

**U.S. Department of Education
Office of Elementary and Secondary Education
Office of Safe and Healthy Students
Washington, D.C. 20202**

Fiscal Year 2018

**Application for New Grants Under the Grants to
States for School Emergency Management Program
CFDA 84.184Q**



Dated Material - Open Immediately

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If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Hamed Negron-Perez, Office of Safe and Healthy Students, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3C130, Washington, D.C.

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United States Department of Education
OFFICE OF ELEMENTARY AND SECONDARY EDUCATION

Dear Colleague:

Thank you for your interest in the Grants to States for School Emergency Management Grant Program, administered by the Office of Elementary and Secondary Education of the U.S. Department of Education (Department). The Grants to States for School Emergency Management Grant Program provides competitive grants to State educational agencies (SEAs) to expand the capacity of SEAs to provide training and technical assistance to local educational agencies (LEAs).

This competition has one priority. We consider only applications for the Grants to States for School Emergency Management Grant Program that meet the absolute priority described in the notice inviting applications published in the [Federal Register](#) on August 2, 2018. Under the absolute priority, SEAs must expand their capacity to assist LEAs in the development and implementation of high-quality school EOPs.

Please note that the application deadline for this grant is September 4, 2018. Please also take the time to review the absolute priority, requirements, selection criteria, and all of the application instructions thoroughly. And, as part of a broader effort to reduce barriers for applicants seeking funds under a Department of Education (Department) discretionary grant competition, the Department has issued a set of Common Instructions for Applicants available at <https://www.gpo.gov/fdsys/pkg/FR-2018-02-12/pdf/2018-02558.pdf> and also in this application package. 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 Department's e-Application System within the G5 grant portal.

Using FY 2018 funds, the Department expects to award \$8,000,000 for new grants under this competition. We will award discretionary grants on a competitive basis for a project period of up to 60 months. Grants are expected to be awarded by September 30, 2018.

Please visit our program website at the Department of Education for further information on the [Grants to States for School Emergency Management Program Page](#). If you have any questions about the program after reviewing the application package, please contact Hamed Negron-Perez by telephone at (202) 453-6725 or via e-mail at hamed.negron-perez@ed.gov.

Paul Kesner, Director
Office of Safe and Healthy Students

Program Background Information

Program Overview

The GSEM program provides grants to State educational agencies (SEAs) to increase their capacity to assist local educational agencies (LEAs) by providing training and technical assistance in the development and implementation of high-quality school emergency operations plans (EOPs), as defined in this notice.

Authority

This grant program is authorized under Title IV, part F, subpart 3 of the ESEA (20 U.S.C. 7281).

Official Documents Notice

The official document governing this competition is the Notice Inviting Applications (NIA) published in the Federal Register on August 4, 2018. (See Legal and Regulatory Documents of this application package). The NIA is also available electronically at the following Web sites: www.FederalRegister.gov and www.gpo.gov.

Eligible Applicants

This grant competition limits eligibility to State educational agencies (SEAs). Eligible applicants include SEAs in the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the United States Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Federated States of Micronesia, and the Republic of the Marshall Islands. Eligible applicants may collaborate informally or contract with other agencies to provide services to LEAs, including agencies such as:

- A State school safety center;
- The State emergency management agency; and
- The State homeland security department.

Competition Priorities

Priorities

We are establishing these priorities for the FY 2018 grant competition and any subsequent year in which we make awards from the list of unfunded applications from this competition, in accordance with section 437(d)(1) of the General Education Provisions Act (GEPA), 20 U.S.C. 1232(d)(1).

Absolute Priority: This priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this priority.

This priority is:

Projects that expand the capacity of SEAs to provide training and technical assistance to LEAs.

Projects to increase the long-term internal capacity of SEAs to provide training and technical assistance to LEAs for the development and implementation of high-quality school EOPs.

Competitive Preference Priorities (CPPs): For FY 2018 and any subsequent year in which we make awards from the list of unfunded applications from this competition, this priority is a competitive preference priority. Under 34 CFR 75.105(c)(2)(1) we award an additional 5 points to an application that meets this priority.

Competitive Preference Priority

Applications from SEAs that have not previously received a grant under the GSEM program.

Projects proposed by applicants that have not previously received a grant under this program. A list of former recipients of this grant may be found at <https://www2.ed.gov/programs/schlemergmt-sea/2014awards.html>.

Program Contact

Please contact Hamed Negron-Perez by telephone at (202) 453-6725 or via email at Hamed.Negron-Perez@ed.gov after reviewing the application package if you have any questions about the program.

Project Period

The project period for this grant is up to 60 months (5 budget periods of 12 months each).

Note: Continuation of each successive grant period is subject to satisfactory performance, submission of an annual report, and availability of funds.

Grant Award Estimations

We estimate that awards will range annually from \$250,000 to \$750,000. We expect to award 16 grants. We will not make an award exceeding \$750,000 for a single budget period of 12 months.

Application Due Date

Applications must be submitted on or before September 4, 2018. Please note that the Department of Education (Department) grant application deadlines are 4:30:00 P.M. Eastern time.

Late applications will not be accepted.

We strongly suggest that you submit your application several days before the deadline. The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date and time.

Application Submission

Submit applications for grants under the program electronically using *Grants.gov*. For information (including dates and times) about how to submit your application electronically, please refer to the Department's Common Instructions for Applicants to Department of Education Discretionary Grant Programs available at <https://www.gpo.gov/fdsys/pkg/FR-2018-02-12/pdf/2018-02558.pdf> and later in this application package. We do not consider an application that does not comply with the deadline requirements.

Project Director Time Commitment

Applicants are requested to provide the percentage of the Project Director's time that will be dedicated to the grant project if funded. For example, if the Project Director works 40 hours per

week and spends 20 hours per week working on grant activities, then the time commitment for the Project Director would be 50 percent. We suggest that applicants include this information in the budget narrative or add this information to the Project Director line on the Department of Education Supplement to the Standard Form 424.

E-Mail Addresses

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

Application Requirements

Applicants that receive grants under this program must:

- (1) Provide an established point of contact (e.g., person or office) for school emergency management issues and submit that information to the Department no later than the project start date;
- (2) Provide training and technical assistance to LEAs on best practices for developing and implementing school EOPs including, but not limited to, the process described in the “Guide for Developing High-Quality School Emergency Operations Plans”;¹
- (3) Provide training and technical assistance to LEAs on developing or enhancing memoranda of understanding with community partners (e.g., local government, law enforcement, public safety or emergency management, public health, and mental health agencies); and
- (4) Provide training and technical assistance to LEAs on the implementation of the National Incident Management System (NIMS). Information about current NIMS requirements for States may be accessed at: www.fema.gov/national-incident-management-system.

Each application must contain a plan that includes the following:

- (1) Information on:
 - (a) Training, technical assistance, and resources the applicant currently provides to LEAs on emergency management;

¹ Available at: https://rems.ed.gov/docs/REMS_K-12_Guide_508.pdf. Plans must comply with the Americans with Disabilities Act (ADA), among other prohibitions on disability discrimination, across the spectrum of emergency management services, programs, and activities, including preparation, testing, notification and alerts, evacuation, transportation, sheltering, emergency medical care and services, transitioning back, recovery, and repairing and rebuilding. Plans should include students, staff, and parents with disabilities. Among other things, school emergency plans must address the provision of appropriate auxiliary aids and services to ensure effective communication with individuals with disabilities (e.g., interpreters, captioning, and accessible information technology); ensure individuals with disabilities are not separated from service animals and assistive devices, and can receive disability-related assistance throughout emergencies (e.g., assistance with activities of daily living and administration of medications); and comply with the law’s architectural and other requirements. Information and technical assistance about the ADA is available at www.ada.gov.

- (b) The current number of LEAs served; and
 - (c) The proposed number of LEAs, including rural LEAs that might not otherwise have full access to school emergency management training and resources, that would receive training and technical assistance to improve their school EOPs under the applicant's proposal.
 - (d) A description of how the SEA will evaluate the quality of training and TA events administered to their LEAs, which should incorporate feedback from LEAs and other stakeholders (e.g. parents, students, teachers, first-responders, etc.)
- (2) A long-term strategy for improving the applicant's:
- (a) Capacity to provide training and technical assistance to LEAs, including rural LEAs that might not otherwise have full access to school emergency management training and resources; and capacity to address the unique needs of students, staff, and visitors with disabilities and other access and functional needs, including individuals with limited English proficiency.
 - (b) Existing training and technical assistance activities for their LEAs;
 - (c) Catalog of emergency management resources; and
 - (d) Alignment of emergency management training, technical assistance, and resources with emergency management planning at the Federal, State, and local levels.
- (3) A description of a process for the coordination and sustainability of support that will be provided to LEAs so that they can continue to improve their schools' EOPs beyond the period of Federal financial assistance.

Definitions

We are establishing the definitions for “high-quality school emergency operations plan (EOP),” “rural LEA,” “technical assistance,” and “training” in this notice for the FY 2018 grant competition and any subsequent year in which we make awards from the list of unfunded applications from this competition, in accordance with section 437(d)(1) of GEPA, 20 U.S.C. 1232(d)(1). The remaining definitions are from 20 U.S.C. 7801(30), 7801(36), 7801(48), and 7801(49).

These definitions are:

High-Quality School Emergency Operations Plan (EOP) means a comprehensive emergency operations plan that encompasses the five mission areas--(1) prevention, (2) protection, (3) mitigation, (4) response, and (5) recovery--and that is (a) adequate, (b) feasible, (c) acceptable, (d) complete, and (e) compliant.²

² Derived from: (1) Presidential Policy Directive 8, available at www.dhs.gov/presidential-policy-directive-8-national-preparedness; and (2) “Guide for Developing High-Quality Emergency Operations Plans,” available at https://rems.ed.gov/docs/REMS_K-12_Guide_508.pdf.

For the purpose of this definition, the following terms are as defined below:

(1) **Prevention** means the capabilities necessary to avoid, deter, or stop an imminent crime or threatened or actual mass casualty incident. Prevention is also the action schools take to prevent a threatened or actual incident from occurring; and includes those capabilities necessary to avoid, prevent, or stop a threatened or actual act of terrorism, and it includes preventing imminent threats.

(2) **Protection** means the capabilities to secure schools against acts of violence and manmade or natural disasters. Protection focuses on ongoing actions that protect students, teachers, staff, visitors, networks, and property from a threat or hazard.

(3) **Mitigation** means the capabilities necessary to eliminate or reduce the loss of life and property damage by lessening the impact of an event or emergency. It also means reducing the likelihood that threats and hazards will happen.

(4) **Response** means the capabilities necessary to stabilize an emergency once it has already happened or is certain to happen in an unpreventable way; establish a safe and secure environment; save lives and property; and facilitate the transition to recovery.

(5) **Recovery** means the capabilities necessary to assist schools affected by an event or emergency in restoring the learning environment.

(a) **Adequate** means the plan identifies and addresses critical courses of action effectively; the plan can accomplish the assigned function; and the assumptions are valid and reasonable.

(b) **Feasible** means the school can accomplish the assigned function and critical tasks by using available resources within the time contemplated by the plan, and that the plan explains where or how the district and school will obtain the resources to support the execution of a course of action or to meet a requirement established in the plan.

(c) **Acceptable** means the plan meets the requirements driven by a threat or hazard, meets cost and time limitations, and is consistent with the law.

(d) **Complete** means the plan:

(i) Incorporates all courses of action to be accomplished for all selected threats and hazards and identified functions;

(ii) Integrates the needs of the whole school community;

(iii) Provides a complete picture of what should happen, when, and at whose direction;

(iv) Estimates time for achieving objectives, with safety remaining as the utmost priority;

(v) Identifies success criteria and a desired end state; and

(vi) Conforms with the planning principles outlined in the “Guide for Developing High-Quality School Emergency Operations Plans.”

(e) **Compliant** means the plan complies with applicable State and local requirements because these provide a baseline that facilitates both planning and execution.

LEA means a local educational agency as defined by section 8101(30) of the Elementary and Secondary Education Act of 1965, as amended (ESEA) (20 U.S.C. 7801(30)).

Outlying Areas means the United States Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Federated States of Micronesia, and the Republic of the Marshall Islands. (ESEA section 8101(36), 20 U.S.C. 7801(36)).

Rural LEA means an LEA with one of the following district locale codes as assigned by the National Center for Education Statistics' Common Core of Data: Code 33 (Remote Town); Code 41 (Fringe Rural); Code 42 (Distant Rural); and Code 43 (Remote Rural). LEA locale codes may be obtained by searching the Common Core of Data database at: <http://nces.ed.gov/ccd/districtsearch/>.

SEA means a State educational agency as defined by section 8101(49) of the ESEA (20 U.S.C. 7801(49)).

State means any of the 50 States, the District of Columbia, and the Commonwealth of Puerto Rico, and each of the outlying areas as defined in this notice. (ESEA section 8101(48), 20 U.S.C. 7801(48)).

Technical Assistance means consultations, information, referrals, logistical support, and other assistance on specific issues, topics, or problems as requested by the LEAs and other stakeholders. The grantee disseminates materials collected, developed, adapted, and adopted for this assistance. Technical assistance may proceed, follow, or be combined with training activities.

Training means instruction directed toward imparting knowledge, skills, and attitudes supportive of change by engaging, informing, equipping, and motivating trainees toward the development and implementation of action plans responsive to the specific need or circumstances of the trainees. Training may consist of various formats (e.g., workshops, seminars, or computer-assisted tutorials).

Frequently Asked Questions

A. Administrative

A.1 What is the deadline date for this competition?

The competition deadline for the Grants to State educational agencies (SEAs) for School Emergency Management program is September 4, 2018.

A.2 May I get an extension of the deadline date?

Waivers for individual applications failing to meet the deadline will not be granted, regardless of the circumstances. Under very extraordinary circumstances the U.S. Department of Education (Department) may change the closing date for a grant competition. When this occurs, the Department announces such a change in a notice published in the Federal Register.

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 in the notice inviting applications (NIA).

A.3 Do I have to submit my application electronically?

Yes. Unless you qualify for an exception in accordance with the instructions found in Common Instructions for Applicants to Department of Education Discretionary Grant Programs available at <https://www.gpo.gov/fdsys/pkg/FR-2018-02-12/pdf/2018-02558.pdf>, and in this application package, you must submit your application electronically.

A.4 How do I register to submit my grant electronically?

If you are a new user, you will need to register to use Grants.gov. Read the Common Instructions for Applicants to Department of Education Discretionary Grant Programs at <https://www.gpo.gov/fdsys/pkg/FR-2018-02-12/pdf/2018-02558.pdf>.

A.5 How do I submit my application electronically?

Transmit your application by the deadline date and time. When submitting your application electronically, you must use Grants.gov at: www.grants.gov. Unless you qualify for an exception in accordance with the instructions found in Common Instructions for Applicants to Department of Education Discretionary Grant Programs available at <https://www.gpo.gov/fdsys/pkg/FR-2018-02-12/pdf/2018-02558.pdf>, and in this application package, you must submit your application electronically.

A.6 What information do I enter in box 4 Applicant Identifier, box 5a Federal Entity Identifier, and box 5b Federal Award Identifier on the SF-424 form?

These boxes are not applicable for this competition. Please leave boxes 4, 5a, and 5b blank. You may input “NA” in each box, but be sure not to include a slash (i.e., “N/A”); the system will not allow you to input special characters.

A.7 How should I submit forms with signatures?

We *strongly encourage* you to scan and upload signed versions of the forms, in a Portable Document Format (PDF format), to the **Other Attachments Form** section of the application package on Grants.gov or you may fax the signed forms to the Department. These documents may be faxed to the attention of Hamed Negron-Perez at 202-453-6742 and must be received within three days of your application submission.

A.8 Are there any compatibility restrictions?

You must submit your application in a PDF format in order for your application to submit successfully to the Department. If you submit your application in any other format, we will not be able to access your document. 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

A.9 How does the Freedom of Information Act affect my application?

The Freedom of Information Act (FOIA) provides that any person has the right to request access to federal agency records or information. All U.S. Government agencies are required to disclose records upon receiving a written request for them, except for those records that are protected from disclosure by the nine exemptions listed in the FOIA. All applications submitted for funding consideration under this grant competition are subject to the FOIA. The Department’s Freedom of Information website is available at: <http://www2.ed.gov/policy/gen/leg/foia/foiatoc.html>.

A.10 For my General Education Provisions Act (GEPA) 427 statement is it adequate to state that our organization does not discriminate on the basis of race, religion, sex, etc.?

No. An organization’s non-discrimination statement is not sufficient to meet the GEPA requirements. A GEPA statement should outline an entity’s potential barriers and solutions to equal access, specific to the proposed project.

A.11 Is this program covered by Executive Order 12372?

Yes. This means applicants must submit a copy of their application to their State Single Point of Contact for review and upload the transmittal letter in the **Other Attachments Form** section in Grants.gov (refer to page 64). On the application for Federal Assistance

(Standard Form 424), you must check box (a) in item 19 and provide the date on which you made your application available for review. Note that the Department is prohibited from making an award to an entity that has not provided an opportunity for its State to review the application. The only exceptions to this requirement are applicants from States that have chosen not to participate or have indicated they do not wish to review applications from this competition. In either of these cases, applicants should check box (b). Do not check box (c) since this grant program is covered by Executive Order 12372. For more information about this requirement, see the Intergovernmental Review of Federal Programs section in this application package.

A.12 What is required from an applicant whose State Single Point of Contact indicates that they are not reviewing applications for this grant competition?

Applicants should include a copy of such a response from the State Single Point of Contact in their application package submitted to the Department and check the appropriate line on the SF 424 form.

A.13 By what date do applicants have to submit their application to their State Single Point of Contact, if participating?

Applicants must submit their application to the State Single Point of Contact by the deadline date for transmitting their application to the Department.

A.14 What steps should the applicant's Authorized Representative take before signing a grant application?

The standard form that serves as a cover sheet for grant applications includes a certification statement that accompanies the authorized representative's signature. That certification indicates that the information provided in the grant application is true and complete to the best of the authorized representative's knowledge, and that any false, fictitious, or fraudulent statements or claims may subject the authorized representative to administrative, civil, or criminal penalties. As a result, an authorized representative should carefully review a grant application before signing in order to be sure that all of the information contained in the application package is correct. Additionally, an authorized representative should be sure that the application describes a project that has the organization's support and reflects an approach that the organization is committed to implementing.

A.15 What should I include in the "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. The application package shows the "Table of Contents" falling within the "Project Narrative," but the "Table of Contents" should be comprehensive, covering all application content.

B. Eligibility

B.1 Who is eligible to apply?

This grant competition limits eligibility to State educational agencies (SEAs). Eligible applicants include SEAs in the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the United States Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Federated States of Micronesia, and the Republic of the Marshall Islands. Eligible applicants may collaborate informally or contract with other agencies to provide services to LEAs, including agencies such as:

- A State school safety center;
- The State emergency management agency; and
- The State homeland security department.

B.2 Are State school safety centers eligible to apply?

No. Only SEAs (as defined) are eligible applicants. However, as stated in the NIA for this grant program, eligible applicants may collaborate informally or contract with other agencies to provide services to local educational agencies (LEAs), including agencies such as a State school safety center, the State Emergency Management Agency, or the State Homeland Security Department.

C. Priorities

C.1 What priority must all applicants address to be eligible for funding?

Projects that expand the capacity of SEAs to provide training and technical assistance to LEAs.

Projects to increase the long-term internal capacity of SEAs to provide training and technical assistance to LEAs for the development and implementation of high-quality school EOPs.

C.2 What is the balance between building capacity at the State level and providing training and technical assistance to LEAs?

The goal of this grant program is for SEAs to be equipped to assist their LEAs in ensuring schools have high-quality emergency operating plans and are prepared to implement them. Depending on the SEA's current capacity, this grant can support that goal through a balance of two approaches: (1) expand SEA capacity to provide training and technical assistance to LEAs; and (2) provide training and technical assistance to LEAs resulting in the development and implementation of high-quality school emergency management plans. Those States that currently have limited internal capacity must first expand their internal capacity and then use the remaining grant funds to provide training and technical assistance to as many LEAs as possible. Those States that demonstrate current internal capacity (e.g., subject matter experts on staff and comprehensive up-to-date resources), will be expected to focus their grants on providing training and technical assistance to as many LEAs as possible.

D. Requirements

D.1 What Assurances and Certifications are required?

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

- Assurances for Non-Construction Programs (SF 424B Form)
- Disclosure of Lobbying Activities (SF LLL Form)
- Certification Regarding Lobbying (ED 80-0013 Form)
- General Education Provisions Act (GEPA) Requirements – Section 427

For those SEAs that plan to collaborate informally or contract with other State-level agencies, departments, or organizations, signed letters of intent from each State-level entity are required along with the application.

D.2 When must an SEA provide an established point of contact (e.g., person or office) for school emergency management issues and submit that information to the Department?

SEAs must provide an established point of contact (e.g., person or office) for school emergency management issues and submit that information to the Department no later than the project start date. This program requirement can be found on page 6 in the NIA.

D.3 Must an SEA assist LEAs in developing memoranda of understanding (MOUs) with their community partners?

GSEM applicants must provide a training and technical assistance strategy that includes assisting LEAs in developing or enhancing LEA MOUs with their community partners as part of a high-quality EOP. This program requirement can be found on page 6 in the NIA.

D.4 What are the Project Performance Measures for this program?

The Department has established the following performance measures for assessing the effectiveness of the GSEM program:

- The number of training events provided by the GSEM program to assist LEAs in the development and implementation of high-quality school EOPs.
- The extent to which the GSEM program expands the capacity of the SEAs to provide training and technical assistance to LEAs for the development and implementation of high-quality school EOPs

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

D.5 What is the National Incident Management System (NIMS)?

The National Incident Management System (NIMS) identifies concepts and principles that answer how to manage emergencies from preparedness to recovery regardless of their cause, size, location or complexity. NIMS provides a consistent, nationwide approach and vocabulary for multiple agencies or jurisdictions to work together to build, sustain and deliver the core capabilities needed to achieve a secure and resilient nation. Consistent implementation of NIMS provides a solid foundation across jurisdictions and disciplines to ensure effective and integrated preparedness, planning and response. Applicants are required to provide training and technical assistance to LEAs on the implementation of the National Incident Management System (NIMS). Information about current NIMS requirements may be accessed at <http://www.fema.gov/national-incident-management-system>.

E. Program-Specific Questions

E.1 How do applicants demonstrate intent to collaborate informally or contract with other State-level agencies, departments or organizations to provide ongoing services to LEAs?

Applicants that intend to collaborate informally or contract with other State-level entities should consult with them during the development of their application to obtain signed letters of intent to clearly state each entity's specific role and responsibility in carrying out the grant activities and to ensure that efforts are coordinated, sustainable beyond the period of federal funding, and to avoid duplication of effort.

E.2 Will a Memorandum of Understanding (MOU) with one of the State-level partners suffice as a letter of intent?

No. Eligible applicants may collaborate informally or contract with other State-level agencies, departments or organizations to provide services to LEAs, but the signed letter of intent must clearly state each partner's specific role and responsibility in carrying out the grant activities. The agreement must be written specifically for the proposed GSEM project and should identify specific responsibilities in connection to the proposed project. A separate MOU from a previously established relationship will not meet the requirements.

E.3 May applicants coordinate with more than the State-level partners indicated in the NIA for this grant?

Yes. The Department has indicated sample allowable State-level partners in the NIA. Eligible applicants may collaborate informally or contract with other agencies to provide services to LEAs, including agencies such as:

- A State school safety center;
- The State Emergency Management Agency; and
- The State Homeland Security Department.

Additional State-level partners are allowable to help with implementation of this grant (i.e., public health or transportation departments, etc.).

E.4 Are prevention programs (i.e., bullying prevention, suicide prevention, violence prevention, etc.) allowable under the GSEM grant program?

No. Prevention programs are beyond the scope of this grant competition. While we recognize the importance of a comprehensive approach to violence prevention, those activities are not directly related to development of an effective emergency operations plan. Requests for funds to implement a prevention program will not be allowed.

E.5 Are America’s PrepareAthon! activities allowable under this grant?

Yes. Preparedness activities in line with America’s PrepareAthon (www.ready.gov/prepare) are allowable under this grant, to the extent that they serve the purpose of building capacity of SEAs to assist LEAs in the development and implementation of high-quality EOPS.

F. Selection Criteria

F.1 How will applications be reviewed?

The Department will first screen applications to determine which applications should be forwarded to reviewers based on the adequacy of the applications’ response to the absolute priority, and their eligibility.

The Department intends to use non-federal reviewers from various backgrounds and professions with relevant expertise. These reviewers will use their professional judgment to evaluate and score each application based on the selection criteria.

F.2 Will an applicant receive its scores and reviewer comments after the competitions are completed?

Yes. Both funded and unfunded applicants will receive a copy of the technical review form completed by the peer reviewers. Individual reviewer names are deleted from the forms to preserve confidentiality.

F.3 Will the reviewers be asked to read every part of each application?

Yes. Reviewers will be asked to read every part of the application (including the budget narrative, budget forms, and project narrative, among others); however, reviewers will not read any pages of the project narrative that exceed the page limit. For this reason and 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.

G. Budget

G.1 Is there a maximum award amount for this competition?

Yes. We will not fund any budget exceeding the maximum award amount for each eligible applicant as stated in the NIA for this grant.

G.2 What is an indirect cost?

An indirect cost is an expense that you incur that is necessary for implementing the grant, but may be difficult to identify directly with your grant. For example, indirect costs may include money spent for heat, light, rent, telephone, security, accounting, and Internet use.

G.3 Does this program use a restricted or unrestricted indirect cost rate?

This program uses an unrestricted indirect cost rate.

G.4 How do I obtain an unrestricted indirect cost rate?

Your organization may already have a negotiated, unrestricted indirect cost rate with a Federal government agency. If your organization has not negotiated this rate in the past, please contact the Department's Indirect Cost Group at Indirectcostgroup@ed.gov.

G.5 If an applicant intends to charge indirect costs to the grant, what documentation should it submit with its application?

If an applicant has a current indirect cost rate, it should submit a copy of its current indirect cost rate agreement, including its current rate.

If an applicant does not have a current indirect cost rate agreement, applicants should submit a provisional indirect cost rate. Applicants may choose not to submit indirect cost rate information at the time of application; however, in order to charge indirect costs to the grant, this applicant will need to submit an indirect cost rate agreement. The applicant should include any proposed indirect costs in its proposed budget and budget narrative.

G.6 What guidance is available on developing a budget narrative?

For guidance on preparing a budget narrative, please see http://www.ed.gov/admins/grants/apply/techassist/resource_pg8.html.

G.7 If a grantee fails to propose indirect costs in the budget section of the application, may it charge indirect costs to the grant once awarded?

During the Department's budget review process, which occurs prior to grant award, the Department reviews each applicant's requested budget. If the requested budget does not include estimated indirect costs, they will not be included in the budget approved by the Department that forms the basis of the grant award. This means that, after award, a grantee would only have funds with which to charge indirect costs to the grant if the

approved direct costs of the grantee's project for any budget period exceed the grantee's actual direct costs. Where this occurs, the grantee may submit a requested budget revision to the Department program office to use the excess funds budgeted for direct costs to cover its indirect costs.

G.8 If, at the time it receives a grant award, a grantee does not have an approved indirect cost agreement, may it still charge indirect costs to the grant?

A grantee that does not have an indirect cost agreement at the time of application may still be able to charge indirect costs until it receives an approved rate, if the Secretary approves the grantee's request to use a temporary rate of ten percent of budgeted direct salaries and wages. However, after the grant award is issued, the grantee must expeditiously take steps to obtain an indirect cost rate. The grantee should inform the Department that it has taken this step and forward to the Department's program office the indirect cost rate agreement that it eventually obtains.

For additional information about obtaining an approved indirect cost rate or applying for an indirect cost rate, contact the Department's indirect cost group at IndirectCostGroup@ed.gov.

G.9 What are the funding restrictions?

Program funds may be used for costs related to training, technical assistance, and SEA capacity building, in addition to other allowable costs.

G.10 Are applicants required to secure cost sharing or matching funds?

No. Applicants are not required to secure cost sharing or matching funds.

G.11 What is the project and budget period for these grants?

The project period for this grant is up to 60 months (5 budget periods of 12 months each).

Note: Continuation of each successive grant period is subject to satisfactory performance, submission of an annual report, and availability of funds.

G.12 What will be the project start date?

Should you receive a grant, the start date will depend on when funds can be awarded and obligated. September 30, 2018 is the suggested start date; however, the applicant's proposed start date may be slightly modified by mutual agreement by the Department and the grantee

G.13 Must a grantee wait until the start of the initial budget period to begin incurring costs that grant funds will reimburse?

No. GSEM funds are available to reimburse a grantee for pre-award costs that are reasonable, necessary, and otherwise allowable when these costs were incurred within 90 days prior to the beginning of the grant's initial budget period. For instance, a grantee with a budget period start date of October 1 may begin carrying out tasks for the new

project as early as July 1, although it cannot draw down any payments until October 1 when the grant is awarded and the initial budget period has begun.

However, until notified of receipt of a grant award, an applicant bears the risk of committing its own funds to these pre-award obligations. If the applicant is not awarded a GSEM grant, the Department will not reimburse the applicant for any costs incurred in anticipation of a possible grant award.

G.14 What should be included in the budget narrative?

As explained in the application package, an application should include one budget narrative. This narrative should provide a detailed description of how the applicant plans to use its requested grant funds, and should be of sufficient scope and detail for the Department to determine if the costs are necessary, reasonable, and otherwise allowable, and for the reader to understand how the applicant proposes to use Federal and any non-Federal funds to support the proposed project.

For further guidance on Federal cost principles, an applicant may wish to consult the applicable Office of Management and Budget (OMB) Circulars: OMB Circular A-87 (for SEAs and LEAs) and A-21 (for nonprofit organizations). (To review these Circulars, go to <http://www.whitehouse.gov/omb/circulars>.)

Additionally, the “Budget Narrative” section of the application package provides extensive detail, including examples, on how an applicant might present the assumptions on which the proposed performance-based compensation costs are based.

G.15 Are there certain items that cannot be purchased with GSEM funds?

Yes. Generally, grant funds cannot be used to purchase refreshments, breakfast, incentives or prizes, or other prohibited items identified by the Office of Management and Budget’s Cost Principles for State, Local, and Indian Tribal Governments available at:

http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105_a87.pdf.

H. Additional Questions

H.1 Who do I contact for more information about this grant competition?

Any questions pertaining to this grant competition should be directed to Hamed Negron-Perez, U.S. Department of Education, by email hamed.negron-perez@ed.gov or by phone: (202-453-6725). Please note that we anticipate receiving a large volume of inquiries and recommend contacting us via email with any questions. We will do our best to respond to inquiries within 24-48 hours. Please do not wait until the closing date to contact us with questions, as we may not be able to respond prior to competition closing time.

Application Procedures

Technical Assistance Workshop

The Department intends to hold a pre-application webinar designed to provide technical assistance to interested applicants. Information about webinar time and instructions for registering will be posted on the Department Web site at <http://www2.ed.gov/programs/indianprofdev/applicant.html>.

Tips for Preparing and Submitting an Application

Beginning the Application Process

- Read this application package in its entirety, including the NIA, and make sure you follow all of the instructions.
- Read the Common Instructions for Applicants to Department of Education Discretionary Grant Programs at <https://www.gpo.gov/fdsys/pkg/FR-2018-02-12/pdf/2018-02558.pdf> and included in this application package for your quick reference.
- Read the Frequently Asked Questions section in this application package.
- If you do not understand an instruction or requirement, contact Hamed Negron-Perez, U.S. Department of Education, Office of Safe and Healthy Students, Room 3C130, Washington, D.C. 20202. Telephone: (202) 453-6725 or by email: Hamed.Negron-Perez@ed.gov for information about this grant competition.

Preparing Your Application

- Organize your narrative according to the selection criteria headings and respond comprehensively.
- Be thorough in your responses. Write so that someone who knows nothing about your community and the proposed activities, curricula, programs, and services can understand what you are proposing and why.
- Make sure your budget provides sufficient itemization and detailed descriptions about planned expenditures so Department staff can easily determine how amounts were calculated.
- Link your planned expenditures to the proposed activities, curricula, programs, and services. Do not request funds for miscellaneous purposes. Make sure you demonstrate that your proposed expenditures are necessary to carry out your program.

Submitting Your Application

- Use the checklist provided in this application package to ensure your application is complete before submitting it.
- Make sure all required forms are included and signed by an Authorized Representative of your organization.
- Transmit your application by the deadline date and time. When submitting your application electronically, you must use Grants.gov at: www.grants.gov. Unless you qualify for an exception in accordance with the instructions found in Common Instructions for Applicants to Department of Education Discretionary Grant Programs available at <https://www.gpo.gov/fdsys/pkg/FR-2018-02-12/pdf/2018-02558.pdf>, and in

this application package, you must submit your application electronically.

What Happens Next?

- 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 <https://www.grants.gov/web/grants/applicants/track-my-application.html>. Please refer to this PR/Award number if you need to contact us about your application.
- The Department screens each application to ensure that all program eligibility requirements are met and that all forms are included and signed by the Authorized Representative. Ineligible applicants will receive a notification letter, including the reasons for ineligibility.
- If eligible, your application will be assigned to a panel of independent reviewers who will evaluate and score your proposal according to the selection criteria in this package. Your application will receive a score from 0 to 100, not including competitive preference priority (CPP) points (5 points), depending upon how it addresses the selection criteria.
- A Grant Award Notification will be sent to applicants whose proposals rank high enough to be awarded a grant. Both successful and unsuccessful applicants will receive peer reviewers' comments approximately 6 to 8 weeks after grant awards are announced. Unsuccessful applicants will also receive a notification letter. Please be sure your application contains a valid mailing address for both the Project Director and the Authorized Representative so that reviewers' comments can be successfully delivered.

Application Deadline

The deadline for submission of the Grants to States for School Emergency Management Program applications through Grants.gov is September 4, 2018, 4:30 p.m. Washington, D.C. time.

Common Instructions for Applicants to Department of Education Discretionary Grant Programs

The application and submission information that follows comes directly from the Department's Common Instructions, referenced in the NIA and available at <https://www.gpo.gov/fdsys/pkg/FR-2018-02-12/pdf/2018-02558.pdf>.

Application and Submission Information

1. *Address To Request Application Package:* You can obtain an application package from the Department's website or *Grants.gov*. To obtain a copy via the Department's website, use the following address: www.ed.gov/fund/grant/apply/grantapps/index.html.
2. *Content and Form of Application Submission:* Requirements concerning the content and form of an application, together with the forms you must submit, are in the application package for the program.
3. *Submission Dates and Times:* Submit applications for grants under the program electronically using *Grants.gov*. For information (including dates and times) about how to submit your application electronically, please refer to *Other Submission Requirements* in section 5 of these instructions. 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 Hamed Negron-Perez at Hamed.Negron-Perez@ed.gov or 202-453-6725.

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 the competition NIA.

4. *Data Universal Numbering System Number, Taxpayer Identification Number, and System for Award Management*: To do business with the Department, and to submit your application electronically using *Grants.gov*, 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.gov*), 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 at the following website:

<http://fedgov.dnb.com/webform>. 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 (IRS). If you are an individual, you can obtain a TIN from the IRS or the Social Security Administration. If you need a new TIN, please allow two to five weeks for your TIN to become active.

The SAM registration process can take approximately seven business days, but may take upwards of several weeks, depending on the completeness and accuracy of the data you enter into the *SAM.gov* database. 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.gov* registration is active, it may be 24 to 48 hours before you can access the information in, and submit an application through, *Grants.gov*. If you are currently registered with *SAM.gov*, 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. To further assist you with obtaining and registering your DUNS number and TIN in *SAM.gov* 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/samfaqs.html>. In addition, in order to submit your application via *Grants.gov*, you must (1) register as an applicant using your DUNS number; and (2) be designated by your organization's E-Biz Point of Contact as an Authorized Organization Representative (AOR). Details on these steps are outlined at the following *Grants.gov* web page: <https://www.grants.gov/web/grants/register.html>.

5. Other Submission Requirements:

a. *Electronic Submission of Applications.* We are participating as a partner in the Government-wide *Grants.gov* site. Submit applications electronically using *Grants.gov* and do not email them unless explicitly allowed in a competition NIA. On December 31, 2017, *Grants.gov* retired the Legacy PDF format for submitting grant applications. A *Grants.gov* applicant must apply online using Workspace, a shared environment where members of a grant team may simultaneously access and edit different web forms within an application. An applicant can create an individual Workspace for each application notice and establish for that application a collaborative application package that allows more than one person in the applicant's organization to work concurrently on an application. The *Grants.gov* system also enables the applicant to reuse forms from previous submissions, check them in and out to complete them, and submit the application package. For access to further instructions on how to apply using *Grants.gov*, refer to: www.grants.gov/web/grants/applicants/apply-for-grants.html. You may access the electronic grant applications at www.Grants.gov. You must search for the downloadable application package for this competition by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.299 not 84.299B). Please note the following:

- Applicants needing assistance with *Grants.gov* may contact the *Grants.gov* Support Center either by calling 1-800-518-4726 or by sending an email to support@grants.gov. The *Grants.gov* Support Center is available 24 hours a day, seven days a week, except for Federal holidays.
- Applications received by *Grants.gov* are date- and time-stamped upon submission. 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., Eastern 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 timestamped by the *Grants.gov* system—after 4:30:00 p.m., Eastern 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 late.
- 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 leave yourself plenty of time to complete your submission.
- You should review and follow the Education Submission Procedures for submitting an application through *Grants.gov* that are included in the application package for the program to ensure that you submit your application on time. 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. In addition, for specific guidance and procedures for submitting an application through *Grants.gov*, please refer to the *Grants.gov* website at: www.grants.gov/web/grants/applicants/apply-for-grants.html.

- When you submit your application electronically, all documents must be submitted in this manner, 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.
- When you submit your application electronically, you must upload any narrative sections and all other attachments to your application as files in a read-only flattened Portable Document Format (PDF), meaning any fillable documents must be saved and submitted as non-fillable PDF files. Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-fillable PDF (*e.g.*, Word, Excel, WordPerfect, etc.) or submit a password-protected file, we will be unable to review that material. Please note that this will likely result in your application not being considered for funding. The Department will not convert material from other formats to PDF.
- After you electronically submit your application, you will receive from *Grants.gov* an automatic notification of receipt that contains a *Grants.gov* tracking number. *Grants.gov* also will notify you automatically by email if your application met all of the *Grants.gov* validation requirements or if there were any errors (such as submission of your application by someone other than a registered AOR, issues with your DUNS number, or inclusion of an attachment with a file name that contains special characters). You will be given an opportunity to correct any errors and resubmit, but you must still meet the deadline for submission of applications. Once your application is successfully validated by *Grants.gov*, the Department will retrieve your application from *Grants.gov* and send you an email with a unique PR/Award number for your application.

Email confirmations and receipts from *Grants.gov* do not indicate receipt by the Department, nor do they mean that your application is complete or has met all application requirements. While your application may have been successfully validated by *Grants.gov*, it also must be reviewed in accordance with the Department's application requirements as specified in the competition NIA and in these application instructions. It is your responsibility to ensure that your submitted application has met all of the Department's requirements. Additionally, 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 experience problems submitting your application through *Grants.gov*, please contact the *Grants.gov* Support Desk immediately, toll-free, at 1-800-518-4726. The *Grants.gov* Support Center will provide you with a ticket number documenting your communication. You must retain your ticket number for future reference as proof of your communication with the Support Center. Please subsequently contact a person listed in the **FOR FURTHER INFORMATION CONTACT** section in the competition NIA and provide an explanation of the technical problem you experienced with *Grants.gov*, along with the *Grants.gov* Support Desk Case Number. If you are prevented from electronically submitting your application on the application deadline date because of technical problems within the *Grants.gov* system, we will grant you an extension until 4:30:00 p.m., Eastern Time, the following business day to enable you to transmit your application electronically, provided we can verify the technical issues affected your ability to submit your application on time via your *Grants.gov* Support Desk Case Number. **Note:** The extensions to which we refer in this section apply only to technical problems with the *Grants.gov*

system. We will not grant you an extension if you failed to fully register in order to submit your application to *Grants.gov* (including with the required DUNS number and TIN currently registered in SAM) before the application deadline date and time or if the technical problem you experienced is unrelated to the *Grants.gov* system.

b. *Submission of Paper Applications.* We discourage paper applications, but if electronic submission is not possible (*e.g.*, you do not have access to the internet), you must provide a written statement that you intend to submit a paper application. Send this written statement 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). If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. Please send this statement to a person listed in the **FOR FURTHER INFORMATION CONTACT** section of the competition NIA. If you submit a paper application, 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), 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.

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. We will not consider applications postmarked after the application deadline date.

Note for Mail Delivery of Paper Applications: If you mail your application to the Department—

- (1) You must indicate on the envelope and 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 Application Control Center at (202) 245-6288.

Grants.gov Submission Procedures and Tips for Applicants

To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education.

Browser Support

The latest versions of Microsoft Internet Explorer (IE), Mozilla Firefox, Google Chrome, and Apple Safari are supported for use with Grants.gov. However, these web browsers undergo frequent changes and updates, so we recommend you have the latest version when using Grants.gov. Legacy versions of these web browsers may be functional, but you may experience issues.

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

ATTENTION – Workspace, Adobe Forms and PDF Files Required

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

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

- 1) Create a Workspace: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
- 2) Complete a Workspace: Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.
 - a. Adobe Reader: If you decide not to apply by filling out web forms you can download individual PDF forms in Workspace. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader. NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at: <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>
 - b. Mandatory Fields in Forms: In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.

- c. Complete SF-424 Fields First: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS Number. Once it is completed, the information will transfer to the other forms.
- 3) Submit a Workspace: An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.
 - 4) Track a Workspace Submission: After successfully submitting a workspace application, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

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

Helpful Reminders

- 1) **REGISTER EARLY** – Grants.gov registration involves many steps including registration on SAM (www.sam.gov) which 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.]

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

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

Note: To submit successfully, you must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This DUNS number is typically the same number used when your organization registered with the SAM. If you do not enter the same DUNS number on your application as the DUNS you registered with, Grants.gov will reject your application.

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov received your application submission on time and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m. Washington, DC time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned. Once the Department of Education receives your application from Grants.gov, an Agency Tracking Number (PR/award number) will be assigned to your application and will be available for viewing on Grants.gov’s Track My Application link.

If the date/time received is later than 4:30:00 p.m. Washington, D.C. time, on the deadline date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: <http://www.grants.gov/web/grants/applicants/encountering-error-messages.html>. For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Software Tip Sheet at: <http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

Submission Problems – What should you do?

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or email at: <mailto:support@grants.gov> or access the Grants.gov Self-Service Knowledge Base web portal at: <https://grants-portal.psc.gov/Welcome.aspx?pt=Grants>

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

Helpful Hints When Working with Grants.gov

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

Dial-Up Internet Connections

1. 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.)

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, flattened .PDF files** in their application:

- Ensure that you attach **.PDF files only** for any attachments to your application, and they must be in a **read-only, flattened format**. PDF files are the only Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are not .PDF files or are password protected files will not be read.
- Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
- When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded file names must be fewer than 50 characters, and, in general, applicants should not use any special characters. However, Grants.gov does allow for the following UTF-8 characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.

- Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package with all attachments is less than 5 MB. Therefore, you may want to check the total size of your package before submission.

Application 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 the Common Instructions for Applicants to Department of Education Discretionary Grant Programs (<https://www.gpo.gov/fdsys/pkg/FR-2018-02-12/pdf/2018-02558.pdf>) and in this application package under Application Submission Procedures.

In accordance with [34 CFR 75.216 \(b\) and \(c\)](#) 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.

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.

Important note: Applications submitted to Grants.gov for the Department of Education will be posted using web forms and Adobe forms. Therefore, applicants will need to download a compatible version of Adobe reader.

Information on computer and operating system compatibility with Adobe and links to download a compatible version is available on Grants.gov. Also, please review the **Application Submission Procedures** and in particular the **Grants.gov Submission Procedures and Tips for Applicants** forms found within this package for further information and guidance related to this requirement.

We strongly recommend that you review these details on www.Grants.gov before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

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.

Note: Please do not attach any narratives, supporting files, or application components to any forms unless it is specifically required by the instructions for the individual section of the application. Although several forms accept attachments, the Department of Education will only review materials/files attached in accordance with the instructions provided within this application package.

Electronic Application Submission Checklist

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 (two pages maximum recommended)

Part 4: Project Narrative Attachment Form

- Application Narrative (30-page maximum recommended)

Part 5: Budget Narrative Attachment Form

- Budget Narrative

Part 6: Other Attachments

Required

- Individual Resumes for Project Directors & Key Personnel
- Indirect Cost Rate Agreement

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 GEPA 427 Form)

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 (SAM).

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

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

Instructions for the SF-424

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

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

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:
1.	Type of Submission: (Required): Select one type of submission in accordance with agency instructions. A. Preapplication B. Application C. Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.	10.	Name Of Federal Agency: (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	Catalog Of Federal Domestic Assistance Number/Title: Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	Type of Application: (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the Federal Government’s financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify) 	12.	Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	Competition Identification Number/Title: Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	Areas Affected By Project: List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
3.	Date Received: Leave this field blank. This date will be assigned by the Federal agency.	15.	Descriptive Title of Applicant’s Project: (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
4.	Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or applicant’s control number, if applicable.		
5a.	Federal Entity Identifier: Enter the number assigned to your organization by the Federal Agency, if any.	16.	Congressional Districts Of: (Required) 16a. Enter the applicant’s Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5 th district, CA-012 for California 12 th district, NC-103 for North Carolina’s 103 rd district. <ul style="list-style-type: none"> • 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.
5b.	Federal Award Identifier: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		
6.	Date Received by State: Leave this field blank. This date will be assigned by the State, if applicable.		
7.	State Application Identifier: Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	Applicant Information: Enter the following in accordance with agency instructions: a. Legal Name: (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website. b. Employer/Taxpayer Number (EIN/TIN): (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444. c. Organizational DUNS: (Required) Enter the organization’s DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.	17.	Proposed Project Start and End Dates: (Required) Enter the proposed start date and end date of the project.
		18.	Estimated Funding: (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change.

	<p>d. Address: Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p>		<p>For decreases, enclose the amounts in parentheses.</p>		
	<p>e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p>	19.	<p>Is Application Subject to Review by State Under Executive Order 12372 Process? Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If “a.” is selected, enter the date the application was submitted to the State</p>		
	<p>f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>	20.	<p>Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>		
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0" style="width: 100%;"> <tr> <td style="vertical-align: top; width: 50%;"> <ul style="list-style-type: none"> • State Government • County Government • City or Township Government • Special District Government • Regional Organization • U.S. Territory or Possession • Independent School District • Public/State Controlled Institution of Higher Education • Indian/Native American Tribal Government (Federally Recognized) • Indian/Native American Tribal Government (Other than Federally Recognized) • Indian/Native American Tribally Designated Organization • Public/Indian Housing Authority </td> <td style="vertical-align: top; width: 50%;"> <ul style="list-style-type: none"> • Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) • Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) • Private Institution of Higher Education • Individual • For-Profit Organization (Other than Small Business) • Small Business • Hispanic-serving Institution • Historically Black Colleges and Universities (HBCUs) • Tribally Controlled Colleges and Universities (TCCUs) • Alaska Native and Native Hawaiian Serving Institutions • Non-domestic (non-US) Entity • Other (specify) </td> </tr> </table>	<ul style="list-style-type: none"> • State Government • County Government • City or Township Government • Special District Government • Regional Organization • U.S. Territory or Possession • Independent School District • Public/State Controlled Institution of Higher Education • Indian/Native American Tribal Government (Federally Recognized) • Indian/Native American Tribal Government (Other than Federally Recognized) • Indian/Native American Tribally Designated Organization • Public/Indian Housing Authority 	<ul style="list-style-type: none"> • Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) • Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) • Private Institution of Higher Education • Individual • For-Profit Organization (Other than Small Business) • Small Business • Hispanic-serving Institution • Historically Black Colleges and Universities (HBCUs) • Tribally Controlled Colleges and Universities (TCCUs) • Alaska Native and Native Hawaiian Serving Institutions • Non-domestic (non-US) Entity • Other (specify) 	21.	<p>Authorized Representative: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body’s authorization for you to sign this application as the official representative must be on file in the applicant’s office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p>
<ul style="list-style-type: none"> • State Government • County Government • City or Township Government • Special District Government • Regional Organization • U.S. Territory or Possession • Independent School District • Public/State Controlled Institution of Higher Education • Indian/Native American Tribal Government (Federally Recognized) • Indian/Native American Tribal Government (Other than Federally Recognized) • Indian/Native American Tribally Designated Organization • Public/Indian Housing Authority 	<ul style="list-style-type: none"> • Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) • Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) • Private Institution of Higher Education • Individual • For-Profit Organization (Other than Small Business) • Small Business • Hispanic-serving Institution • Historically Black Colleges and Universities (HBCUs) • Tribally Controlled Colleges and Universities (TCCUs) • Alaska Native and Native Hawaiian Serving Institutions • Non-domestic (non-US) Entity • Other (specify) 				

[U.S Department of Education note: As of early 2018, the FON discussed in Block 12 of the instructions can be found via the following URL: <http://www.grants.gov/web/grants/search-grants.html>.]

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 eight 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/search.aspx?styp=bsc>) 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.

Public 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. Public reporting burden for this collection of information is estimated to average 20 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. The obligation to respond to this collection is required to obtain or retain benefit (20 USC 3474 General Education Provisions Act). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email ICDocketMgr@ed.gov and reference the OMB Control Number 1894-0007. Note: Please do not return the completed ED SF 424 Supplemental Form to this address.

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 (i) information or biospecimens through intervention or interaction with the individual and uses through intervention or interaction with the individual and uses, studies, or analyzes the information or biospecimens, or (ii) obtains, uses, studies, analyzes, or generate identifiable private information or identifiable biospecimens. "

*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. 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 eight categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, that specifically involves normal educational practices that are not likely to adversely impact students' opportunity to learn required educational content or the assessment of educators who provide instruction. This includes most research on regular and special education instructional strategies, and 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 that only includes interactions involving educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior (including visual or auditory recordings) if at least one of the following criteria is met: (i) the information obtained is recorded by the investigator in such a manner that the identity of the human subjects cannot readily be ascertained, directly or through identifiers linked to the subjects; (ii) Any disclosure of the human subjects' responses outside the research would not reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, educational advancement or reputation; or (iii) the information obtained is recorded by the investigator in such a manner that the identity

of the human subjects can readily be ascertained, directly or through identifiers linked to the subjects, and an IRB conducts a “limited IRB review” to make the determinations required by 34 CFR 97.111(a)(7).

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 benign behavioral interventions in conjunction with the collection of information from an adult subject through verbal or written responses (including data entry) or audiovisual recording if the subject prospectively agrees to the intervention and information collection and at least one of the following criteria is met: (A) The information obtained is recorded by the investigator in such a manner that the identity of the human subjects cannot readily be ascertained directly or through identifiers linked to the subjects; (B) Any disclosure of the human subjects’ responses outside the research would not reasonably place the subjects at risk of criminal or civil liability or be damaging to the subject’s financial standing, employability, educational advancement or reputation; or (C) The information obtained is recorded by the investigator in such a manner that the identity of the human subjects can readily be ascertained, directly or through identifiers linked to the subjects, and an IRB conducts a limited IRB review to make the determination required by 34 CFR 97.111(a)(7).

For the purpose of this provision, benign behavioral interventions are brief in duration, harmless, painless, not physically invasive, not likely to have a significant adverse lasting impact on the subjects, and the investigator has no reason to think the subjects will find the interventions offensive or embarrassing. Provided all such criteria are met, examples of such benign behavioral interventions would include having the subject play an online game, having them solve puzzles under various noise conditions, or having them decide how to allocate a nominal amount of received cash between themselves and someone else.

If the research involves deceiving the subjects regarding the nature or purposes of the research, this exemption is not applicable unless the subject authorizes the deception through a prospective agreement to participate in research in circumstances in which the subject is informed that he or she will be unaware of or misled regarding the nature or purposes of the research.

(4) Secondary Research for which Consent is not required. Secondary research uses of identifiable private information or

identifiable biospecimens, if at least one of the following criteria is met: (i) The identifiable private information or identifiable biospecimens are publicly available; (ii) Information, which may include information about biospecimens, is recorded by the investigator in such a manner that the identity of the human subjects cannot readily be ascertained directly or through identifiers linked to the subjects, the investigator does not contact the subjects, and the investigator will not re-identify subjects; (iii) the research involves only information collection and analysis involving the investigators’ use of identifiable health information when that use is regulated under 45 CFR parts 160 and 164, subparts A and E, for the purposes of “health care operations” or “research” as those terms are defined at 45 CFR 164.501 or for “public health activities and purposes” as described under 45 CFR 164.512 (b); or (iv) The research is conducted by, or on behalf of, a Federal department or agency using government-generated or government-collected information obtained for nonresearch activities, if the research generates identifiable private information that is or will be maintained on information technology that is subject to and in compliance with section 208(b) of the E-Government Act of 2002, 44 USC 3501 note, if all of the identifiable private information collected, used or generated as part of the activity will be maintained in systems of records subject to the Privacy Act of 1974, 5 USC 552a, and, if applicable, the information used in the research was collected subject to the Paperwork Reduction Act of 1995, 44 USC 3501 et seq.

(5) Research and demonstration projects that are conducted or supported by a Federal department or agency, or otherwise subject to the approval of department or agency heads (or otherwise subject to the approval of department or agency heads (or the approval of the heads of bureaus or other subordinate agencies that have been delegated authority to conduct the research and demonstration projects), and that are designed to study, evaluate, improve, or otherwise examine public benefit or service programs, including procedures for obtaining benefits or services under those programs, possible changes in or alternative to those programs or procedures, or possible changes in methods or levels of payment for benefits or services under those programs. Such projects include, but are not limited to, internal studies by Federal employees, and studies under contracts or consulting arrangements, cooperative agreements, or grants. Exempt projects also include waivers of otherwise mandatory requirements using authorities such as sections 1115 and 1115A of the Social Security Act as amended.

Each Federal department or agency conducting or supporting the research and demonstration projects must establish, on a publicly accessible Federal website or in such other manner as the department or agency head may determine, a list of the research and demonstration projects that the Federal department or agency conducts or supports under this provision. The research or demonstration project must be published on this list prior to commencing the research involving human subjects.

(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.

(7) Storage or Maintenance for Secondary Research for which Broad Consent is required. Storage or maintenance of identifiable private information or identifiable biospecimens for potential secondary research use if an IRB conducts a limited IRB review and makes the determinations requires by 34 CFR 97.111(a)(8).

(8) Secondary Research for which Broad Consent is Required. Research involving the use of identifiable private information or identifiable biospecimens for secondary research use if the following criteria are met: (i) Broad Consent for the storage, maintenance and secondary research use of the identifiable private information or identifiable biospecimens was obtained in accordance with 34 CFR 97.116(a) (1)-(4), (a) (6) and (d); (ii) Documentation of informed consent or waiver of documentation of consent was obtained in accordance with 34 CFR 97.117. (iii) an IRB conducts a limited IRB review and makes the determination that the research to be conducted is within the scope of the broad consent referenced in paragraph (d)(8)(i) of this section; and (iv) The investigator does not prevent an investigator from abiding by any legal requirements to return individual research results.

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, include information about each, labeling the responses as to the project they address. For applications that include multiple research projects this can be done in a single narrative or in more than one narrative as appropriate.

A. Exempt Research Narrative.

If you marked “Yes” for item 3.b. and designated exemption number(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 60 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. Please also refer to the NIA, and 34 CFR 263.4 for regulatory guidance on allowable costs.

Instructions for completing ED Form 524 Section A:

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

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

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

Travel (line 3): Indicate the travel costs of employees and participants only. Include travel of persons such as consultants on line 6. Applicants should budget funds for a representative from the partnering entities to accompany the project director in attending a Project Director's Meeting during each year of the grant.

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

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

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

Construction (line 7): Not applicable.

Other (line 8): Indicate all direct costs not covered on lines 1-6. For example, include costs such as space rental, required fees, honoraria and travel

(where a contract is not in place for services), training, and communication and printing costs. *Do not include costs that are included in the indirect cost rate.*

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

Indirect Costs (line 10): Indicate the applicant's approved indirect cost rate, per sections [34 CFR 75.560 – 75.564](#). If an applicant's approved indirect cost rate agreement with a cognizant Federal agency has expired and the applicant wishes to charge indirect costs to the grant, the applicant may use a temporary rate of 10 percent of budgeted direct salaries and wages while it negotiates a rate with its cognizant agency, per [34 CFR 75.560](#). An applicant with no previous ICR can use a de minimis rate of 10 percent of modified total direct costs (MTDC); these applicants do not need to negotiate for this rate ([2 CFR 200.414\(f\)](#)).

Training Stipends (line 11): 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. Under the program's regulations, this may include the cost of tuition, books, and required fees; health insurance required by the institution of higher education; stipend; dependent allowance; technology costs; program required travel; and instructional supplies (34 CFR 263.4).

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 be 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 cited within these instructions at:

<http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>. You may access requirements from 2 CFR 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards" cited within these instructions at: <https://www.federalregister.gov/articles/2013/12/26/2013-30465/uniform-administrative-requirements-cost-principles-and-audit-requirements-for-federal-awards>.

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

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

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

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

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

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

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

Indirect Cost Information: If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office.

(1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. If you checked "no," ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages (**complete (4) of this section when using the temporary rate**) subject to the following limitations:

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

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

(2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In

addition, indicate whether ED, another Federal agency (Other) or State agency issued the approved agreement. If you check "Other," specify the name of the Federal or other agency that issued the approved agreement.

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

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

Section B - Budget Summary Non-Federal Funds

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

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

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

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

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

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

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. For non-Federal funds or resources listed in Section B that are used to meet a cost-sharing or matching requirement or provided as a voluntary cost-sharing or matching commitment, you must include:

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

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

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

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

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

5. Provide other explanations or comments you deem necessary.

Paperwork Burden Statement

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

When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded file names must be fewer than 50 characters, and, in general, applicants should not use any special characters. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.

Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files.

Project Abstract

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

- Project objectives and activities,
- Absolute priority
- Proposed project outcomes

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, flattened .pdf files). Also, do not upload any password-protected files to your application.

When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded file names must be fewer than 50 characters, and, in general, applicants should not use any special characters. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.

Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files.

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 is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. We recommend that you (1) limit the application narrative to no more than 30 pages and (2) use the following standards:

- A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.

The recommended page limit does not apply to the cover sheet; the budget section, including the narrative budget justification; the assurances and certifications; or the two-page abstract, the resumes, the letters of support or the signed consortium agreement, if applicable.

Selection Criteria for Project Narrative

The Selection Criteria for any year in which this competition is held will be announced through the Notice Inviting Applications. The NIA will also identify the associated point value for each criterion.

The maximum score for the selection criteria below is 100 points. The points or weight assigned to each criterion are indicated in parentheses. Non-Federal peer reviewers will review each application. They will be asked to evaluate and score each program narrative against the following selection criteria. The applicant must address all of following criteria. We are establishing the remaining selection criteria for the FY 2018 grant competition and any subsequent year in which we make awards from the list of unfunded applications from this competition.

Selection Criteria	Maximum Points
Significance	20 points Subcriterion (1) Up to 10 points Subcriterion (2) Up to 10 points
Quality of the project design	30 points Subcriterion (1) Up to 15 points Subcriterion (2) Up to 15 points
Quality of project services	30 points Subcriterion (1) Up to 5 points Subcriterion (2) Up to 10 points Subcriterion (3) Up to 10 points Subcriterion (4) Up to 5 points
Adequacy of Resources	20 points Subcriterion (1) Up to 20 points

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

(a) Significance (20 points). The Secretary considers the significance of the proposed project. In determining the significance of the proposed project, the Secretary considers the following factors:

(1) The likelihood that the proposed project will result in system change or improvement. (10 points)

(2) 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 populations. (10 points)

(b) Quality of the Project Design (Maximum 30 points). The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers the following factors:

(1) The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs. (15 points)

(2) The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice. (15 points)

(c) Quality of project services (Maximum 30 points). The Secretary considers the quality of the services to be provided by the proposed project:

(1) In determining the quality of the services to be provided by the proposed project, the Secretary considers 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. (5 points)

(2) 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)

(3) The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services. (10 points)

(4) The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project services. (5 points)

(d) Adequacy of Resources (20 points). The Secretary considers adequacy of resources for the proposed project. In determining the adequacy of resources for the proposed project, the Secretary considers the potential for continued support for the project after Federal funding ends, including as appropriate, the demonstrated commitment of appropriate entities to such support. (20 points)

Part 5: Budget Narrative

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

When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded file names must be fewer than 50 characters, and, in general, applicants should not use any special characters. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.

Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files.

Each application must 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 60 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, program office staff, and project staff to understand how requested funds will be used, how much will be expended, and the relationship between the requested funds, project activities, and anticipated outcomes.

Maximum Award: We will not make an award exceeding \$750,000 for a single budget period of 12 months.

Important Note

Applicants are encouraged to review the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in [2 CFR part 200](https://www.ecfr.gov/current/title-49/chapter-I/subchapter-A/part-200), as adopted and amended in [2 CFR part 3474](https://www.ecfr.gov/current/title-49/chapter-I/subchapter-A/part-3474).

Suggested Guidelines for the Budget Narrative

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

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

1. Personnel

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

2. Fringe Benefits

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

3. Travel

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

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 of the contract and its relation to project success.
- Describe the products to be acquired, and/or the professional services to be provided.
- Provide a brief justification for the use of the contractors selected.
- Identify the name(s) of the contracting party, including consultants, if available.
- Provide the cost per contractor.
- Provide the amount of time that the project will be working with the contractor(s).

- For professional services contracts, provide the amounts of time to be devoted to the project, including the costs to be charged to this proposed grant award.
- Provide the basis for cost estimates or computations.

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

7. Construction

Not applicable.

8. Other

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

9. Total Direct Costs

The sum of expenditures, per budget category, of lines 1-8.

10. Indirect Costs

Identify indirect cost rate (if the applicant will charge indirect costs to the grant)

Note: Remember to provide a copy of the most recent approved indirect cost rate agreement in the Other Attachments section of the application. The indirect cost rate agreement establishes the maximum amount of indirect costs the applicant may charge to the grant. However, applicants are not required to use the full negotiated indirect cost rate, and may choose to devote greater resources to direct costs. Additionally, see **Important Information Regarding Indirect Costs** below.

11. Training Stipends

The PD program may include, as training costs, assistance to fully finance a student's educational expenses, including: tuition, books, and required fees; health insurance required by the IHE; stipend; dependent allowance; technology costs; program required travel; and instructional supplies; or assistance to supplement other financial aid, including Federal funding other than loans, meeting a student's educational expenses. Regulatory requirements may be found in [34 CFR 263.4](#).

12. Total Costs

- Sum total of direct costs, indirect costs, and stipends.
- Please provide total costs for each year of the project as well as grand total cost for the entire project period (up to 60 months)

Important Information Regarding Professional Services Contracts

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

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

competition.

If you relied on either of these exceptions please contact Hamed Negron-Perez by phone at (202) 453-6725 or via email at Hamed.Negron-Perez@ed.gov for additional guidance.

Important Information Regarding Indirect Costs

The Department reimburses grantees for the portion of indirect costs that a grantee incurs on a project funded by the Professional Development program (CFDA Number 84.299B).

If an applicant has a current ICR agreement and intends to charge indirect costs to the Professional Development grant, the applicant must submit a copy of the ICR agreement as part of its application. The ICR agreement must be negotiated with and approved by the grantee's cognizant agency, *i.e.*, either (1) the Federal agency from which it has received the most direct funding, subject to indirect cost support; (2) the Federal agency specifically assigned cognizance by OMB; or (3) the State agency that provides the most subgrant funds to the grantee (if no direct Federal awards are received). For Federally-recognized tribes, the Department of Interior (DOI) is the cognizant agency.

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

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

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

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

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

Part 6: Other Attachments

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.

When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded file names must be fewer than 50 characters, and, in general, applicants should not use any special characters. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.

Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files.

Required of All Applicants

- 1. Submit 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.
- 2. Submit your Indirect Cost Rate Agreement

Part 7: Assurances and Certifications

Be certain to complete all required assurances and certification in Grants.gov, and include all required information in the appropriate place on each form.

The following assurances and certifications are required for this application:

- Assurances for Non-Construction Programs (SF 424B Form)
- Disclosure of Lobbying Activities (SF LLL Form)
- Certification Regarding Lobbying (ED 80-0013 Form)
- General Education Provisions Act (GEPA) Requirements – Section 427

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

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

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

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 4040-0013. 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 (4040-0013), 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 ED GEPA 427 form that is included in the electronic application package in Grants.gov.

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

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

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

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

Further information about the State Single Point of Contact (SPOC) process and a list of names by State can be found at: https://www.whitehouse.gov/wp-content/uploads/2017/11/Intergovernmental_-Review-_SPOC_01_2018_OFFM.pdf

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 #84.299B, 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 4:30:00 p.m. (Eastern Time) on the closing date indicated in this notice.

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

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

Reporting and Accountability

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

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

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

- The number of training events provided by the GSEM program to assist LEAs in the development and implementation of high-quality school EOPs.
- The extent to which the GSEM program expands the capacity of the SEAs to provide training and technical assistance to LEAs for the development and implementation of high-quality school EOPs

Applicants must provide baseline data for their GPRA measures as part of their final report. For specific requirements on grantee reporting, please go to the ED Performance Report Form 524B at <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

Legal and Regulatory Information

Notice Inviting Applications

4000-01-U

DEPARTMENT OF EDUCATION

Applications for New Awards; Grants to States for School
Emergency Management Program

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

ACTION: Notice.

SUMMARY: The Department of Education (Department) is issuing
a notice inviting applications for new awards for fiscal year
(FY) 2018 for Grants to States for School Emergency Management
(GSEM) program, Catalog of Federal Domestic Assistance (CFDA)
number 84.184Q.

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].

ADDRESSES: For the addresses for obtaining and submitting an
application, please refer to our Common Instructions for
Applicants to Department of Education Discretionary Grant
Programs, published in the Federal Register on February 12,
2018 (83 FR 6003) and available at www.gpo.gov/fdsys/pkg/FR-2018-02-12/pdf/2018-02558.pdf.

FOR FURTHER INFORMATION CONTACT: Hamed Negrón-Pérez, U.S.
Department of Education, 400 Maryland Avenue, SW, room 3C130,
Washington, DC 20202-6450. Telephone: (202) 453-6725.

Email: Hamed.Negrón-Pérez@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.

SUPPLEMENTARY INFORMATION:

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The GSEM program provides grants to State
educational agencies (SEAs) to increase their capacity to
assist local educational agencies (LEAs) by providing training
and technical assistance in the development and implementation
of high-quality school emergency operations plans (EOPs), as
defined in this notice.

Background: Lessons learned from school emergencies highlight
the importance of preparing school officials and first
responders to implement EOPs. By having plans in place to
keep students and staff safe, schools play a key role in
taking preventive and protective measures to stop an emergency
from occurring or reduce its impact. High-quality school
EOPs can make our schools safer by supporting efforts to
prevent, protect against, mitigate, respond to, and recover

from all threats and hazards, both natural and man-made. The GSEM program will help schools address violence and foster safer school environments by increasing the capacity of SEAs to assist LEAs in the development, implementation, and review of high-quality and comprehensive school EOPs.

It is critical for SEAs and LEAs to ensure that every school has an effective, high-quality school EOP in place and that students and staff are prepared to follow it. A 2016 report from the Government Accountability Office (GAO) notes that in a survey of 51 SEAs, over 60 percent required their LEAs to have EOPs and conduct emergency exercises; however, fewer than half of those States surveyed reported they also required their districts or State to review these district or school plans. Additionally, an estimated 59 percent of the surveyed LEAs reported having limited resources available to implement and sustain emergency management planning efforts, thus reinforcing the value of State and Federal support.

Generally, SEAs share with their LEAs information about applicable laws and requirements related to school emergency management planning; they also may support LEAs in fulfilling these obligations. For example, SEAs may provide training, resources, and tools to support school safety and security, including emergency management planning. SEAs may also work with other State agencies or organizations to provide emergency management services to LEAs.

In order to develop and implement high-quality school EOPs, LEA staff must have access to training and technical assistance on developing, implementing, and refining their plans. SEAs can play a critical role in providing the necessary training and technical assistance to LEAs.

In 2014, the Department awarded GSEM grants to 26 SEAs, which allowed SEAs to increase their capacity to provide high-quality technical assistance to their LEAs, while increasing the number of high-quality school EOPs in each district. The Department will build on the prior success of this program by awarding new grants of up to five years to SEAs to further support their LEAs through training and technical assistance. While the new competition will give priority to SEAs that have not previously received GSEM grants, previous GSEM grantees are also eligible for awards.

Priorities: We are establishing these priorities for the FY 2018 grant competition and any subsequent year in which we make awards from the list of unfunded applications from this competition, in accordance with section 437(d)(1) of the General Education Provisions Act (GEPA), 20 U.S.C. 1232(d)(1).

Absolute Priority: This priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this priority.

This priority is:

Projects that expand the capacity of SEAs to provide training and technical assistance to LEAs.

Projects to increase the long-term internal capacity of SEAs to provide training and technical assistance to LEAs for the development and implementation of high-quality school EOPs.

Competitive Preference Priority: For FY 2018 and any subsequent year in which we make awards from the list of unfunded applications from this competition, this priority is a competitive preference priority. Under 34 CFR 75.105(c)(2)(1) we award an additional 5 points to an application that meets this priority.

This priority is:

Applications from SEAs that have not previously received a grant under the GSEM program (5 points).

Projects proposed by applicants that have not previously received a grant under this program. A list of former recipients of this grant may be found at <https://www2.ed.gov/programs/schlemergmt-sea/2014awards.html>.

Requirements: We are establishing these program requirements and application requirements for the FY 2018 grant competition and any subsequent year in which we make awards from the list of unfunded applications from this competition, in accordance with section 437(d)(1) of GEPA, 20 U.S.C. 1232(d)(1).

Program Requirements: Applicants that receive grants under this program must:

(1) Provide an established point of contact (e.g., person or office) for school emergency management issues and submit that information to the Department no later than the project start date;

(2) Provide training and technical assistance to LEAs on best practices for developing and implementing school EOPs including, but not limited to, the process described in the "Guide for Developing High-Quality School Emergency Operations Plans";

(3) Provide training and technical assistance to LEAs on developing or enhancing memoranda of understanding with community partners (e.g., local government, law enforcement, public safety or emergency management, public health, and mental health agencies); and

(4) Provide training and technical assistance to LEAs on the implementation of the National Incident Management System (NIMS). Information about current NIMS requirements for States may be accessed at: www.fema.gov/national-incident-management-system.

Application Requirements: Each application must contain a plan that includes the following:

(1) Information on:

(a) Training, technical assistance, and resources the applicant currently provides to LEAs on emergency management;

(b) The current number of LEAs served;

(c) The proposed number of LEAs, including rural LEAs that might not otherwise have full access to school emergency

management training and resources, that would receive training and technical assistance to improve their school EOPs under the applicant's proposal.

(d) A description of how the SEA will evaluate the quality of training and technical assistance events administered to their LEAs, which should incorporate feedback from LEAs and other stakeholders (e.g. parents, students, teachers, first-responders, etc.)

(2) A long-term strategy for improving the applicant's:

(a) Capacity to provide training and technical assistance to LEAs, including rural LEAs that might not otherwise have full access to school emergency management training and resources; and capacity to address the unique needs of students, staff, and visitors with disabilities and other access and functional needs, including individuals with limited English proficiency;

(b) Existing training and technical assistance activities for their LEAs;

(c) Catalog of emergency management resources; and

(d) Alignment of emergency management training, technical assistance, and resources with emergency management planning at the Federal, State, and local levels.

(3) A description of a process for the coordination and sustainability of support that will be provided to LEAs so that they can continue to improve their schools' EOPs beyond the period of Federal financial assistance.

Definitions: We are establishing the definitions for "high-quality school emergency operations plan (EOP)," "rural LEA," "technical assistance," and "training" in this notice for the FY 2018 grant competition and any subsequent year in which we make awards from the list of unfunded applications from this competition, in accordance with section 437(d)(1) of GEPA, 20 U.S.C. 1232(d)(1). The remaining definitions are from 20 U.S.C. 7801(30), 7801(36), 7801(48), and 7801(49).

These definitions are:

High-Quality School Emergency Operations Plan (EOP) means a comprehensive emergency operations plan that encompasses the five mission areas--(1) prevention, (2) protection, (3) mitigation, (4) response, and (5) recovery--and that is (a) adequate, (b) feasible, (c) acceptable, (d) complete, and (e) compliant.

For the purpose of this definition, the following terms are as defined below:

(1) Prevention means the capabilities necessary to avoid, deter, or stop an imminent crime or threatened or actual mass casualty incident. Prevention is also the action schools take to prevent a threatened or actual incident from occurring; and includes those capabilities necessary to avoid, prevent, or stop a threatened or actual act of terrorism, and it includes preventing imminent threats.

(2) Protection means the capabilities to secure schools against acts of violence and manmade or natural disasters.

Protection focuses on ongoing actions that protect students, teachers, staff, visitors, networks, and property from a threat or hazard.

(3) Mitigation means the capabilities necessary to eliminate or reduce the loss of life and property damage by lessening the impact of an event or emergency. It also means reducing the likelihood that threats and hazards will happen.

(4) Response means the capabilities necessary to stabilize an emergency once it has already happened or is certain to happen in an unpreventable way; establish a safe and secure environment; save lives and property; and facilitate the transition to recovery.

(5) Recovery means the capabilities necessary to assist schools affected by an event or emergency in restoring the learning environment.

(a) Adequate means the plan identifies and addresses critical courses of action effectively; the plan can accomplish the assigned function; and the assumptions are valid and reasonable.

(b) Feasible means the school can accomplish the assigned function and critical tasks by using available resources within the time contemplated by the plan, and that the plan explains where or how the district and school will obtain the resources to support the execution of a course of action or to meet a requirement established in the plan.

(c) Acceptable means the plan meets the requirements driven by a threat or hazard, meets cost and time limitations, and is consistent with the law.

(d) Complete means the plan:

(i) Incorporates all courses of action to be accomplished for all selected threats and hazards and identified functions;

(ii) Integrates the needs of the whole school community;

(iii) Provides a complete picture of what should happen, when, and at whose direction;

(iv) Estimates time for achieving objectives, with safety remaining as the utmost priority;

(v) Identifies success criteria and a desired end state; and

(vi) Conforms with the planning principles outlined in the "Guide for Developing High-Quality School Emergency Operations Plans."

(e) Compliant means the plan complies with applicable State and local requirements because these provide a baseline that facilitates both planning and execution.

LEA means a local educational agency as defined by section 8101(30) of the Elementary and Secondary Education Act of 1965, as amended (ESEA) (20 U.S.C. 7801(30)).

Outlying areas means the United States Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Federated States of Micronesia, and the Republic of the Marshall Islands. (ESEA section 8101(36), 20 U.S.C. 7801(36)).

Rural LEA means an LEA with one of the following district locale codes as assigned by the National Center for Education Statistics' Common Core of Data: Code 33 (Remote Town); Code 41 (Fringe Rural); Code 42 (Distant Rural); and Code 43 (Remote Rural). LEA locale codes may be obtained by searching the Common Core of Data database at: <http://nces.ed.gov/ccd/districtsearch/>.

SEA means a State educational agency as defined by section 8101(49) of the ESEA (20 U.S.C. 7801(49)).

State means any of the 50 States, the District of Columbia, and the Commonwealth of Puerto Rico, and each of the outlying areas as defined in this notice. (ESEA section 8101(48), 20 U.S.C. 7801(48)).

Technical assistance means consultations, information, referrals, logistical support, and other assistance on specific issues, topics, or problems as requested by the LEAs and other stakeholders. The grantee disseminates materials collected, developed, adapted, and adopted for this assistance. Technical assistance may proceed, follow, or be combined with training activities.

Training means instruction directed toward imparting knowledge, skills, and attitudes supportive of change by engaging, informing, equipping, and motivating trainees toward the development and implementation of action plans responsive to the specific need or circumstances of the trainees. Training may consist of various formats (e.g., workshops, seminars, or computer-assisted tutorials).

Waiver of Proposed Rulemaking: Under the Administrative Procedure Act (5 U.S.C. 553) the Department generally offers interested parties the opportunity to comment on proposed priorities, requirements, and definitions. Section 437(d)(1) of GEPA (20 U.S.C. 1232(d)(1)), however, allows the Secretary to exempt from rulemaking requirements, regulations governing the first grant competition under a new or substantially revised program authority. This is the first grant competition for this program under title IV, part F, subpart 3 of the ESEA (20 U.S.C. 7281), and therefore qualifies for this exemption. In order to ensure timely grant awards, the Secretary has decided to forgo public comment on the priorities, requirements, and definitions in this notice under section 437(d)(1) of GEPA. These priorities, requirements, and definitions will apply to the FY 2018 grant competition and any subsequent year in which we make awards from the list of unfunded applications from this competition.

Program Authority: Title IV, part F, subpart 3 of the ESEA (20 U.S.C. 7281).

Applicable Regulations: (a) The Education Department General Administrative Regulations in 34 CFR parts 75, 77, 79, 81, 82, 84, 86, 97, 98, and 99. (b) The Office of Management and Budget (OMB) Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) in 2 CFR part 180,

as adopted and amended as regulations of the Department in 2 CFR part 3485. (c) The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR part 200, as adopted and amended as regulations of the Department in 2 CFR part 3474. (d) The regulations in 34 CFR part 299.

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$8,000,000.

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

Estimated Range of Awards: \$250,000 to \$750,000 per year for up to 5 years.

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

Maximum Award: We will not make an award exceeding \$750,000 for a single budget period of 12 months.

Estimated Number of Awards: 16.

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

Project Period: Up to 60 months.

III. Eligibility Information

1. Eligible Applicants: SEAs.

Note: Consistent with the definitions in this notice, eligible applicants include SEAs in the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the United States Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Federated States of Micronesia, and the Republic of the Marshall Islands. Eligible applicants may collaborate informally or contract with other agencies to provide services to LEAs, including agencies such as:

- A State school safety center;
- The State emergency management agency; and
- The State homeland security department.

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

3. Subgrantees: A grantee under this competition may not award subgrants to entities to directly carry out project activities described in its application.

4. Administrative Direction and Control: Administrative direction and control over grant funds must remain with the grantee.

5. Limitation on Applications: The Department will accept only one application per SEA.

IV. Application and Submission Information

1. Application Submission Instructions: For information on how to submit an application please refer to our Common Instructions for Applicants to Department of Education Discretionary Grant Programs, published in the Federal

Register on February 12, 2018 (83 FR 6003) and available at www.gpo.gov/fdsys/pkg/FR-2018-02-12/pdf/2018-02558.pdf.

2. Intergovernmental Review: This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. However, under 34 CFR 79.8(a), we waive intergovernmental review in order to make awards by the end of FY 2018.

V. Application Review Information

1. Selection Criteria: The selection criteria for this program are from 34 CFR 75.210. 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 and will evaluate and score each program narrative against the following selection criteria:

(a) Significance (20 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 likelihood that the proposed project will result in system change or improvement. (10 points)

(ii) 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. (10 points)

(b) Quality of the Project Design (30 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 design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs. (15 points)

(ii) The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice. (15 points)

(c) Quality of Project Services (30 points)

The Secretary considers the quality of the services to be provided by the proposed project.

(i) In determining the quality of the services to be provided by the proposed project, the Secretary considers 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. (5 points)

In addition, the Secretary considers the following factors:

(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. (10 points)

(iv) The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project services. (5 points)

(d) Adequacy of Resources (20 points)
The Secretary considers adequacy of resources for the proposed project. In determining the adequacy of resources for the proposed project, the Secretary considers the potential for continued support for the project after Federal funding ends, including as appropriate, the demonstrated commitment of appropriate entities to such support. (20 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 (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

3. Risk Assessment and Specific Conditions: Consistent with 2 CFR 200.205, before awarding grants under this program the Department conducts a review of the risks posed by applicants. Under 2 CFR 3474.10, the Secretary may impose specific conditions and, in appropriate circumstances, high-risk conditions on a grant if the applicant or grantee is not financially stable; has a history of unsatisfactory performance; has a financial or other management system that does not meet the standards in 2 CFR part 200, subpart D; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

4. Integrity and Performance System: If you are selected under this competition to receive an award that over the course of the project period may exceed the simplified acquisition threshold (currently \$150,000), under 2 CFR 200.205(a)(2) we must make a judgment about your integrity, business ethics, and record of performance under Federal awards--that is, the risk posed by you as an applicant--before we make an award. In doing so, we must consider any information about you that is in the integrity and performance

system (currently referred to as the Federal Awardee Performance and Integrity Information System (FAPIIS)), accessible through the System for Award Management. You may review and comment on any information about yourself that a Federal agency previously entered and that is currently in FAPIIS.

Please note that, if the total value of your currently active grants, cooperative agreements, and procurement contracts from the Federal Government exceeds \$10,000,000, the reporting requirements in 2 CFR part 200, Appendix XII, require you to report certain integrity information to FAPIIS semiannually. Please review the requirements in 2 CFR part 200, Appendix XII, if this grant plus all the other Federal funds you receive exceed \$10,000,000.

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. Open Licensing Requirements: Unless an exception applies, if you are awarded a grant under this competition, you will be required to openly license to the public grant deliverables created in whole, or in part, with Department grant funds. When the deliverable consists of modifications to pre-existing works, the license extends only to those modifications that can be separately identified and only to the extent that open licensing is permitted under the terms of any licenses or other legal restrictions on the use of pre-existing works. Additionally, a grantee or subgrantee that is awarded competitive grant funds must have a plan to disseminate these public grant deliverables. This dissemination plan can be developed and submitted after your application has been reviewed and selected for funding. For additional information on the open licensing requirements please refer to 2 CFR 3474.20.

4. 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 multiyear 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.

5. Performance Measures: The Department has established the following Government Performance and Results Act of 1993 (GPRA) performance measures for the GSEM program:

(a) The number of training events provided by the GSEM program to assist LEAs in the development and implementation of high-quality school EOPs.

(b) The extent to which the GSEM program expands the capacity of the SEAs to provide training and technical assistance to LEAs for the development and implementation of high-quality school EOPs.

6. Continuation Awards: In making a continuation award under 34 CFR 75.253, the Secretary considers, among other things: whether a grantee has made substantial progress in achieving the goals and objectives of the project; whether the grantee has expended funds in a manner that is consistent with its approved application and budget; and, if the Secretary has established performance measurement requirements, the performance targets in the grantee's approved application.

In making a continuation award, 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. 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.

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Dated:

Frank Brogan,
Assistant Secretary of
Elementary and Secondary
Education.