

Archived Information

INVESTING IN INNOVATION FUND (i3)

Submitting your i3 Application A Resource for Applicants

This resource for applicants provides helpful tips that may facilitate the completion and submission of your i3 application. We also strongly encourage you to visit the i3 website at <http://www2.ed.gov/programs/innovation/index.html> for updated FAQs and additional resources you may find useful. Please note that all of the information provided in this document has been previously provided in other publicly available documents.

1) Important Reminders

- a. All i3 applications are due no later than 4:30:00 p.m. (DC time) on Wednesday, May 12, 2010.
- b. **IMPORTANT UPDATES:**
 - i. The Department has changed the deadline for application submission from May 11, 2010 to May 12, 2010. See the revised application package available on the Department's website at <http://www2.ed.gov/programs/innovation/applicant.html>. **Applicants are strongly encouraged to visit the i3 website and download the revised application package.**
 - ii. The Department updated the i3 Applicant Information Sheet to make it more user-friendly. The updated sheet is available on the i3 website. **Applicants must visit the i3 website, download the revised i3 Applicant Information Sheet, and submit the revised form with their application.**
- c. All i3 grant applications **MUST** be submitted electronically via **e-Application (e-Apps)**.
Note: If this is the first time an applicant is using e-Apps, the applicant must register with e-Apps in advance to create a user profile and password.
Note: i3 applications CANNOT be submitted via Grants.gov.
- d. Visit the i3 website to review updated FAQs and other available resources, including the Notice Inviting Applications (NIA) and revised i3 application package.

2) Helpful Terms

- a. **e-Apps** is the Department's online system that applicants must use to submit the i3 grant application. It is a part of the e-Grants system, and can be found at: <http://e-grants.ed.gov>.
- b. All federal grant applicants must provide a **D-U-N-S number** in their applications. A D-U-N-S number is a unique 9 digit number that identifies the organization. Check with your fiscal office to see if your organization already has a D-U-N-S number. If NOT, contact Dun & Bradstreet at 1-888-814-1435 or http://www.dnb.com/US/duns_update/index.html.

3) i3 Application Narrative

- a. The i3 application package provides instructions for preparing the Application Narrative.

Note: *In addition, many of the i3 FAQs provide information relevant to the i3 Application Narrative.*

- i. The i3 Application Narrative has four parts:
1. ED Abstract Narrative (i.e., one-page project abstract),
 2. Project Narrative,
 3. Budget Narrative, and
 4. Appendix.

Note: *Applicants are strongly encouraged to limit the Project Narrative to the following page limits: 50 pages for Scale-up grants, 35 pages for Validation grants, and 25 pages for Development grants.*

Note: *Applicants are strongly encouraged to follow the formatting standards provided on page 12078 (right column) of the NIA when completing their i3 applications. Although an application that does not conform to these standards will not be disqualified from funding (see L-10 of the i3 FAQs), applicants are encouraged to format their applications in ways that will result in ease of readability for peer reviewers who will be scoring the applications against the selection criteria and, if applicable, the competitive preference priorities (see L-8 and L-9 of the i3 FAQs).*

Note: *Peer reviewers are prohibited from using information that is not provided in the application when reviewing applications. Thus, reviewers will not access web links included in applications, as this could constitute outside information.*

4) i3 Appendix

- a. The Department has not established formatting standards or page limits for appendices. However, applicants are strongly encouraged not to include lengthy appendices.

- b. The i3 Appendix (one of the four parts of the i3 Application Narrative) must be structured as follows:

- i. Appendix A: Download the applicable *Eligibility Checklist* from the i3 website. Complete, save, and upload at time of submission.

Note: *Applicants applying under section 14007(a)(1)(A) of the ARRA must use the i3 LEA Eligibility Checklist. Applicants applying under section 14007(a)(1)(B) of the ARRA must use the i3 Partnership Eligibility Checklist.*

Note: *An eligible applicant that is a partnership between a non-profit organization and (a) one or more LEAs or (b) a consortium of schools (under section 14007(a)(1)(B) of the ARRA) should provide evidence of its partnership in Appendix A following its Eligibility Checklist (see B-17 of the FAQs).*

- ii. Appendix B: Upload Nonprofit or Charter school status verification, if applicable.
Note: *This is not a form.*
- iii. Appendix C: Merge all résumés into a single Microsoft Word Document (.doc), Adobe Portable Document Format (.pdf), or Rich Text Format (.rtf) and upload the merged document into the application Appendix via e-Apps at time of submission.
- iv. Appendix D: Merge all letters of support and/or MOUs into a single Microsoft Word Document (.doc), Adobe Portable Document Format (.pdf), or Rich Text Format (.rtf) and upload the merged document into the application Appendix via e-Apps at time of submission, if applicable.

Note: Letters of support will be considered only if they are included in the application submitted via e-Apps. Letters of support that are mailed to the Department and not included in the application submitted via e-Apps will not be considered by peer reviewers (see M-9 of the FAQs).

- v. **Appendix E:** Upload request to reduce the 20 percent Private-Sector Match Requirement, if applicable.

Note: This is not a form (see E-14 of the FAQs).

- vi. **Appendix F:** Download updated *i3 Applicant Information Sheet* from the i3 website. Complete, save, and upload at time of submission.

Note: Applicants must identify both official and other partners that are in place at the time of application submission, the activities these partners will perform in support of the proposed project, and the funds requested to support these partner's activities.

- vii. **Appendix G:** If applicable, upload a list of the proprietary information that is referenced in your application noting the page numbers in the application where the information can be found.

Note: This is not a form. For additional information, see "Submission of Proprietary Information" of section IV (Application Submission Information) on page 12078 of the NIA.

- viii. **Appendix H:** Upload any other documents or materials that you feel necessary to support your i3 application.

- c. There are **two** required i3 Program Forms:

- i. **Eligibility Checklist (Appendix A)**

Note: Applicants applying under section 14007(a)(1)(A) of the ARRA must use the *i3 LEA Eligibility Checklist*. Applicants applying under section 14007(a)(1)(B) of the ARRA must use the *i3 Partnership Eligibility Checklist*.

- ii. **i3 Applicant Information Sheet (Appendix F)**

- iii. Both required Program Forms must be downloaded from the i3 website at <http://www2.ed.gov/programs/innovation/applicant.html>, completed, and then uploaded into the application Appendix via e-Apps (as noted above).

5) Additional Tips

a. e-Apps

- i. **While logged into e-Apps, applicants must "add" the i3 grant application**

Note: For Scale-up grant applications, add 84.396A. For Validation grant applications, add 84.396B. For Development grant applications, add 84.396C.

Note: If an applicant intends to submit more than one i3 grant application, the applicant will need to "add" an i3 grant application for each individual application it intends to submit.

Note: If an applicant wants to delete an application from its start page in e-Apps then the applicant may delete the application by opening it and selecting "Delete the Application" under Application Management.

- ii. **Remember the Closing Date and Time:** May 12, 2010, 4:30:00 PM (DC time). Submit **early** to avoid any last-minute e-Apps complications on May 12, 2010. The e-Apps system will not accept i3 applications received after May 12, 2010, 4:30:00 PM, DC time.

Note: Users may un-submit, make the necessary changes, then resubmit an application at any time before May 12, 2010, 4:30:00 PM, (DC Time).

Note: e-Apps Hours of Operation (DC Time) to receive applications are: Sunday, 12:00AM–8:00PM; Monday, 6:00AM–12AM; Tuesday, available entire 24 hours; Wednesday, 12:00AM–

7:00PM; Thursday, 6:00AM–12:00AM; Friday, available entire 24 hours; and Saturday, available entire 24 hours.

iii. **8 Forms are already loaded in e-Apps under *Application Forms*:**

Note: Applicants must complete these forms in e-Apps; however, the instructions for these forms are provided in the i3 application package.

1. ED Standard Form 424 (SF 424)
2. ED Standard Form 524 (SF 524)
3. Assurances – Non-Construction Programs (SF 424B)

Note: For instructions related to human subjects, see the definitions and instructions for the Department of Education Supplemental Information for SF 424 (i.e., SF 424B) in the i3 application package.

4. Disclosure of Lobbying Activities, if applicable
5. Certification Regarding Lobbying (ED 80-0013)
6. 427 GEPA
7. Department of Education Supplemental Information for SF 424
8. Survey on Ensuring Equal Opportunity for Applicants (located at the bottom of the list under Budget Narrative)

Note: The application for Validation grants on e-Apps does not include the Survey on Ensuring Equal Opportunity for Applicants; however, this will not prevent an applicant from submitting its application and Validation grant applicants need not complete the Survey on Ensuring Equal Opportunity for Applicants at the time of application submission.

- iv. Each uploaded document cannot be larger than 8 MB, and all uploaded documents must be Microsoft Word Document Format (.doc), Adobe Portable Document Format (.pdf), or Rich Text Format (.rtf)., NOT .docx.
- v. e-Apps is viewed best in Internet Explorer (IE) 5. However, it also supports Netscape 6.2, Firefox 2.2, and older versions of IE, Netscape, and Firefox. e-Apps is also MAC compatible and supports Safari. Please make sure that you have Cookies and JavaScript enabled in your browser.
- vi. For additional help on e-Apps:
 1. Contact the e-Apps help desk at edcaps.user@ed.gov or (888)-336-8930, Monday – Friday, 8AM – 6 PM (DC Time).
 2. Make use of e-Apps tutorials and online resources. These include:
 - a. e-Application User Guide;
 - b. e-Application Demos; and
 - c. 9 Steps to Prepare an e-Application.

b. **Completing the SF 424**

- i. Instructions for completing the SF 424 are available in the i3 application package.
- ii. **Applicant Identifier (Question 4):** Not applicable to the i3 program, leave blank.
- iii. **Federal Entity Identifier (Question 5a):** Not applicable to the i3 program, leave blank.
- iv. **Federal Award Identifier (Question 5b):** Not applicable to the i3 program, insert “N/A.”
- v. **Applicant Name (Question 8):** This is the name of the organization (or entity) applying, not the name of the individual preparing or submitting the grant.

Program Contact (Question 8f) is usually the Project Director, or the name of the individual submitting the application.

Note: An applicant may choose to have co-project directors; however, the applicant must identify one individual as the program contact in the application.

- vi. **Type of Applicant (Question 9):** If an applicant does not identify with one of the options provided in Question 9, the applicant should select “X. Other” and identify itself (i.e., an LEA).
 - vii. **CFDA Number and Title (Question 11)** – see A-16 of the i3 FAQs.
 - viii. **Funding Opportunity Number and Title (Question 12)** – see A-17 of the i3 FAQs.
 - ix. **Competition Identification Number (Question 13)** – see A-18 of the i3 FAQs.
 - x. **Congressional Districts of (Questions 16a and 16b)** – see Instructions for Application for Federal Assistance (SF 424). For applicants that reside in the Washington, D.C. or are proposing to implement a project in Washington, D.C., insert DC-01.
- c. **Completing the SF 524**
- i. Instructions for completing the SF 524 are available in the i3 application package.
 - ii. Section A – Budget Summary U.S. Department of Education Funds – must include a list of the Federal funds the applicant is requesting for the proposed project by budget category and by project year. An applicant should include any procurements (i.e., contracts) in line 6, Contractual. An applicant should include any subgrants in line 8, Other.
Note: Applicants should request the amount of funds necessary for their proposed projects. Applicants are not required to request the same amount of funds for each year of the proposed project (i.e., applicants may budget different amounts for each year of the proposed project).
Note: Applicants should include costs for four project staff to attend a 2-day project directors’ meeting in Washington, DC. As this meeting may occur annually, applicants should include these costs in each year of its proposed budget.
 - iii. Section B – Budget Summary Non-Federal Funds – should include matching funds and other non-Federal resources contributed to the project.
Note: An applicant is not required to submit evidence of the 20 percent private-sector match at the time of application submission (see E-3 and E-4 of the i3 FAQs).
 - iv. Section C – Budget Narrative – must provide an itemized breakdown and justification by project year for each budget category listed in Section A for the Federal funds requested, including any procurements or subgrants. An applicant should provide a description of the sources and uses of the matching and non-Federal funds.
 - v. Sections A and B are already uploaded in e-Apps under *Application Forms*; however, an applicant must upload Section C – Budget Narrative. To do this, the applicant will select *Budget Narrative* under *Application Forms* and receive a prompt to browse and upload its budget narrative.
 - vi. For questions related to procurement (i.e., contracting) rules and indirect costs, see N. Allowable Use of Funds of the i3 FAQs.

6) Application Submission

- a. On the "Submit" page, click "Ready to Submit."
Note: *e-Apps will alert applicants if any of the Application Forms are not marked as "completed."*
- b. Complete the authorized representative fields.
Note: *The Authorizing Representative is an individual with the legal authority to commit an organization into legally binding agreements.*
- c. Click "Submit."
Note: *Due to volume and to avoid complications with the e-Apps system, applicants are strongly encouraged to submit early. An application will not begin processing until the applicant clicks "submit."*
- d. Wait for a unique PR/Award number to be assigned to your grant [(U396(A,B,C)10_ _ _)].
- e. Print the confirmation submission that is generated with your unique PR/Award number.
Note: *A duplicate copy of the confirmation will be sent to the e-mail address that was provided by the individual submitting the application.*
- f. Print, sign, and fax the SF 424 Cover Sheet to the Application Control Center at **(202) 245-6272** within 3 days of submission. Remember to include the system-generated PR/Award Number in the upper right hand corner of the form [(U396(A,B,C)10_ _ _)].