  - Part 81 General Education Provision Act - Enforcement
  - Part 82 Lobbying
  - Part 84 Debarment
  - Part 97 Protection of Human Subjects
  - Part 98 Student Rights in Research, Experimental Programs, and Testing
  - Part 99 Family Educational Rights
- B) The Education Department debarment and suspension regulations in 2 CFR part 3485.

- C) The notice of final supplemental priorities and definitions for discretionary grant programs, published in the Federal Register on December 15, 2010 (75 FR 78486), and corrected on May 12, 2011 (76 FR 27637).
- D) The notice of final priorities, requirement, and definitions for the IAL program published in the Federal Register on June 17, 2014.

## ***Applicant Guide***

The IAL program is a competitive grant program that is directly administered by the Department. The Department will award grants based on the quality of the applications and the selection criteria published in the *Federal Register* notice included in the application package.

Grants will be awarded on a competitive basis for a project period of 24 months. Contingent upon the availability of future funds and quality of applications, additional awards may be made from the list of unfunded applicants from this competition. The Department expects to award grants no later than September 30, 2014.

The deadline for submitting an application is Wednesday, July 17 at 4:30:00 PM, Washington, DC time. Applicants are expected to review the *Federal Register* notice inviting applications and the instructions provided in this application package for additional information on meeting this deadline. Written requests for a waiver of the electronic submission requirement must be mailed or faxed to the Department no later July 3, 2014.

## ***Technical Assistance Workshops for Prospective Applicants***

To assist applicants in preparing the application, and to respond to questions applicants may have about the application process, the Department will host **three** (3) technical assistance conference calls/webinar sessions, currently scheduled to occur during the following dates and times:

### **Live Webinar with Questions and Answers (Q&A) Session:**

- IAL FY 2014 Session: Applicant Technical Assistance; Wednesday, June 18, 2014; 4:00 pm EDT: <https://educate.webex.com/educate/onstage/g.php?t=a&d=746082003>

### **Live Q&A Only Sessions:**

- IAL FY 2014 Q&A 1: Applicant Technical Assistance; Wednesday, June 25, 2014; 3:00 pm EDT: <https://educate.webex.com/educate/onstage/g.php?t=a&d=746942724>
- IAL FY 2014 Q&A 2: Applicant Technical Assistance; Tuesday, July 1, 2014; 1:00 pm EDT: <https://educate.webex.com/educate/onstage/g.php?t=a&d=742097472>

Prior to participating in the technical assistance webinars, applicants are strongly encouraged to review the guidance on logic models at the following link: <http://relpacific.mcrel.org/PERR.html>

Interested applicants will need to register for each opportunity. To register, please click on one of the links above. Space will be limited to the first 175 registrants, so application teams should plan to call in groups. The June 18th webinar will be recorded and made available on the IAL website. Applicants will need to view this recording or attend the June 18th session live in order to effectively participate in the Q&A Sessions.

## **Application Submission Procedures**

**The deadline for submission of IAL applications through Grants.gov is Wednesday, July 17 at 4:30:00 PM Washington, DC time.**

### ***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 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** 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 84.215G  
 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 84.215G  
550 12th Street, SW.  
Washington, DC 20202-4260

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

Note for Mail or Hand Delivery of Paper Applications:

If you mail or hand deliver your application to the Department--

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

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

## ***Submitting Applications with Adobe Reader Software***

The Department of Education, working with Grants.gov, is currently moving from using PureEdge software to using Adobe Reader software exclusively and applications submitted to Grants.gov for the Department 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 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](mailto: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.

### **ATTENTION – Adobe Forms and PDF Files Required**

Applications submitted to Grants.gov for the Department 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). 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](http://www.Grants.gov) before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. 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](mailto: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](http://www.sam.gov)) which may take approximately one week to complete, but could take upwards of several weeks to complete, depending upon the completeness and accuracy of the data entered into the SAM database by an applicant. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. Please note that once your SAM registration is active, it will take 24-48 hours for the information to be available in Grants.gov, and before you can submit an application through Grants.gov. For detailed information on the Registration Steps, please go to: <http://www.grants.gov/web/grants/register.html> [Note: Your organization will need to update its SAM registration annually (formerly Central Contractor Registry (CCR))\*.]

Primary information about SAM is available at [www.sam.gov](http://www.sam.gov) . However, to further assist you with obtaining and registering your DUNS number and TIN in SAM or updating your existing SAM account, the Department 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 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/tracking-an-application.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/applicants/applicant-resources.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 Department 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 in the file name, 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.

\*Please note that the Central Contractor Registry (CCR) was replaced by the System for Award Management (SAM) effective July 30, 2012.

# 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](http://www.Grants.gov) before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. 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](mailto: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 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 (form 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**

- Application Narrative

### **Part 5: Budget Narrative Attachment Form**

- Budget Narrative

### **Part 6: Other Attachments Form**

- Individual Resumes for Project Directors & Key Personnel
- Logic Model
- Eligibility Form
- State letter verifying poverty rates for certain LEAs (if applicable)
- Other eligibility documentation (if applicable)
- Indirect Cost Rate Agreement (if charging indirect costs)
- Letters of Support

### **Part 7: Assurances and Certifications**

- Assurances for Non-Construction Programs (SF 424B Form)
- 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 System for Award Management.**

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

*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 will only review materials/files attached in accordance with the instructions provided within this application.*

**INSTRUCTIONS FOR THE SF-424**

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

|      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Item | Entry:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Item: | Entry:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| 1.   | <b>Type of Submission:</b> (Required) Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Pre-application</li> <li>• Application</li> <li>• Changed/Corrected Application – Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                | 10.   | <b>Name Of Federal Agency:</b> (Required) Enter the name of the federal agency from which assistance is being requested with this application.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | 11.   | <b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| 2.   | <b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the federal government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.</li> </ul> <p>A. Increase Award            D. Decrease Duration<br/> B. Decrease Award        E. Other (specify)<br/> C. Increase Duration</p> | 12.   | <b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | 13.   | <b>Competition Identification Number/Title:</b> Enter the competition identification number and title of the competition under which assistance is requested, if applicable.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | 14.   | <b>Areas Affected By Project:</b> This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| 3.   | <b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | 15.   | <b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| 4.   | <b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or the applicant's control number if applicable.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| 5a.  | <b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the federal agency, if any.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | 16.   | <b>Congressional Districts Of:</b> 16a. (Required) Enter the applicant's congressional district. 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina's 103 district. If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed. |
| 5b.  | <b>Federal Award Identifier:</b> For new applications, enter NA. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| 6.   | <b>Date Received by State:</b> Leave this field blank. This date will be assigned by the state, if applicable.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| 7.   | <b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the state, if applicable.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| 8.   | <b>Applicant Information:</b> Enter the following in accordance with agency instructions:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|      | <b>a. Legal Name:</b> (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | 17.   | <b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|      | <b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | 18.   | <b>Estimated Funding:</b> (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |

| Item                                                                          | Entry:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Item:               | Entry:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                      |                                            |                                |               |                                |                                                        |                          |                   |                                 |                                 |                                |                                                         |                                                            |                                                          |                                                                    |                                                           |                                                                               |                  |                                                            |                    |                                    |  |  |  |
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|                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                     | the change. For decreases, enclose the amounts in parentheses.                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                      |                                            |                                |               |                                |                                                        |                          |                   |                                 |                                 |                                |                                                         |                                                            |                                                          |                                                                    |                                                           |                                                                               |                  |                                                            |                    |                                    |  |  |  |
|                                                                               | <b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | 19.                 | <b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> (Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.                                                                                                                 |                      |                                            |                                |               |                                |                                                        |                          |                   |                                 |                                 |                                |                                                         |                                                            |                                                          |                                                                    |                                                           |                                                                               |                  |                                                            |                    |                                    |  |  |  |
|                                                                               | <b>d. Address:</b> Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | 20.                 | <b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.                                                                                                                                                 |                      |                                            |                                |               |                                |                                                        |                          |                   |                                 |                                 |                                |                                                         |                                                            |                                                          |                                                                    |                                                           |                                                                               |                  |                                                            |                    |                                    |  |  |  |
|                                                                               | <b>e. Organizational Unit:</b> Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | 21.                 | <b>Authorized Representative:</b> To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.) |                      |                                            |                                |               |                                |                                                        |                          |                   |                                 |                                 |                                |                                                         |                                                            |                                                          |                                                                    |                                                           |                                                                               |                  |                                                            |                    |                                    |  |  |  |
|                                                                               | <b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                      |                                            |                                |               |                                |                                                        |                          |                   |                                 |                                 |                                |                                                         |                                                            |                                                          |                                                                    |                                                           |                                                                               |                  |                                                            |                    |                                    |  |  |  |
| 9.                                                                            | Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                      |                                            |                                |               |                                |                                                        |                          |                   |                                 |                                 |                                |                                                         |                                                            |                                                          |                                                                    |                                                           |                                                                               |                  |                                                            |                    |                                    |  |  |  |
|                                                                               | <table border="0"> <tr> <td>A. State Government</td> <td>M. Nonprofit</td> </tr> <tr> <td>B. County Government</td> <td>N. Private Institution of Higher Education</td> </tr> <tr> <td>C. City or Township Government</td> <td>O. Individual</td> </tr> <tr> <td>D. Special District Government</td> <td>P. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td>E. Regional Organization</td> <td>Q. Small Business</td> </tr> <tr> <td>F. U.S. Territory or Possession</td> <td>R. Hispanic-serving Institution</td> </tr> <tr> <td>G. Independent School District</td> <td>S. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td>H. Public/State Controlled Institution of Higher Education</td> <td>T. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td>I. Indian/Native American Tribal Government (Federally Recognized)</td> <td>U. Alaska Native and Native Hawaiian Serving Institutions</td> </tr> <tr> <td>J. Indian/Native American Tribal Government (Other than Federally Recognized)</td> <td>V. Non-US Entity</td> </tr> <tr> <td>K. Indian/Native American Tribally Designated Organization</td> <td>W. Other (specify)</td> </tr> <tr> <td>L. Public/Indian Housing Authority</td> <td></td> </tr> </table> | A. State Government | M. Nonprofit                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | B. County Government | N. Private Institution of Higher Education | C. City or Township Government | O. Individual | D. Special District Government | P. For-Profit Organization (Other than Small Business) | E. Regional Organization | Q. Small Business | F. U.S. Territory or Possession | R. Hispanic-serving Institution | G. Independent School District | S. Historically Black Colleges and Universities (HBCUs) | H. Public/State Controlled Institution of Higher Education | T. Tribally Controlled Colleges and Universities (TCCUs) | I. Indian/Native American Tribal Government (Federally Recognized) | U. Alaska Native and Native Hawaiian Serving Institutions | J. Indian/Native American Tribal Government (Other than Federally Recognized) | V. Non-US Entity | K. Indian/Native American Tribally Designated Organization | W. Other (specify) | L. Public/Indian Housing Authority |  |  |  |
| A. State Government                                                           | M. Nonprofit                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                      |                                            |                                |               |                                |                                                        |                          |                   |                                 |                                 |                                |                                                         |                                                            |                                                          |                                                                    |                                                           |                                                                               |                  |                                                            |                    |                                    |  |  |  |
| B. County Government                                                          | N. Private Institution of Higher Education                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                      |                                            |                                |               |                                |                                                        |                          |                   |                                 |                                 |                                |                                                         |                                                            |                                                          |                                                                    |                                                           |                                                                               |                  |                                                            |                    |                                    |  |  |  |
| C. City or Township Government                                                | O. Individual                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                      |                                            |                                |               |                                |                                                        |                          |                   |                                 |                                 |                                |                                                         |                                                            |                                                          |                                                                    |                                                           |                                                                               |                  |                                                            |                    |                                    |  |  |  |
| D. Special District Government                                                | P. For-Profit Organization (Other than Small Business)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                      |                                            |                                |               |                                |                                                        |                          |                   |                                 |                                 |                                |                                                         |                                                            |                                                          |                                                                    |                                                           |                                                                               |                  |                                                            |                    |                                    |  |  |  |
| E. Regional Organization                                                      | Q. Small Business                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                      |                                            |                                |               |                                |                                                        |                          |                   |                                 |                                 |                                |                                                         |                                                            |                                                          |                                                                    |                                                           |                                                                               |                  |                                                            |                    |                                    |  |  |  |
| F. U.S. Territory or Possession                                               | R. Hispanic-serving Institution                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                      |                                            |                                |               |                                |                                                        |                          |                   |                                 |                                 |                                |                                                         |                                                            |                                                          |                                                                    |                                                           |                                                                               |                  |                                                            |                    |                                    |  |  |  |
| G. Independent School District                                                | S. Historically Black Colleges and Universities (HBCUs)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                      |                                            |                                |               |                                |                                                        |                          |                   |                                 |                                 |                                |                                                         |                                                            |                                                          |                                                                    |                                                           |                                                                               |                  |                                                            |                    |                                    |  |  |  |
| H. Public/State Controlled Institution of Higher Education                    | T. Tribally Controlled Colleges and Universities (TCCUs)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                      |                                            |                                |               |                                |                                                        |                          |                   |                                 |                                 |                                |                                                         |                                                            |                                                          |                                                                    |                                                           |                                                                               |                  |                                                            |                    |                                    |  |  |  |
| I. Indian/Native American Tribal Government (Federally Recognized)            | U. Alaska Native and Native Hawaiian Serving Institutions                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                      |                                            |                                |               |                                |                                                        |                          |                   |                                 |                                 |                                |                                                         |                                                            |                                                          |                                                                    |                                                           |                                                                               |                  |                                                            |                    |                                    |  |  |  |
| J. Indian/Native American Tribal Government (Other than Federally Recognized) | V. Non-US Entity                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                      |                                            |                                |               |                                |                                                        |                          |                   |                                 |                                 |                                |                                                         |                                                            |                                                          |                                                                    |                                                           |                                                                               |                  |                                                            |                    |                                    |  |  |  |
| K. Indian/Native American Tribally Designated Organization                    | W. Other (specify)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                      |                                            |                                |               |                                |                                                        |                          |                   |                                 |                                 |                                |                                                         |                                                            |                                                          |                                                                    |                                                           |                                                                               |                  |                                                            |                    |                                    |  |  |  |
| L. Public/Indian Housing Authority                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                      |                                            |                                |               |                                |                                                        |                          |                   |                                 |                                 |                                |                                                         |                                                            |                                                          |                                                                    |                                                           |                                                                               |                  |                                                            |                    |                                    |  |  |  |

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

**Instructions for 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 U.S. Department of Education Supplemental Information for the SF-424

### Definitions:

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

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

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

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

### PROTECTION OF HUMAN SUBJECTS IN RESEARCH

#### I. Definitions and Exemptions

##### A. Definitions.

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

##### —Research

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

##### —Human Subject

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

##### B. Exemptions.

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

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

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

***Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures

involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

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

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

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs. *[The standards of this exemption are rarely met because it was designed to apply only to specific research conducted by HHS at the time the regulations were established. We will strictly construe this exemption because it was not intended to apply to ED research.]*

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

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

If the applicant marked “Yes” for Item 3.b. of the U.S. Department of Education Supplemental Information for the SF 424, the applicant must attach a human subjects “exempt research” or “nonexempt research” narrative to the U.S. Department of Education Supplemental Information for the SF-424 form. If you have multiple projects and need to provide

more than one narrative, be sure to label each set of responses as to the project they address.

### A. Exempt Research Narrative.

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

### B. Nonexempt Research Narrative.

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

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

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

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

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

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

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

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

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

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

*<http://www.ed.gov/about/offices/list/ocfo/humansub.html>*

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

## **Part 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 24 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, including travel for 2 representatives to attend the annual project directors meeting in Washington, DC for each year of the proposed project. *Include travel of persons such as consultants on line 6.*

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

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>.

Note: IAL is not subject to a “supplement-not-supplant” requirement. Unless otherwise noted in a grantee's indirect cost rate agreement, applicants are generally permitted to use the normal “indirect cost rate” rather than the “restricted indirect cost rate” when applying for IAL funds. Grantees who use a restricted rate will recover fewer indirect costs than those who use the unrestricted rate.

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

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

# Instructions for ED 524

## General Instructions

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

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

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

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

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

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

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

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

**Indirect Cost Information:** If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government.

If you checked “no,” ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:

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

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

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

(3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost

Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

## Section B - Budget Summary Non-Federal Funds

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

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

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

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

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

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

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

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

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

[Please review ED’s general cost sharing and matching regulations, which include specific limitations, in 34 CFR 74.23, applicable to non-governmental entities, and 80.24, applicable to governments, and the applicable Office of Management and Budget (OMB) cost principles for

your entity type regarding donations, capital assets, depreciation and use allowances. OMB cost principle circulars are available on OMB’s website at:

<http://www.whitehouse.gov/omb/circulars/index.html>

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

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

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

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

5. Provide other explanations or comments you deem necessary.

## Paperwork Burden Statement

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

### **Part 3: ED Abstract Form**

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

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

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

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

#### **Project Abstract**

The project abstract should not exceed **two** double spaced pages and should include a concise description of the following information:

- Project objectives and activities;
- Identification of the applicable competitive preference priorities with a brief description of how the applicant is qualified to meet them;
- Proposed project outcomes;
- Number of participants to be served; and
- Number and location of proposed sites.

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](https://www.grants.gov) and should be organized in the following manner and include the following parts in order to expedite the review process.*

*Ensure that you only attach the Education approved file types detailed in the 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 the narrative section of the application to no more than 25 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 be not accepted.

The page limit does not apply to the cover sheet; eligibility information; the budget section, including the narrative budget justification; the assurances and certifications; or the one-page abstract, the resumes, the bibliography, the logic model, or the letters of support. However, the page limit does apply to all of the application narrative section.

Our reviewers will not read any pages of your application narrative that exceed the page 25 page limit.

Note: The applicant should include, as an “optional other” attachment in Grants.gov, the logic model used to address paragraph (d)(ii) of the Absolute Priority.

### ***Selection Criteria for Program Narrative***

The maximum score for all selection criteria is 100 points. The points or weights 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 selection criteria for this program are from 34 CFR 75.210 and are listed in the following paragraphs. The maximum score for all criteria is 100 points. The maximum possible score for each criterion is indicated in parentheses.

- (a) Significance (10 points). The Secretary considers the significance of the proposed project. In determining the significance of the proposed project, the Secretary considers the following factors:
- (i) The extent to which the proposed project is likely to build local capacity to provide, improve, or expand services that address the needs of the target population. (5 points)
  - (ii) The extent to which the proposed project involves the development or demonstration of promising new strategies that build on, or are alternatives to, existing strategies. (5 points)
- (b) Quality of the project design (20 points). The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers the following factors:
- (i) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable. (5 points)
  - (ii) The extent to which the proposed project will establish linkages with other appropriate agencies and organizations providing services to the target population. (5 points)
  - (iii) The extent to which the proposed project is part of a comprehensive effort to improve teaching and learning and support rigorous academic standards for students. (5 points)
  - (iv) The extent to which performance feedback and continuous improvement are integral to the design of the proposed project. (5 points)
- (c) Quality of project services (25 points). The Secretary considers the quality of the services to be provided by the proposed project. In determining the quality of the services to be provided by the proposed project, the Secretary considers the following factors:
- (i) The quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. (10 points)
  - (ii) The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services. (10 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 practice among the recipients of those services. (5 points)
- (d) Adequacy of resources (10 points). The Secretary considers the adequacy of resources for the proposed project. In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:
- (i) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project. (5 points)

(ii) The extent to which the costs are reasonable in relation to the number of persons to be served and to the anticipated results and benefits. (5 points)

(e) Quality of the management plan (20 points). The Secretary considers the quality of the management plan for the proposed project. In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

(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 mechanisms for ensuring high-quality products and services from the proposed project. (5 points)

(iii) The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project. (5 points)

(f) Quality of the project evaluation (15 points). The Secretary considers the quality of the evaluation to be conducted of the proposed project. In determining the quality of the evaluation, the Secretary considers the following factors:

(i) The extent to which the methods of evaluation will, if well-implemented, produce evidence of promise (as defined). (10 points)

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

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

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

Applicants are also encouraged to learn more about what is needed for an evaluation design to address the “evidence of promise” selection criterion. Applicants may attend one of the online technical assistance workshops for prospective applicants the Department will host during the open period. Registration information is available at the program website and elsewhere in this instructions package.

## **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](http://Grants.gov). It should be organized in the following manner and include the following parts in order to expedite the review process.*

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

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

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

This section requires an **itemized budget breakdown** for each project year and the **basis for estimating the costs** of personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs and any other projected expenditures. Be sure to complete an itemized budget breakdown and narrative for each year of the proposed project (up to 24 months).

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

### **Important Notes**

- Applicants are encouraged to review OMB Circular A-21, *Cost Principles for Educational Institutions* (codified at 2 CFR 220); OMB Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments* (codified at 2 CFR 225); or OMB Circular A-122, *Cost Principles for Nonprofit Organizations* (codified at 2 CFR 230) in preparing their budget and budget narrative.
- OMB Circular A-21 may be found at the following link:  
[http://www.whitehouse.gov/omb/circulars/a021/a21\\_2004.html](http://www.whitehouse.gov/omb/circulars/a021/a21_2004.html)
- OMB Circular A-87 may be found at the following link:  
[http://www.whitehouse.gov/omb/circulars/a087/a87\\_2004.html](http://www.whitehouse.gov/omb/circulars/a087/a87_2004.html)
- OMB Circular A-122 may be found at the following link:  
[http://www.whitehouse.gov/omb/circulars/a122/a122\\_2004.html](http://www.whitehouse.gov/omb/circulars/a122/a122_2004.html)

## **Suggested Guidelines for the Budget Narrative**

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

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

### **1. Personnel**

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

### **2. Fringe Benefits**

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

### **3. Travel**

- Explain the purpose of the travel, how it relates to project success, how it aligns with the project goals and objectives and which program participants or staff will participate. Submit an estimate for the number of trips, points of origin and destination, and purpose of travel. Include travel for 2 representatives to attend the annual project directors meeting in Washington, DC for each year of the proposed project.
- Submit an itemized estimate of transportation and/or subsistence costs for each trip.
- Provide the basis for cost estimates or computations.

### **4. Equipment**

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

### **5. Supplies**

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

### **6. Contractual**

- Provide the purpose and relation to project success.
- Describe the products to be acquired, and/or the professional services to be provided.
- Provide a brief justification for the use of the contractors selected.

- Identify the name(s) of the contracting party, including consultants, if available.
- Provide the cost per contractor.
- Provide the amount of time that the project will be working with the contractor(s).
- For professional services contracts, provide the amounts of time to be devoted to the project, including the costs to be charged to this proposed grant award.
- Provide a brief statement that you have followed the procedures for procurement under 34 CFR Parts 74.40 - 74.48 and Part 80.36.
- Provide the basis for cost estimates or computations.

#### **7. Construction**

- Not applicable.

#### **8. Other**

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

#### **9. Total Direct Costs**

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

#### **10. Indirect Costs**

- Identify indirect cost rate (if the applicant will charge indirect costs to the grant)
- Provide a copy of the most recent approved indirect cost agreement in the other attachments form section of the application.

#### **11. Training Stipends**

- Not Applicable

#### **12. Total Costs**

- Sum total of direct costs, indirect costs, and stipends.
- Please provide total costs for each year of the project as well as grand total cost for the entire project (up to 24 months).

## ***Important Information Regarding Indirect Costs***

The Department of Education (ED) reimburses grantees for its portion of indirect costs that a grantee incurs on projects funded by the IAL program (CFDA: 84.215G). In order to charge indirect costs to this program, a grantee must have a currently approved Indirect Cost Rate (ICR) agreement. The ICR must be negotiated with and approved by the grantee's cognizant agency, i.e., either (1) the federal agency from which it has received the most direct funding, subject to indirect cost support; (2) the federal agency specifically assigned cognizance by the Office of Management and Budget; or (3) the State agency that provides the most subgrant funds to the grantee (if no direct federal awards are received).

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

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

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

Applicants with questions about charging indirect costs on this program should contact the program contact person noted elsewhere in this instructions 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.
- Logic Model:** This is required, as described in the Absolute Priority.
- Eligibility Form:** This verifies several eligibility requirements and is comprised of four sections. (The Eligibility Form is available in .DOC format at our Web site: <http://www2.ed.gov/programs/innovapproaches-literacy/eligibility.html>)
- State letter verifying poverty rates for certain LEAs (if applicable):** This letter must be provided for any LEA that is not included with the Census Bureau's Small Area Income and Poverty Estimates for school districts information.
- Other eligibility documentation (if applicable):** This includes signed agreements for consortia.
- Indirect Cost Rate Agreement (if charging indirect costs):** Applicants proposing to charge any indirect costs to the grant must include this, or identify the temporary or provisional rate.
- Letters of Support (optional).**

## ***Part 7: Assurances and Certifications***

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

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

## **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. 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](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# 84.215G, 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 **annual performance report** demonstrating their progress in meeting approved project objectives. Grantees must also provide the most current financial and performance measure data for each year of the project.

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

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

- (1) The percentage of four-year-old children participating in the project who achieve significant gains in oral language skills.
- (2) The percentage of participating 3rd-grade students who meet or exceed proficiency on State reading or language arts assessments under section 1111(b)(3) of the ESEA.
- (3) The percentage of participating 8th-grade students who meet or exceed proficiency on State reading or language arts assessments under section 1111(b)(3) of the ESEA.
- (4) The percentage of participating high school students who meet or exceed proficiency on State reading or language arts assessments under section 1111(b)(3) of the ESEA.

All grantees will be expected to submit an annual performance report that includes data addressing these performance measures, to the extent that they apply to the grantee's project. For example, a grantee that proposes to improve the quality of school library services for high school students would only be required to report data for measure 4.

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>.

## Applicant Eligibility Form

**How To Submit:** Applicants must complete and submit all relevant sections of this form and, if applicable, submit additional documentation confirming eligibility before submitting the application to Grants.gov. When attaching this form to your application package, **select “Other Attachments Form” to include this material before submitting the application. Remember, you must convert the completed form into a pdf document before attaching it to the Other Attachments Form. The Department only accepts ready-only, non-modifiable PDF files as attachments, and we will not review any material submitted in other formats.**

All applicants are required to submit evidence of eligibility as follows:

- **Local educational agency (LEA)** applicants must submit evidence that they meet the definition of high-need LEA as defined in the notice inviting applications (NIA) and below.
- **National not-for-profit organization (NNP)** applicants must submit evidence that they meet the definition of national not-for-profit organization as defined in the NIA and below and that they serve children and students within the attendance boundaries of a high-need LEA as defined in the NIA and below.
- **Consortium** applicants must identify the lead entity that is applying for the grant and that will serve as the fiscal agent, provide documentation that each LEA included in the proposal meets the definition of high-need LEA as defined in the NIA and below, and provide documentation that each NNP included in the proposal meets the definition of NNP as defined in the NIA and below and that it serves children and students within the attendance boundaries of a high-need LEA as defined in the NIA and below.

**High-need local educational agency** means –

- (1) an LEA in which at least 25 percent of the students aged 5-17 in the school attendance area of the LEA are from families with incomes below the poverty line based on data from the U.S. Census Bureau’s Small Area Income and Poverty Estimates (SAIPE) for school districts for the most recent income year. A list of LEAs by State with family poverty rates (based on these SAIPE data) is posted on our Web site at <http://www2.ed.gov/programs/innovapproaches-literacy/eligibility.html>; or
- (2) for an LEA that is not included on the SAIPE list, such as a charter school LEA, an LEA for which the State educational agency (SEA) determines, consistent with the manner described under section 1124(c) of the Elementary and Secondary Education Act (ESEA) in which the SEA determines an LEA’s eligibility for Title I allocations, that 25 percent of the students aged 5-17 in the LEA are from families with incomes below the poverty line.

**National not-for-profit organization** means an agency, organization, or institution owned and operated by one or more corporations or associations whose net earnings do not benefit, and cannot lawfully benefit, any private shareholder or entity. In addition, it means, for the purposes of this program, an organization of national scope that is supported by staff or affiliates at the State and local levels, who may include volunteers, and that has a demonstrated history of

effectively developing and implementing literacy activities. Note: A local affiliate of an NNP does not meet the definition of NNP and is not eligible to apply. Only a national agency, organization, or institution is eligible to apply as an NNP.

**Instructions:**

Complete the following sections and submit documentation as appropriate.

- **Section I** must be completed by all applicants.
- **Section II** must be completed by all applicants. Additional documentation may be required depending on entity type.
- **Section III** must be completed by applicants that include one or more NNPs. Additional documentation is required.
- **Section IV** must be completed by applicants that are applying as consortia. This could include a consortium of high-need LEAs; a consortium of NNPs that serves children and students within the attendance boundaries of one or more high-need LEAs; or a consortium of one or more high-need LEAs and one or more NNPs that serves children and students within the attendance boundaries of one or more high-need LEAs. Additional documentation is required.

**SECTION I**

**Instructions—Part A:** Check the box that describes how the applicant is applying, and follow instructions in sections II-IV.

- as a high-need LEA (as defined in the NIA and above);
- as an NNP (as defined in the NIA and above) that serves children and students from a high-need LEA;
- as a consortium of NNPs that serves children and students from high-need LEAs;
- as a consortium of high-need LEAs; or
- as a consortium of one or more high-need LEAs and one or more NNPs that serves children and students within the attendance boundaries of one or more high-need LEAs.

**Instructions—Part B:** List the names and contact information for the school libraries that were consulted in developing the IAL grant proposal. Use additional pages if necessary.

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**SECTION II**

**Instructions—Part A:** Enter the name and address of the applicant or, in the case of a consortium application, the lead entity in the first block. If the applicant or lead entity is an LEA, provide its SAIPE data. An NNP applying outside of a consortium must provide SAIPE data for the LEAs it is serving. If this is a consortium application, complete the rest of **Part A** for all additional LEAs and NNPs in the consortium, providing SAIPE data for LEAs and for LEAs with children and students served by the NNPs. Attach additional pages as needed. If the applicant, or lead entity for a consortium application, is an LEA and is not included in the SAIPE list (e.g., a charter school or other non-traditional LEA), check here: , and include appropriate documentation as described in **Part B**.

| <b>Section II – Part A</b>                                                                                                                        |                                                                                                                                                                                                                                                                             |                                                                       |
|---------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------|
| Name and Address of Applicant or Lead Entity for Consortium Application                                                                           | Entity Type (check all that apply)                                                                                                                                                                                                                                          | Small Area Income and Poverty Estimates for school districts          |
| _____<br>_____<br>_____<br>_____                                                                                                                  | <input type="checkbox"/> LEA<br><input type="checkbox"/> Charter School<br><input type="checkbox"/> State-Administered School<br><input type="checkbox"/> Regional Service Agency<br><input type="checkbox"/> NNP<br><input type="checkbox"/> Separately established entity | _____<br>If LEA, enter code<br>_____<br>If LEA, enter Percent Poverty |
| <b>Other LEAs or NNPs included in proposal (NNPs must provide eligibility information for all LEAs with students to be served by this grant.)</b> |                                                                                                                                                                                                                                                                             |                                                                       |
| _____<br>_____<br>_____<br>_____                                                                                                                  | <input type="checkbox"/> LEA<br><input type="checkbox"/> Charter School<br><input type="checkbox"/> State-Administered Schools<br><input type="checkbox"/> Regional Service Agency<br><input type="checkbox"/> NNP                                                          | _____<br>LEA code<br>_____<br>Percent Poverty                         |
| _____<br>_____<br>_____<br>_____                                                                                                                  | <input type="checkbox"/> LEA<br><input type="checkbox"/> Charter School<br><input type="checkbox"/> State-Administered Schools<br><input type="checkbox"/> Regional Service Agency<br><input type="checkbox"/> NNP                                                          | _____<br>LEA code<br>_____<br>Percent Poverty                         |
| _____<br>_____<br>_____<br>_____                                                                                                                  | <input type="checkbox"/> LEA<br><input type="checkbox"/> Charter School<br><input type="checkbox"/> State-Administered Schools<br><input type="checkbox"/> Regional Service Agency<br><input type="checkbox"/> NNP                                                          | _____<br>LEA code<br>_____<br>Percent Poverty                         |
| _____<br>_____<br>_____<br>_____                                                                                                                  | <input type="checkbox"/> LEA<br><input type="checkbox"/> Charter School<br><input type="checkbox"/> State-Administered Schools<br><input type="checkbox"/> Regional Service Agency<br><input type="checkbox"/> NNP                                                          | _____<br>LEA code<br>_____<br>Percent Poverty                         |

**Instructions—Part B:** Complete **Part B** for non-traditional LEAs, such as charter schools, State-Administered Schools, and Regional Service Agencies (with students to be served by this grant) that are identified as LEAs under State law, but are not in the SAIPE list. Applicants that list entities in Part B must submit verifiable written communication from a State certifying official that includes the name of the entity and confirms that: a) the named entity is considered an LEA by the State under State law; and b) the SEA has determined that 25 percent of the LEA’s students aged 5-17 are from families with incomes below the poverty line. Attach additional pages as needed.

| <b>Section II – Part B</b> |                                                                                                                                                                                   |                                                                                                                |
|----------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------|
| Name and Address of Entity | Entity Type (check all that apply)                                                                                                                                                | State Certifying Official and Confirmation of Poverty                                                          |
| <hr/> <hr/> <hr/> <hr/>    | <input type="checkbox"/> LEA<br><input type="checkbox"/> Charter School<br><input type="checkbox"/> State-Administered School<br><input type="checkbox"/> Regional Service Agency | <hr/><br>Name of State Official<br><hr/><br>Percent Poverty<br><input type="checkbox"/> Confirmation Attached? |
| <hr/> <hr/> <hr/> <hr/>    | <input type="checkbox"/> LEA<br><input type="checkbox"/> Charter School<br><input type="checkbox"/> State-Administered School<br><input type="checkbox"/> Regional Service Agency | <hr/><br>Name of State Official<br><hr/><br>Percent Poverty<br><input type="checkbox"/> Confirmation Attached? |
| <hr/> <hr/> <hr/> <hr/>    | <input type="checkbox"/> LEA<br><input type="checkbox"/> Charter School<br><input type="checkbox"/> State-Administered School<br><input type="checkbox"/> Regional Service Agency | <hr/><br>Name of State Official<br><hr/><br>Percent Poverty<br><input type="checkbox"/> Confirmation Attached? |
| <hr/> <hr/> <hr/> <hr/>    | <input type="checkbox"/> LEA<br><input type="checkbox"/> Charter School<br><input type="checkbox"/> State-Administered School<br><input type="checkbox"/> Regional Service Agency | <hr/><br>Name of State Official<br><hr/><br>Percent Poverty<br><input type="checkbox"/> Confirmation Attached? |

**SECTION III**

Instructions: To demonstrate that an applicant or consortium member meets the definition of NNP, select the appropriate boxes in A - C below and submit: a) documentation of nonprofit 501(c)(3) status verification, b) verifiable evidence that the organization is national in scope, and c) verifiable evidence that the organization has a demonstrated history of effectively developing and implementing literacy activities. Consortium applicants must copy and submit a completed Section III page, with corresponding documentation, for each NNP in the consortium.

- A. Select at least one form of documentation described below to demonstrate not-for-profit status. Attach this to the application when submitting to Grants.gov.
  - legal evidence of a current 501(c) (3) (not-for-profit) designation by the Internal Revenue Service;
  - a statement from a State taxing body or the State Attorney General certifying that: (1) the organization is a not-for-profit organization operating within the State and (2) no part of its net earnings may lawfully benefit any private shareholder or individual; or
  - a certified copy of the applicant's certificate of incorporation or similar document if it clearly establishes the not-for-profit status of the applicant.
  
- B. Select at least one form of documentation to demonstrate that the NNP is an organization of national scope. Attach these to the application when submitting to Grants.gov.
  - the organization's charter, articles of incorporation, or other documents establishing the organization and describing its mission as being national in scope;
  - proof that the organization has a national presence as evidenced by the geographic scope of its activities; or
  - other documentation that the organization is of national scope. Provide the title of this document in the space below.  
  
\_\_\_\_\_
  
- C. Provide the citation or evidence that the organization has a demonstrated history of effectively developing and implementing literacy activities in the space below, or provide documentation to demonstrate that the organization meets this requirement.  
  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## **SECTION IV**

**Instructions:** Applicants applying as consortia must identify the entity that is applying for the grant and provide documentation that each member entity has entered into an agreement that details the activities each member plans to perform and that binds each member to every statement and assurance made by the applicant in the application.

Identify the consortium type:

- a consortium of NNPs
- a consortium of LEAs
- a consortium of LEAs and NNPs

Consortium members must enter into a Memorandum of Understanding (MOU) or other binding agreement that provides a description of the planned activities along with assurances that each entity agrees with the proposed approach.

At a minimum, the MOU or other binding agreement must include:

- (1) A commitment by each participating member to implement the project described in the application;
- (2) An identification of the lead applicant and consortium members;
- (3) A description of the responsibilities of the lead applicant in managing any grant funds and ensuring overall implementation of the proposed project as described in the application, if approved by the Department;
- (4) A description of the activities that each member of the group will perform; and
- (5) A statement binding each member of the group to every statement and assurance made in the application.

Include a copy of the agreement as an attachment when submitting the application.

Title of Agreement: \_\_\_\_\_

Note: The Applicant Eligibility Form is available in .doc format at the IAL program website.

## Legal and Regulatory Information

### *Notice Inviting Applications*

4000-01-U

DEPARTMENT OF EDUCATION

Applications for New Awards; Innovative Approaches to Literacy Program

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

ACTION: Notice.

#### Overview Information:

Innovative Approaches to Literacy (IAL) Program

Notice inviting applications for new awards for fiscal year (FY) 2014.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.215G.

#### Dates:

Applications Available: [INSERT DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Transmittal of Applications: [INSERT DATE 30 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Intergovernmental Review: [INSERT DATE 90 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

#### Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The IAL program supports high-quality programs designed to develop and improve literacy skills for children and students from birth through 12th grade in high-need local educational agencies (high-need LEAs, as defined in this notice) and schools. The U.S. Department of Education (Department) intends to support innovative programs that promote early literacy for young children, motivate older children to read, and increase student achievement by using school libraries as partners to improve literacy, distributing free books to children and their families, and offering high-quality literacy activities.

Many schools and districts across the Nation do not have school libraries that deliver high-quality literacy programming to children and their families. Additionally, many schools do not have qualified library media specialists and library facilities. Where facilities do exist, they often lack adequate books and other materials and resources. In many communities, high-need children have limited access to appropriate age- and grade-level reading material in their homes.

The IAL program supports the implementation of high-quality plans for childhood literacy activities and book distribution efforts that are supported by evidence of strong theory (as defined in this notice).

Proposed projects under the IAL program, based on those plans, may include, among other things, activities that--

(a) Increase access to a wide range of literacy resources (either print or electronic) that prepare young children to read, and provide learning opportunities to all participating students;

(b) Provide high-quality childhood literacy activities with meaningful opportunities for parental engagement, including encouraging parents to read books often with their children in their early years of life and school, and teaching parents how to use literacy resources effectively;

(c) Strengthen literacy development across academic content areas by providing a wide range of literacy resources spanning a range of both complexity and content (including both literature and informational text) to effectively support reading and writing;

(d) Offer appropriate educational interventions for all readers with support from school libraries or national not-for-profit organizations;

(e) Foster collaboration and joint professional development opportunities for teachers, school leaders, and school library personnel with a focus on using literacy resources effectively to support reading and writing and academic achievement. For example, an approach to professional development within the IAL

program might be collaboration between library and school personnel to plan subject-specific pedagogy that is differentiated based on each student's developmental level and is supported by universal design for learning (as defined in this notice), technology, and other educational strategies; and

(f) Provide resources to support literacy-rich academic and enrichment activities and services aligned with State college- and career-ready standards (as defined in this notice) and the comprehensive statewide literacy plan (as defined in this notice).

The IAL program is carried out under the legislative authority of the Fund for Improvement of Education (FIE), Title V, part D, subpart 1, sections 5411 through 5413 of the Elementary and Secondary Education Act of 1965, as amended (ESEA) (20 U.S.C. 7243-7243b). FIE supports nationally significant programs to improve the quality of elementary and secondary education at the State and local levels and to help all children meet challenging State academic content and student academic achievement standards.

In accordance with the Senate report that accompanied the Consolidated Appropriations Act, 2014 (S. Rep. No. 113-71, at 173 (2013)), and subject to the submission of sufficient applications that meet the requirements of this notice, the Department will award no less than 50 percent of FY 2014 funds

to applications from LEAs (on behalf of school libraries) for high-quality school library projects that increase access to a wide range of literacy resources (either print or electronic) and provide learning opportunities to all students.

Priorities:

This competition includes one absolute priority and four competitive preference priorities. The Absolute Priority and Competitive Preference Priority 4 are from the notice of final priorities, requirement, and definitions published elsewhere in this issue of the Federal Register. Competitive Preference Priorities 1, 2, and 3 are from the notice of final supplemental priorities and definitions for discretionary grant programs, published in the Federal Register on December 15, 2010 (75 FR 78486), and corrected on May 12, 2011 (76 FR 27637).

Absolute Priority: For FY 2014 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this priority.

This priority is:

High-quality plan for innovative approaches to literacy that include book distribution, childhood literacy activities, or both, and that is supported, at a minimum, by evidence of strong theory (as defined in 34 CFR 77.1(c)).

To meet this priority, applicants must submit a plan that is supported by evidence of strong theory, including a rationale for the proposed process, product, strategy, or practice and a corresponding logic model (as defined in 34 CFR 77.1(c)).

The applicant must submit a plan with the following information:

(a) a description of the proposed book distribution, childhood literacy activities, or both, that are designed to improve the literacy skills of children and students by one or more of the following--

- (1) promoting early literacy and preparing young children to read;
- (2) developing and improving students' reading ability;
- (3) motivating older children to read; and
- (4) teaching children and students to read.

(b) the age or grade spans of children and students from birth through 12th grade to be served;

(c) a detailed description of the key goals, the activities to be undertaken, the rationale for those activities, the timeline, the parties responsible for implementing the activities, and the credibility of the plan (as judged, in part, by the information submitted as evidence of strong theory); and

(d) (i) a description of how the proposed project is supported by strong theory; and

(ii) the corresponding logic model (as defined in 34 CFR 77.1(c)).

Competitive Preference Priorities: For FY 2014 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, these priorities are competitive preference priorities. Under 34 CFR 75.105(c)(2)(i), we will award an additional 5 points to an application that meets either Competitive Preference Priority 1 or 4. We will award an additional 5 points to an application that meets Competitive Preference Priority 2 and an additional 5 points to an application that meets Competitive Preference Priority 3. The maximum number of competitive preference points an application can receive for this competition is 15.

These priorities are:

Competitive Preference Priority 1--Turning Around Persistently Lowest-Achieving Schools (5 points).

Under this priority, we give competitive preference to projects that are designed to address one or more of the following priority areas:

(a) Improving student achievement (as defined in this notice) in persistently lowest-achieving schools (as defined in this notice).

(b) Increasing graduation rates (as defined in this notice) and college enrollment rates for students in

persistently lowest-achieving schools (as defined in this notice).

(c) Providing services to students enrolled in persistently lowest-achieving schools (as defined in this notice).

Note: For the purposes of this priority, the Department considers a school to be a "persistently lowest-achieving school" if it: (1) meets the definition of a Tier I or Tier II school under the School Improvement Grants (SIG) program (see 75 FR 66363), or (2) for States that have received approval of their ESEA Flexibility requests, is a priority school identified by a State educational agency (SEA) in the SEA's most recent State SIG application for a new awards competition. The State SIG applications and a list of these schools can be found on the Department's Web site at <http://www2.ed.gov/programs/sif/index.html>.

Competitive Preference Priority 2--Technology (5 points).

Under this priority, we give competitive preference to projects that are designed to improve student achievement (as defined in this notice) or teacher effectiveness through the use of high-quality digital tools or materials, which may include preparing teachers to use the technology to improve instruction, as well as developing, implementing, or evaluating digital tools or materials.

Competitive Preference Priority 3--Improving Early Learning Outcomes (5 points).

Under this priority, we give competitive preference to projects that are designed to improve school readiness and success for high-need children (as defined in this notice) from birth through 3rd grade (or for any age group of high-need children within this range) through a focus on language and literacy development.

Competitive Preference Priority 4--Serving Rural LEAs (5 points).

To meet this priority, an applicant must propose a project designed to provide high-quality literacy programming, or distribute books, or both, to students served by a rural LEA (as defined in this notice).

Definitions: Some of the definitions in this notice are from the notice of final supplemental priorities and definitions for discretionary grant programs, published in the Federal Register on December 15, 2010 (75 FR 78486) and corrected on May 12, 2011 (76 FR 27637); those are identified at the end of the definition. The definitions of evidence of promise, logic model, preschool, and strong theory are from 34 CFR 77.1. Definitions without a citation are from the notice of final priorities, requirement, and definitions published elsewhere in this issue of the Federal Register.

College- and career-ready standards means content standards for kindergarten through 12th grade that build towards college and career readiness by the time of high school graduation. A State's college- and career-ready standards must be either (1) standards that are common to a significant number of States; or (2) standards that are approved by a State network of institutions of higher education, which must certify that students who meet the standards will not need remedial course work at the postsecondary level.

Comprehensive statewide literacy plan means a plan (which may be a component or modification of the plan submitted under the Striving Readers Comprehensive Literacy formula grant program, CFDA 84.371B) that addresses the literacy and language needs of children from birth through 12th grade, including English learners and students with disabilities; aligns literacy policies, resources, and practices; contains clear instructional goals; and sets high expectations for all students and student subgroups.

Evidence of promise means there is empirical evidence to support the theoretical linkage(s) between at least one critical component and at least one relevant outcome presented in the logic model for the proposed process, product, strategy, or practice. Specifically, evidence of promise means the conditions in paragraphs (i) and (ii) of this section are met:

(i) There is at least one study that is a--

(A) Correlational study with statistical controls for selection bias;

(B) Quasi-experimental study that meets the What Works Clearinghouse Evidence Standards with reservations;<sup>1</sup> or

(C) Randomized controlled trial that meets the What Works Clearinghouse Evidence Standards with or without reservations.<sup>2</sup>

(ii) The study referenced in paragraph (a) found a statistically significant or substantively important (defined as a difference of 0.25 standard deviations or larger), favorable association between at least one critical component and one relevant outcome presented in the logic model for the proposed process, product, strategy, or practice. (34 CFR 77.1(c))

Graduation rate means a four-year adjusted cohort graduation rate consistent with 34 CFR 200.19(b)(1) and may also include an extended-year adjusted cohort graduation rate consistent with 34 CFR 200.19(b)(1)(v) if the State in which the proposed project is implemented has been approved by the Secretary to use such a rate under Title I of the ESEA. (76 FR 27640)

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<sup>1</sup> *What Works Clearinghouse Procedures and Standards Handbook (Version 3.0, March 2014)*, which can currently be found at the following link: <http://ies.ed.gov/ncee/wwc/DocumentSum.aspx?sid=19>.

<sup>2</sup> *What Works Clearinghouse Procedures and Standards Handbook (Version 3.0, March 2014)*, which can currently be found at the following link: <http://ies.ed.gov/ncee/wwc/DocumentSum.aspx?sid=19>.

High-need children and high-need students means children and students at risk of educational failure, such as children and students who are living in poverty, who are English learners, who are far below grade level or who are not on track to becoming college- or career-ready by graduation, who have left school or college before receiving, respectively, a regular high school diploma or a college degree or certificate, who are at risk of not graduating with a diploma on time, who are homeless, who are in foster care, who are pregnant or parenting teenagers, who have been incarcerated, who are new immigrants, who are migrant, or who have disabilities. (76 FR 27640)

High-need local educational agency (High-need LEA) means--

(i) Except for LEAs referenced in paragraph (ii), an LEA in which at least 25 percent of the students aged 5-17 in the school attendance area of the LEA are from families with incomes below the poverty line, based on data from the U.S. Census Bureau's Small Area Income and Poverty Estimates for school districts for the most recent income year (Census list).

(ii) For an LEA that is not included on the Census list, such as a charter school LEA, an LEA for which the State educational agency (SEA) determines, consistent with the manner described under section 1124(c) of the ESEA in which the SEA determines an LEA's eligibility for Title I allocations, that 25 percent of the students aged 5-17 in the LEA are from families

with incomes below the poverty line.

Note: The Census list is posted on the Department's Web site at: <http://www2.ed.gov/programs/ial/eligibility.html>.

Logic model (also referred to as theory of action) means a well-specified conceptual framework that identifies key components of the proposed process, product, strategy, or practice (i.e., the active "ingredients" that are hypothesized to be critical to achieving the relevant outcomes) and describes the relationships among the key components and outcomes, theoretically and operationally. (34 CFR 77.1(c))

National not-for-profit (NNP) organization means an agency, organization, or institution owned and operated by one or more corporations or associations whose net earnings do not benefit, and cannot lawfully benefit, any private shareholder or entity. In addition, it means, for the purposes of this program, an organization of national scope that is supported by staff or affiliates at the State and local levels, who may include volunteers, and that has a demonstrated history of effectively developing and implementing literacy activities.

Note: A local affiliate of an NNP does not meet the definition of NNP. Only a national agency, organization, or institution is eligible to apply as an NNP.

Persistently lowest-achieving schools means, as determined by the State: (i) any Title I school in improvement, corrective

action, or restructuring that (a) is among the lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring or the lowest-achieving five Title I schools in improvement, corrective action, or restructuring in the State, whichever number of schools is greater; or (b) is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years; and (ii) any secondary school that is eligible for, but does not receive, Title I funds that: (a) is among the lowest-achieving five percent of secondary schools or the lowest-achieving five secondary schools in the State that are eligible for, but do not receive, Title I funds, whichever number of schools is greater; or (b) is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years.

To identify the persistently lowest-achieving schools, a State must take into account both: (i) the academic achievement of the "all students" group in a school in terms of proficiency on the State's assessments under section 1111(b)(3) of the ESEA in reading/language arts and mathematics combined; and (ii) the school's lack of progress on those assessments over a number of years in the "all students" group. (76 FR 27640)

Preschool means the educational level from a child's birth to the time at which the State provides elementary education.

(34 CFR 77.1)

Rural local educational agency (Rural LEA) means an LEA that is eligible under the Small Rural School Achievement program (SRSA) or the Rural and Low-Income School (RLIS) program authorized under Title VI, Part B of the ESEA at the time of application.

Note: Eligible applicants may determine whether a particular LEA is eligible for these programs by referring to information on the Department's Web site at:

<http://www2.ed.gov/nclb/freedom/local/reap.html>.

Strong theory means a rationale for the proposed process, product, strategy, or practice that includes a logic model. (34 CFR 77.1(c))

Student achievement means--

(a) For tested grades and subjects: (1) a student's score on the State's assessments under the ESEA; and, as appropriate, (2) other measures of student learning, such as those described in paragraph (b) of this definition, provided they are rigorous and comparable across schools.

(b) For non-tested grades and subjects: alternative measures of student learning and performance, such as student scores on pre-tests and end-of-course tests; student performance

on English language proficiency assessments; and other measures of student achievement that are rigorous and comparable across schools. (76 FR 27641)

Universal design for learning (UDL) means a scientifically valid framework for guiding educational practice that (i) provides flexibility in the ways information is presented, in the ways students respond or demonstrate knowledge and skills, and in the ways students are engaged; and (ii) reduces barriers in instruction, provides appropriate accommodations, supports, and challenges, and maintains high achievement expectations for all students, including students with disabilities and students who are English learners.

Program Authority: 20 U.S.C. 7243-7243b.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 97, 98, and 99. (b) The Education Department debarment and suspension regulations in 2 CFR part 3485. (c) The notice of final supplemental priorities and definitions for discretionary grant programs, published in the Federal Register on December 15, 2010 (75 FR 78486), and corrected on May 12, 2011 (76 FR 27637). (d) The notice of final priorities, requirement, and definitions published elsewhere in this issue of the Federal Register.

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: \$24,341,646.

Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2015 from the list of unfunded applicants from this competition.

Estimated Range of Awards to LEAs and Consortia of LEAs:

\$150,000 to \$750,000.

Estimated Average Size of Awards: \$500,000.

Estimated Number of Awards: 30.

Estimated Range of Awards to NNPs, Consortia of NNPs, and

Consortia of NNPs and LEAs: \$3,000,000 to \$14,000,000.

Estimated Average Size of Awards: \$4,500,000.

Estimated Number of Awards: 1-4.

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

Project Period: Up to 24 months.

## III. Eligibility Information

1. Eligible Applicants: To be considered for an award under this competition, an applicant must:

(a) Be one of the following:

(1) A high-need LEA (as defined in this notice);

(2) An NNP (as defined in this notice) that serves children and students within the attendance boundaries of one or more high-need LEAs;

(3) A consortium of NNPs that serves children and students within the attendance boundaries of one or more high-need LEAs;

(4) A consortium of high-need LEAs; or

(5) A consortium of one or more high-need LEAs and one or more NNPs that serve children and students within the attendance boundaries of one or more high-need LEAs.

(b) Coordinate with school libraries in developing project proposals.

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

#### IV. Application and Submission Information

1. Address to Request Application Package: You can obtain an application package via the Internet or by requesting a copy from the program office. To obtain a copy via the Internet, use the following address:

<http://www2.ed.gov/programs/innovapproaches->

[literacy/applicant.html](http://www2.ed.gov/programs/innovapproaches-literacy/applicant.html). To obtain a copy from the program

office, write, call, or send an email to the following person:

Melvin Graham, U.S. Department of Education, 400 Maryland

Avenue, SW., room 3E334, Washington, DC 20202-6200. Telephone:

(202) 260-8268 or by email: [melvin.graham@ed.gov](mailto:melvin.graham@ed.gov).

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 persons listed under Accessible Format in section VIII of this notice.

2. a. 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 Limit: The application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the application narrative to no more than 25 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 be not accepted.

The page limit does not apply to the cover sheet; eligibility information; the budget section, including the narrative budget justification; the assurances and certifications; or the one-page abstract, the resumes, the bibliography, the logic model, or the letters of support. However, the page limit does apply to all of the application narrative section.

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

Note: The applicant should include, as an attachment, the logic model used to address paragraph (d)(ii) of the Absolute Priority.

b. Submission of Proprietary Information:

Given the types of projects that may be proposed in applications for the IAL program, an application may include business information that the applicant considers proprietary. The Department's regulations define "business information" in 34 CFR 5.11.

Because we plan to make successful applications available to the public, you may wish to request confidentiality of business information.

Consistent with Executive Order 12600, please designate in your application any information that you feel is exempt from disclosure under Exemption 4 of the Freedom of Information Act. In the appropriate Appendix section of your application, under "Other Attachments Form," please list the page number or numbers on which we can find this information. For additional information please see 34 CFR 5.11(c).

3. Submission Dates and Times:

Applications Available: [INSERT DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Transmittal of Applications: [INSERT DATE 30 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

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: [INSERT DATE 90 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

4. Intergovernmental Review: This competition 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 2-5 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 through Grants.gov and before you can submit an application in 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 [www.SAM.gov](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](http://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.

Applications for grants under the Innovative Approaches to Literacy Program, CFDA number 84.215G, must be submitted electronically using the Governmentwide Grants.gov Apply site at [www.Grants.gov](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 the IAL program at [www.Grants.gov](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 84.215, not 84.215G).

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 [www.G5.gov](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.

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: Melvin Graham, U.S. Department of Education, 400 Maryland Avenue, SW., room

3E334, Washington, DC 20202-6200. Telephone: (202) 260-8268  
or by email: melvin.graham@ed.gov.

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 84.215G)  
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 84.215G)  
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 program are from 34 CFR 75.210 and are listed in the following paragraphs. The maximum score for all criteria is 100 points. The maximum possible score for each criterion is indicated in parentheses.

(a) Significance (10 points). The Secretary considers the significance of the proposed project. In determining the significance of the proposed project, the Secretary considers the following factors:

(i) The extent to which the proposed project is likely to build local capacity to provide, improve, or expand services that address the needs of the target population. (5 points)

(ii) The extent to which the proposed project involves the development or demonstration of promising new strategies that build on, or are alternatives to, existing strategies. (5 points)

(b) Quality of the project design (20 points). The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers the following factors:

(i) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable. (5 points)

(ii) The extent to which the proposed project will establish linkages with other appropriate agencies and organizations providing services to the target population. (5 points)

(iii) The extent to which the proposed project is part of a comprehensive effort to improve teaching and learning and support rigorous academic standards for students. (5 points)

(iv) The extent to which performance feedback and continuous improvement are integral to the design of the proposed project. (5 points)

(c) Quality of project services (25 points). The Secretary considers the quality of the services to be provided by the proposed project. In determining the quality of the services to be provided by the proposed project, the Secretary considers the following factors:

(i) The quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. (10 points)

(ii) The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services. (10 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 practice among the recipients of those services. (5 points)

(d) Adequacy of resources (10 points). The Secretary considers the adequacy of resources for the proposed project. In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:

(i) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project. (5 points)

(ii) The extent to which the costs are reasonable in relation to the number of persons to be served and to the anticipated results and benefits. (5 points)

(e) Quality of the management plan (20 points). The Secretary considers the quality of the management plan for the proposed project. In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

(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 mechanisms for ensuring high-quality products and services from the proposed project. (5 points)

(iii) The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project. (5 points)

(f) Quality of the project evaluation (15 points). The Secretary considers the quality of the evaluation to be conducted of the proposed project. In determining the quality

of the evaluation, the Secretary considers the following factors:

(i) The extent to which the methods of evaluation will, if well-implemented, produce evidence of promise (as defined). (10 points)

(ii) 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).

The Secretary reserves the right to fund a sufficient number of high-quality literacy and book distribution projects to ensure that no less than 50 percent of IAL funds go to applications from LEAs (on behalf of school libraries).

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

#### VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN); 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](http://www.ed.gov/fund/grant/apply/appforms/appforms.html).

4. Performance Measures: Under the Government Performance and Results Act of 1993 (GPRA), the Department has developed the following performance measures for measuring the overall effectiveness of the IAL program. (1) The percentage of four-

year-old children participating in the project who achieve significant gains in oral language skills. (2) The percentage of participating 3rd-grade students who meet or exceed proficiency on State reading or language arts assessments under section 1111(b)(3) of the ESEA. (3) The percentage of participating 8th-grade students who meet or exceed proficiency on State reading or language arts assessments under section 1111(b)(3) of the ESEA. (4) The percentage of participating high school students who meet or exceed proficiency on State reading or language arts assessments under section 1111(b)(3) of the ESEA.

All grantees will be expected to submit an annual performance report that includes data addressing these performance measures, to the extent that they apply to the grantee's project. For example, a grantee that proposes to improve the quality of school library services for high school students would only be required to report data for measure 4.

5. Continuation Awards: In making a continuation award, the Secretary may consider, under 34 CFR 75.253, the extent to which a grantee has made "substantial progress toward meeting the objectives in its approved application." This consideration includes the review of a grantee's progress in meeting the targets and projected outcomes in its approved application, and whether the grantee has expended funds in a manner that is consistent with its approved application and budget. In 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: Melvin Graham, U.S. Department of Education, 400 Maryland Avenue, SW., room 3E334, Washington, DC 20202-6200. Telephone: (202) 260-8268 or by email: melvin.graham@ed.gov.

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

#### VIII. Other Information

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

Electronic Access to This Document: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available via

the Federal Digital System at: [www.gpo.gov/fdsys](http://www.gpo.gov/fdsys). At this site you can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF). To use PDF you must have Adobe Acrobat Reader, which is available free at the site.

You may also access documents of the Department published in the Federal Register by using the article search feature at: [www.federalregister.gov](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:

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Deborah S. Delisle,  
Assistant Secretary for Elementary and  
Secondary Education.

## ***Program Statute***

The IAL program is carried out under the legislative authority of the Fund for Improvement of Education (FIE), Title V, Part D, Subpart 1, Sections 5411 through 5413 of the Elementary and Secondary Education Act of 1965, as amended (ESEA) (20 U.S.C. 7243–7243b).

Under the Consolidated Appropriations Act, 2014 and subject to the submission of sufficient applications that meet the requirements of this notice, the Department expects to award no less than 50 percent of FY 2014 funds to applications from LEAs (on behalf of school libraries) for high-quality school library projects that increase access to a wide range of literacy resources (either print or electronic) and provide learning opportunities to all students.