

**U.S. Department of Education  
Office of Elementary and Secondary Education  
Office of Safe and Supportive Schools  
Washington, D.C. 20202-6450**

**Fiscal Year 2019**

**Application for New Grants Under  
School Climate Transformation Grant—  
Local Educational Agency Grants**

**CFDA 84.184G**



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## 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: 1894-0006. Public reporting burden for this collection of information is estimated to average 28 hours per response, including the time for reviewing instructions, searching existing data resources, 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 (EDGAR (34 CFR 75.104(a)).

**If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Carlette KyserPegram, School Climate Transformation Grant—Local Educational Agency Grants, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3E257 Washington D.C. 20202-6450. [Note: Please do not return the completed application to this address.]

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**United States Department of Education**  
OFFICE OF ELEMENTARY AND SECONDARY EDUCATION  
OFFICE OF SAFE AND SUPPORTIVE SCHOOLS

Dear Colleague:

Thank you for your interest in the School Climate Transformation Grant—Local Educational Agency (SCTG-LEA) program, administered by the Office of Elementary and Secondary Education of the U.S. Department of Education (Department), Office of Safe and Supportive Schools (OSSS). OSSS acknowledges that school climate plays a critical role in the potential success and school experiences of a student, and we are dedicated to helping keep students safe and improving their learning environments. Administering the SCTG-LEA grant program is just one example of how we support that effort. This program provides competitive grants to local educational agencies (LEAs) to develop, enhance, or expand systems of support for, and technical assistance to, schools implementing a multi-tiered system of support, for improving school climate.

In addition to administering this grant program, the Department supports two technical assistance centers that offer free assistance on improving school climate: (1) the National Center of Safe and Supportive Learning Environments ([www.safesupportivelearning.ed.gov](http://www.safesupportivelearning.ed.gov)), and (2) the Technical Assistance Center on Positive Behavioral Interventions and Supports ([www.pbis.org](http://www.pbis.org)). We encourage applicants to visit the websites of these technical assistance providers to learn more about school climate and available resources.

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

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

Please visit our program website at <https://www2.ed.gov/programs/schoolclimatelea/index.html> for further information. If you have any questions about the program after reviewing the application package, please contact Carlette KyserPegram by telephone at (202) 453-6732 or via e-mail at [LEA.SCTG19@ed.gov](mailto:LEA.SCTG19@ed.gov).

Paul Kesner, Director  
Office of Safe and Supportive Schools

## Program Background and Overview

School climate plays a critical role in the potential success and school experiences of a student. In 2014, the Department developed a school climate survey resource, called the ED School Climate Survey tool (EDSCLS), to assist States, local districts, and schools to collect and access data related to their school climate. This tool focuses on three content domains: (1) engagement (which encompasses cultural and linguistic competence, relationships, and school participation), (2) safety (which encompasses emotional safety, physical safety, bullying/cyberbullying, substance abuse, and emergency readiness/management), and (3) environment, including physical environment, instructional environment, physical health, mental health, and discipline.

Implementing a multi-tiered system of support (MTSS) framework is one strategy schools can use to address their school climate concerns. MTSS frameworks are designed to assist schools in providing the appropriate level of instruction and intervention for their students. The successful implementation of an MTSS can support many areas of students' needs including academic growth and achievement, behavior, and social and emotional needs.

This competition includes three absolute priorities and four competitive preference priorities. We are establishing the absolute priorities and Competitive Preference Priorities 3 and 4 for the FY 2019 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). In accordance with 34 CFR 75.105(b)(2)(ii), Competitive Preference Priorities 1 and 2 are from the Department's Notice of Final Supplemental Priorities and Definitions for Discretionary Grant Programs (Supplemental Priorities), published in the Federal Register on March 2, 2018 (83 FR 9096).

**Purpose:** The School Climate Transformation Grant Program--Local Educational Agency Grants (SCTG-LEA) provides competitive grants to local educational agencies (LEAs) to develop, enhance, or expand systems of support for, and technical assistance to, schools implementing a multi-tiered system of support, for improving school climate.

**Eligibility:** Local Education Agencies (LEAs) or consortia of LEAs, as defined by section 8101(30) of the ESEA. The Secretary limits eligibility under this discretionary grant competition to LEAs that have never received a grant under SCTG-LEA.

**Authority:** Subpart 3 of Title IV, Part F of the ESEA (20 U.S.C. 7281).

**Official Document Notice:** The official document governing this competition is the Notice Inviting Applications published in the Federal Register on June 10, 2019 also included in this application package).

**Project Period:** The project period for these grants is up to 60 months (5 budget periods of 12 months each). The exact start date is not known at this time. We estimate awards will be announced by late September 2019. Projects will be funded for the first year with an option for four additional years contingent upon demonstration of substantial progress by the grantee and the availability of future funds. Note: Applicants must submit ED Form 524 and a detailed budget narrative for each budget period that funding is requested.

**Estimated Award Information:** We estimate we will make approximately 80 new awards. Projects will be funded for approximately \$100,000 to \$750,000 per year for up to 5 years, depending on the scope of work. These figures are only estimates and do not bind the Department to a specific number of grants or amount of any grant. Contingent upon the availability of funds and the quality of applications, we may make additional awards (or fund down the approved slate) in future fiscal years based on the list of unfunded applications from this competition.

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

**Matching Funds:** This program does not require a matching contribution from the grantee; however, if you propose matching funds, we will monitor the grant to ensure the match is met, and you will be expected to report annually on the matching funds as well as federal funds.

**Travel Budget:** Applicants should budget funds for the project director and one additional staff member to attend the Office of Safe and Supportive Schools, School Climate Transformation Project Directors Meeting each year of the grant. For planning purposes, applicants should include funds for transportation, lodging for two nights and three days, and per diem costs. There are no meeting or registration costs for our grantees. These meetings will usually be held in Washington, DC.

**Email Address:** 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 Due Date:** All applications must be submitted electronically through the Grants.gov portal and must be submitted before 11:59:59p.m., Eastern Time, on July 22, 2019. Please note that applications may not be emailed or faxed.

Note: Under very extraordinary circumstances, the Department may change the closing date for a competition. When this occurs, we announce such a change in a notice published in the Federal Register. Waivers for individual applications failing to meet the deadline will not be granted, except in the circumstances described in the section under electronic submission of applications.

**Review of Applications and Notification of Award:** The review of applications and notification of awards for this grant competition requires approximately 8 to 10 weeks depending on the number of applications we receive. We expect to notify successful applicants by late September 2019. Unsuccessful applicants will be notified within 60 days after awards are announced.

**Human Subjects Research Activities:** Please see Item 3 of the instructions for Supplemental Information for Standard Form 424 in this application package. Projects funded under this grant program may be subject to protection of human subjects research requirements. If you have any questions about your responsibilities under these requirements, please contact ED's protection of human subjects coordinator at 202-245-8090.

**The U.S. Department of Education's Expectations:** By submitting an application for this program, applicants agree to fully cooperate with any evaluation efforts conducted by the Department and its

contractors. At a minimum, grantees are expected to maintain records on how their program is operating; maintain records on the extent to which their program objectives are being met; include specific performance measures in their evaluation plan; and make ongoing project information, findings and products available to ensure the dissemination of knowledge gained from this effort during the grant period.

**Project Director Time Commitment:** Applicants are requested to provide the percent of the Project Director's time that will be dedicated to the grant project if funded. For example, if the Project Director works 40 hours per week and spends 20 hours of that 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 that they add this information to the Project Director line on the Supplemental Information for Standard Form 424.

**Reports:** Each grantee is required to submit annual and a final report to demonstrate progress toward GPRA measures and project objectives. For multiple-year projects, these reports are also evaluated to determine whether substantial progress has been made to justify a continuation award. For projects funded for one year, only a final report is required.

**Absolute Priority:** This competition includes four absolute priorities. For FY 2019 and any subsequent year in which we make awards from the list of unfunded applications from this competition, these priorities are absolute priorities.

**Absolute Priority 1--Improving School Climate.** Projects designed to develop, enhance, or expand systems of support for, and technical assistance to, schools implementing a multi-tiered system of support for improving school climate, which may include a multi-tiered behavioral framework, by using evidence-based efforts that are designed to foster safety; promote supportive academic, disciplinary, and physical environments; and/or encourage and maintain respectful, trusting, and caring relationships throughout the school community.

**Absolute Priority 2--LEAs that are rural LEAs or serve a federally recognized Tribe.** An LEA, including a BIE-funded school, meets this absolute priority if it provides evidence that it meets one of the following criteria: (1) it is a rural LEA, as defined in this notice; or (2) it predominantly serves members of one federally recognized Tribe. In determining whether a charter school LEA meets criteria (1) of this absolute priority, we consider where the school is located, regardless of where the students it serves live.

**Absolute Priority 3--LEAs that include a Qualified Opportunity Zone.** An LEA meets this priority if it includes, as a portion of the area served by the LEA, a Qualified Opportunity Zone under section 1400Z-1 of the Internal Revenue Service Code, as amended by the Tax Cuts and Jobs Act, as defined in this notice. In determining whether a charter school LEA meets this absolute priority, we consider where the school is located, regardless of where the students it serves live.

**Absolute Priority 4--LEAs that are not rural LEAs, do not include Qualified Opportunity Zones, and do not serve a Tribe.** An LEA meets this absolute priority if it indicates in its application that

it is not a rural LEA, as defined in this notice, does not serve a Qualified Opportunity Zone, and does not predominantly serve members of one federally recognized Tribe.

**Competitive Preference Priorities:** For FY 2019 and any subsequent year in which we make awards from the list of unfunded applications from this competition, these priorities are competitive preference priorities.

**Competitive Preference Priority 1--Protecting Freedom of Speech and Encouraging Respectful Interactions in a Safe Educational Environment (0 to 2 points).** Projects that are designed to develop positive learning environments that promote strong relationships among students and school personnel to help prevent bullying, violence, and disruptive actions that diminish the opportunity for each student to receive a high-quality education.

**Competitive Preference Priority 2--Fostering Knowledge and Promoting the Development of Skills That Prepare Students To Be Informed, Thoughtful, and Productive Individuals and Citizens (0 to 3 points).** Projects that are likely to improve student academic performance and better prepare students for employment, responsible citizenship, and fulfilling lives, including by preparing children or students to do one or more of the following:

- (i) Develop positive personal relationships with others.
- (ii) Develop determination, perseverance, and the ability to overcome obstacles.
- (iii) Develop self-esteem through perseverance and earned success.
- (iv) Develop problem-solving skills.
- (v) Develop self-regulation in order to work toward long-term goals.

**Competitive Preference Priority 3--Opioid Abuse and Prevention (0 to 5 points).** Applications that propose a high-quality plan to implement opioid abuse prevention and mitigation strategies. The plan must describe how the LEA will use funds to implement evidence-based strategies for preventing opioid abuse by students, and/or address the mental health needs of students who are negatively impacted by family or community members who are (or have been) abusers. The plan may also include providing technical assistance to, or support for, schools that implement or plan to implement high-quality approaches to opioid abuse prevention such as the Screening, Brief Intervention, and Referral to Treatment (SBIRT) approach supported by the U.S. Department of Health and Human Services, Substance Abuse and Mental Health Services Administration. Applicants that receive competitive preference points under this priority and are ultimately awarded an SCTG-LEA grant will finalize and implement the high-quality plan described in response to this priority post-award.

**Program Requirements:** We are establishing these program requirements for the FY 2019 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).

Each grantee must implement a project that builds LEA capacity for supporting schools implementing evidence-based efforts to improve school climate by--

- (a) Developing, enhancing, or expanding systems of support for, and technical assistance to, schools implementing a multi-tiered system of support for improving school climate by using evidence-based

efforts that are designed to foster safety; promote supportive academic, disciplinary, and physical environments; and/or encourage and maintain respectful, trusting, and caring relationships throughout the school community;

(b) Improving the skills of LEA personnel to assist schools' efforts to improve school climate through, for example, policies, funding, professional development, coaching, and coordination of providing services and implementing programs;

(c) Improving the quality, accessibility, and usefulness of any relevant districtwide data collection and analysis related to data-based decision making in areas related to improved school climate;

(d) Defining what it means to implement the multi-tiered system of support with fidelity and determining annually the extent to which the impacted schools are implementing such model with fidelity, for example, by using a tool or rubric to review implementation;

(e) Encouraging the use of evidence-based practices and reliable and valid tools and processes for evaluating the fidelity of efforts related to improved school climate; and

(f) Coordinating LEA efforts with appropriate Federal, State, and local resources.

**Application Requirements:** The applicant must--

(a) Describe the current efforts by the LEA to support schools implementing evidence-based efforts that are designed to foster safety; promote a supportive academic, disciplinary, and physical environment; and/or encourage and maintain respectful, trusting, and caring relationships throughout the school community;

(b) Describe how the LEA used the EDSCLS or similar assessment tool to help determine program needs and will use the EDSCLS or similar assessment tool for program decision making and improvements;

(c) Describe its plan to build, improve, or enhance LEA capacity to provide effective training, technical assistance, and support to schools related to implementing evidence-based efforts that are designed to foster safety; promote a supportive academic, disciplinary, and physical environment; and/or encourage and maintain respectful, trusting, and caring relationships throughout the school community, including--

- (1) When and how often the applicant plans to conduct technical assistance activities;
- (2) How the applicant plans to garner buy-in from participants and other stakeholders; and
- (3) The estimated number of schools that will be assisted; and

(d) Describe how the proposed project will address the needs of schools identified for comprehensive support and improvement under section 1111(d)(1) of the Elementary and Secondary Education Act of 1965, as amended (ESEA), and schools identified for targeted support and improvement under section 1111(d)(2) of the ESEA.

**Definitions:**

Demonstrates a rationale means a key project component included in the project’s logic model is informed by research or evaluation findings that suggest the project component is likely to improve relevant outcomes.

Evidence-based means the proposed project component is supported by one or more of strong evidence, moderate evidence, promising evidence, or evidence that demonstrates a rationale.

Experimental study means a study that is designed to compare outcomes between two groups of individuals (such as students) that are otherwise equivalent except for their assignment to either a treatment group receiving a project component or a control group that does not. Randomized controlled trials, regression discontinuity design studies, and single-case design studies are the specific types of experimental studies that, depending on their design and implementation (e.g., sample attrition in randomized controlled trials and regression discontinuity design studies), can meet What Works Clearinghouse (WWC) standards without reservations as described in the WWC Handbook:

(i) A randomized controlled trial employs random assignment of, for example, students, teachers, classrooms, or schools to receive the project component being evaluated (the treatment group) or not to receive the project component (the control group).

(ii) A regression discontinuity design study assigns the project component being evaluated using a measured variable (e.g., assigning students reading below a cutoff score to tutoring or developmental education classes) and controls for that variable in the analysis of outcomes.

(iii) A single-case design study uses observations of a single case (e.g., a student eligible for a behavioral intervention) over time in the absence and presence of a controlled treatment manipulation to determine whether the outcome is systematically related to the treatment.

Local educational agency (LEA) means (i) A public board of education or other public authority legally constituted within a State for either administrative control or direction of, or to perform a service function for, public elementary schools or secondary schools in a city, county, township, school district, or other political subdivision of a State, or of or for a combination of school districts or counties that is recognized in a State as an administrative agency for its public elementary schools or secondary schools; (ii) Any other public institution or agency having administrative control and direction of a public elementary school or secondary school; (iii) An elementary school or secondary school funded by the Bureau of Indian Education but only to the extent that including the school makes the school eligible for programs for which specific eligibility is not provided to the school in another provision of law and the school does not have a student population that is smaller than the student population of the local educational agency receiving assistance under this Act with the smallest student population, except that the school shall not be subject to the jurisdiction of any Local Educational Agency other than the Bureau of Indian Education; (iv) Educational service agencies and consortia of those agencies; or (v) The Local Educational Agency in a State in which the Local Educational Agency is the sole educational agency for all public schools.

Logic model (also referred to as a theory of action) means a framework that identifies key project components of the proposed project (i.e., the active “ingredients” that are hypothesized to be critical to achieving the relevant outcomes) and describes the theoretical and operational relationships among the key project components and relevant outcomes.

Moderate evidence means that there is evidence of effectiveness of a key project component in improving a relevant outcome for a sample that overlaps with the populations or settings proposed to receive that component, based on a relevant finding from one of the following: (i) A practice guide prepared by the WWC using version 2.1 or 3.0 of the WWC Handbook reporting a “strong evidence base” or “moderate evidence base” for the corresponding practice guide recommendation; (ii) An intervention report prepared by the WWC using version 2.1 or 3.0 of the WWC Handbook reporting a “positive effect” or “potentially positive effect” on a relevant outcome based on a “medium to large” extent of evidence, with no reporting of a “negative effect” or “potentially negative effect” on a relevant outcome; or (iii) A single experimental study or quasi-experimental design study reviewed and reported by the WWC using version 2.1 or 3.0 of the WWC Handbook, or otherwise assessed by the Department using version 3.0 of the WWC Handbook, as appropriate, and that—

- (A) Meets WWC standards with or without reservations;
- (B) Includes at least one statistically significant and positive (i.e., favorable) effect on a relevant outcome;
- (C) Includes no overriding statistically significant and negative effects on relevant outcomes reported in the study or in a corresponding WWC intervention report prepared under version 2.1 or 3.0 of the WWC Handbook; and
- (D) Is based on a sample from more than one site (e.g., State, county, city, school district, or postsecondary campus) and includes at least 350 students or other individuals across sites. Multiple studies of the same project component that each meet requirements in paragraphs (iii)(A), (B), and (C) of this definition may together satisfy this requirement.

Multi-tiered system of support means a comprehensive continuum of evidence-based, systemic practices to support a rapid response to students’ needs, with regular observation to facilitate data-based instructional decision making.

Project component means an activity, strategy, intervention, process, product, practice, or policy included in a project. Evidence may pertain to an individual project component or to a combination of project components (e.g., training teachers on instructional practices for English learners and follow-on coaching for these teachers).

Promising evidence means that there is evidence of the effectiveness of a key project component in improving a relevant outcome, based on a relevant finding from one of the following:

- (i) A practice guide prepared by WWC reporting a “strong evidence base” or “moderate evidence base” for the corresponding practice guide recommendation;
- (ii) An intervention report prepared by the WWC reporting a “positive effect” or “potentially positive effect” on a relevant outcome with no reporting of a “negative effect” or “potentially negative effect” on a relevant outcome; or
- (iii) A single study assessed by the Department, as appropriate, that (A) Is an experimental study, a quasi-experimental design study, or a well-designed and well-implemented correlational study with statistical controls for selection bias (e.g., a study using regression methods to account for differences between a treatment group and a comparison group); and (B) Includes at least one statistically significant and positive (i.e., favorable) effect on a relevant outcome.

Qualified Opportunity Zone means a Qualified Opportunity Zone, as designated by the Secretary of the Treasury under section 1400Z-1 of the Internal Revenue Code, as amended by the Tax Cuts and Jobs Act (Pub. L. 115-97). To demonstrate that it meets Absolute Priority 2 by being located in a Qualified Opportunity Zone, an applicant must provide the census tract number of the Qualified Opportunity Zone(s) in which it proposes to provide services. A list of Qualified Opportunity Zones is available at: [www.cdfifund.gov/Pages/Opportunity-Zones.aspx](http://www.cdfifund.gov/Pages/Opportunity-Zones.aspx) .

Quasi-experimental design study means a study using a design that attempts to approximate an experimental study by identifying a comparison group that is similar to the treatment group in important respects. This type of study, depending on design and implementation (e.g., establishment of baseline equivalence of the groups being compared), can meet WWC standards with reservations, but cannot meet WWC standards without reservations, as described in the WWC Handbook.

Relevant outcome means the student outcome(s) or other outcome(s) the key project component is designed to improve, consistent with the specific goals of the program.

Rural local educational agency means a local educational agency that is eligible under the Small Rural School Achievement (SRSA) program or the Rural and Low-Income School (RLIS) program authorized under Title V, Part B of the ESEA. Eligible applicants may determine whether a particular district is eligible for these programs by referring to information on the Department’s website at <https://www2.ed.gov/programs/reapsrsa/eligibility.html> . Note: For the purposes of this competition, in order to qualify as a rural LEA under this definition, an LEA must have been eligible for fiscal year 2018 or 2019 SRSA or RLIS funds.

Strong evidence means that there is evidence of the effectiveness of a key project component in improving a relevant outcome for a sample that overlaps with the populations and settings proposed to receive that component, based on a relevant finding from one of the following:

- (i) A practice guide prepared by the WWC using version 2.1 or 3.0 of the WWC Handbook reporting a “strong evidence base” for the corresponding practice guide recommendation;
- (ii) An intervention report prepared by the WWC using version 2.1 or 3.0 of the WWC Handbook reporting a “positive effect” on a relevant outcome based on a “medium to large” extent of evidence, with no reporting of a “negative effect” or “potentially negative effect” on a relevant outcome; or
- (iii) A single experimental study reviewed and reported by the WWC using version 2.1 or 3.0 of the WWC Handbook, or otherwise assessed by the Department using version 3.0 of the WWC Handbook, as appropriate, and that (A) Meets WWC standards without reservations; (B) Includes at least one statistically significant and positive (i.e., favorable) effect on a relevant outcome; (C) Includes no overriding statistically significant and negative effects on relevant outcomes reported in the study or in a corresponding WWC intervention report prepared under version 2.1 or 3.0 of the WWC Handbook; and (D) Is based on a sample from more than one site (e.g., State, county, city, school district, or postsecondary campus) and includes at least 350 students or other individuals across sites. Multiple studies of the same project component that each meet requirements in paragraphs (iii)(A), (B), and (C) of this definition may together satisfy this requirement.

What Works Clearinghouse Handbook (WWC Handbook) means the standards and procedures set forth in the WWC Procedures and Standards Handbook, Version 3.0 or Version 2.1 (incorporated by reference, see 34 CFR 77.2). Study findings eligible for review under WWC standards can meet WWC standards without reservations, meet WWC standards with reservations, or not meet WWC standards. WWC practice guides and intervention reports include findings from systematic reviews of evidence as described in the Handbook documentation.

#### **School Climate Transformation Grant Technical Assistance Centers:**

The National Center on Safe Supportive Learning Environments (NCSSE) provides training and support to state administrators, school and district administrators, institutions of higher education, teachers, support staff at schools, communities and families, and students. It also seeks to improve schools' conditions for learning through measurement and program implementation, so that all students have the opportunity to realize academic success in safe and supportive environments.

<http://www.safesupportivelearning.ed.gov>

Positive Behavioral Interventions & Supports (PBIS) The Technical Assistance Center on Positive Behavioral Interventions and Supports is established by the U.S. Department of Education's Office of Special Education Programs (OSEP) to define, develop, implement, and evaluate a multitiered approach to Technical Assistance that improves the capacity of states, districts and schools to establish, scale-up and sustain the PBIS framework. Emphasis is given to the impact of implementing PBIS on the social, emotional and academic outcomes for students with disabilities. <http://www.pbis.org>

## **Frequently Asked Questions**

### **Administrative**

#### **1. What is the deadline date for this competition?**

The deadline for this competition is July 22, 2019.

#### **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 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.

#### **3. Do I have to submit my application electronically?**

Yes. Unless you qualify for an exception in accordance with the instructions found in the Notice Inviting Applications (NIA), you must submit your application electronically.

#### **4. How do I submit my application electronically?**

You must submit your application electronically via Grants.gov. For more information on using Grants.gov, please refer to the "Common Instructions for Applicants to Department of Education Discretionary Grant Programs" published in the Federal Register on June 10, 2019. The

Grants.gov "Submission Procedures and Tips" document found in this application package; and/or visit [www.grants.gov](http://www.grants.gov) .

**5. 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.

**6. 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. To read the text of the Freedom of Information Act, visit <http://www.ed.gov/policy/gen/leg/foia/foiatoc.html>.

**7. For my 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.

**8. 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 ED and check the appropriate line on the SF 424 form.

**9. 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 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.

**10. 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.

## **Eligibility**

### **11. Who is eligible to apply?**

Eligible applicants are LEAs, or consortia of LEAs, as defined by section 8101(30) of the ESEA. Any LEA that has ever received a grant under SCTG-LEA is not eligible for this grant.

### **12. Are colleges or universities eligible to apply for this grant?**

No. Colleges and universities are not considered LEAs and thus are not eligible for this grant. Only entities that meet the definition of an LEA may receive funding under this program.

## **Priorities**

### **13. Must all applicants address Absolute Priority 1 to be eligible for funding?**

Yes, all applications must address the Absolute Priority 1 - Improving School Climate to be eligible for funding. Projects designed to develop, enhance, or expand systems of support for, and technical assistance to, schools implementing a multi-tiered system of support for improving school climate by using evidence-based efforts that are designed to foster safety; promote supportive academic, disciplinary, and physical environments; and/or encourage and maintain respectful, trusting, and caring relationships throughout the school community.

### **14. Does the Department require a particular multi-tiered system of support framework to be used in order to meet Absolute Priority 1?**

No. The Department neither requires nor endorses any particular multi-tiered system of support framework to be used in order to meet Absolute Priority 1. However, the applicant chosen multi-tiered system of support framework must be intended to improve school climate by using evidence-based efforts that are designed to foster safety; promote supportive academic, disciplinary, and physical environments; and/or encourage and maintain respectful, trusting, and caring relationships throughout the school community

### **15. Are applicants required to meet Absolute Priorities 2, 3, and 4?**

No. In addition to meeting Absolute Priority 1, applicants must identify if they meet absolute priority 2, 3, or 4. Applicants should indicate under which priorities they are applying in the abstract section of the proposal.

### **16. Are applicants required to meet address all three competitive priorities?**

No. Applicants are not required to address all of the competitive preference priorities. Applicant may elect to address one, two, three, or none of the competitive priorities.

**17. If we decide to apply for the competitive preference priority, are we required to state our intention to do so in the abstract section of the application?**

Yes. In order to be eligible for earning competitive preference priority points, an applicant must state in the abstract section of its application that it is seeking points under the competitive preference priority, and we encourage you to specifically identify your response to the competitive preference priority to assist reviewers. Applications that fail to clearly state in the abstract section that they are seeking to earn points under the competitive preference will not be reviewed against the competitive preference priority and will not be awarded competitive preference priority points.

**18. Where should we provide supporting information to address the competitive preference priority for purposes of earning competitive preference priority points?**

Applicants should discuss in more detail how you will be addressing the competitive preference priority as part of the overall proposed project goals and objectives in the application narrative.

**Requirements**

**19. 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

**20. What are the Project Performance Measures for this program?**

The Department has established the following performance measures for assessing the effectiveness of the School Climate Transformation Grant Program:

- (a) The number of training and/or technical assistance events to support implementation with fidelity provided annually by LEAs to schools implementing a multi-tiered system of support.
- (b) Number and percentage of schools annually that report an improved school climate based on the results of the EDSCLS or similar tool.
- (c) Number and percentage of schools annually that are implementing a multi-tiered system of support framework with fidelity.
- (d) Number and percentage of schools annually that are implementing opioid abuse prevention and mitigation strategies.

(e) Number and percentage of schools that report an annual decrease in suspensions and expulsions related to possession or use of alcohol.

(f) Number and percentage of schools that report an annual decrease in suspensions and expulsions related to possession or use of other drugs.

**21. What technical assistance is available for applicants?**

The Office of Safe and Supportive Schools plans to conduct a technical assistance (TA) conference call designed to assist applicants who might have questions related to the application process and procedure for this grant program. Applicants are encouraged to read through the entire application package before participating in this TA call. The *tentative* date and time is **June 25, 2019 at 2:00pm** Eastern Time. Applicants should reference our website at: <https://www2.ed.gov/programs/schoolclimatelea/index.html> for follow-up information related to this call.

**22. Where in my proposal should I address the four application requirements that are in the NIA?**

Applicants will inherently address the four application requirements throughout the narrative under the relevant selection criterion. However, for screening purposes, applicants should clearly identify where the narrative is addressing one of the four application requirements.

**23. What is EDSCLS, and how do I access it?**

ED School Climate Survey tool (EDSCLS) is a school climate survey resource developed by the Department in 2014. The resource is intended to assist States, local districts, and schools collect and access data related to their school climate. It focuses on three content domains: (1) engagement (which encompasses cultural and linguistic competence, relationships, and school participation), (2) safety (which encompasses emotional safety, physical safety, bullying/cyberbullying, substance abuse, and emergency readiness/management), and (3) environment, including physical environment, instructional environment, physical health, mental health, and discipline. Applicants can learn more about EDSCLS and download it for free by visiting <https://safesupportivelearning.ed.gov/edscls>.

**Application Review**

**24. 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 priorities, eligibility, and other requirements published in the NIA.

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.

**25. 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.

**26. Will the reviewers have access to every part of each application?**

Yes. Reviewers will have access to every part of the application (including the budget narrative, and project narrative, among others). 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.

**Budget**

**27. Is there a maximum award amount for this competition?**

Yes. We will reject any application that proposes a budget exceeding \$750,000 for a single budget period of 12 months. The Assistant Secretary for Elementary and Secondary Education may change the maximum amount through a notice published in the Federal Register.

**28. 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.

**29. Does this program use a restricted or unrestricted indirect cost rate?**

This program uses an unrestricted indirect cost rate.

**30. 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.

**31. 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.

**32. 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 receive an indirect cost rate within 90 calendar days of the start of the grant to continue to charge indirect costs to the grant.

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](mailto:IndirectCostGroup@ed.gov).

**33. Are there guidelines for how much money can be spent on consultants?**

No. Under EDGAR 75.515, a grantee must use its general policies and practices when it hires, uses, and pays a consultant as part of the project staff. However, grant funds may not be used to pay a consultant unless there is a need in the project for the services of that consultant and the grantee cannot meet that need by using an employee rather than a consultant. Costs associated with a consultant must be reasonable, allocable, and allowable.

**34. What are the funding restrictions?**

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

**35. When direct costs include equipment and large contracts, how are these costs treated in the calculation of a grantee's indirect costs?**

The terms of the applicable indirect cost agreement govern this issue. In general, the indirect cost rate is applied to direct costs to calculate the indirect costs that can be charged to a grant. However, many indirect cost rate agreements exclude from the direct costs used for this calculation equipment costs. Additionally, contractual costs that exceed the first \$25,000 of each contract are excluded from the indirect calculation unless otherwise explicitly indicated in the indirect cost rate agreement.

**36. Are applicants required to secure cost sharing or matching funds?**

No. The applicants are not required to secure cost sharing or matching funds under this grant program.

**37. When an applicant commits non-Federal funds to the proposed project, does this create a legal obligation to fulfill the commitment?**

Yes. Section 75.700 of the Education Department General Administrative regulations (EDGAR) (34 C.F.R. 75.700) requires each grantee to comply with the content of its approved application. Therefore, if an application is approved, the grantee is responsible for fulfilling the commitment of non-Federal funds or in-kind resources set forth in Section B of ED Form 524 included in its application and any commitment of non-Federal funds identified in the application. Grantees are required to meet these commitments and to report on the extent to which they have been met in their annual performance reports.

**38. What is the project and budget period for these grants?**

The project period for this grant is up to five years (60 months). Each grant year is considered its own budget period. The application should include a description of the proposed activities for all five years, as well as a budget narrative that includes information for each budget year. Continuation awards are made based on an applicant's ability to demonstrate substantial progress in their required annual performance reports.

**39. What should I use as the project start date?**

Should you receive a grant, the start date will depend on when funds can be awarded and obligated. In general, applicants should use October 1, 2019 as a project start date; however, the proposed project start date might be slightly modified once a grant is received.

**40. Can applicants budget for "training stipend" costs on ED Form 524?**

No. These costs are not allowable for this program. All applicants must complete the "training stipend" line item with a "0."

**41. 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 non-Federal funds to support the proposed project.

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.

## Preparing and Submitting an Application

### Beginning the Application Process

- Read this application package in its entirety and make sure you follow all instructions.
- Use the tools we have provided to help you, including:
  - Frequently Asked Questions section in this application package.
  - Resources related to this specific grant competition on our website at <http://www2.ed.gov/programs/schoolclimatesea>
- If you do not understand an instruction or requirement, contact Carlette KyserPegram, U.S. Department of Education, Office of Safe and Supportive Schools at [LEA.SCTG19@ed.gov](mailto:LEA.SCTG19@ed.gov) or (202) 453-6732 for information about this grant competition.
- 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.

### Preparing Your Application

- Organize your narrative according to the selection criteria headings and respond comprehensively.
- Be thorough in your responses. Write so that someone who knows nothing about your community and the proposed activities, curricula, programs, and services can understand what you are proposing and why.
- Make sure your budget provides sufficient itemization and detailed descriptions about planned expenditures so ED staff can easily determine how amounts were calculated. Make sure you have an itemized and detailed narrative for each year you are requesting funding.
- 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.
- Please be sure to budget for all required grantee meetings.

### 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](http://www.grants.gov). Unless you qualify for an exception in accordance with the instructions found in the Notice Inviting Applications, you must submit your application electronically.

## What Happens Next?

- If you submit your application electronically, the PR/Award number will be generated automatically when you submit your application. Please refer to this PR/Award number if you need to contact us about your application.
- Staff members screen each application to ensure that all program eligibility requirements are met and that all forms are included and signed by the Authorized Representative.
- Your application will be assigned to a three-person panel of independent reviewers who will evaluate and score your proposal according to the selection criteria in this package. Your application will receive a score from 0 to 100, depending upon how well it addresses the selection criteria. Your application may receive an additional 10 points depending on if and how well it addresses the competitive preference priorities.
- 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 also will receive a notification letter. Please be sure your application contains a valid mailing address for both the Project Director and the Authorized Representative so that reviewers' comments can be successfully delivered.

## Application Submission Procedures

**The deadline for submission of School Climate Transformation Grants—Local Educational Agency Grants applications through Grants.gov is 11:59:59pm on July 22, 2019.**

### Application Transmittal Instructions

Attention Electronic Applicants: This program **requires** the electronic submission of applications--specific requirements and instructions can be found in the Federal Register notice. Please note that you **must** follow the Application Procedures as described in the Federal Register notice announcing the grant competition.

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

### Applications Submitted Electronically

We are participating as a partner in the Government-wide Grants.gov site. Submit applications electronically using Grants.gov. Do not email them.

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](http://www.grants.gov/web/grants/applicants/apply-for-grants.html). You may access the electronic grant applications at [www.Grants.gov](http://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 84.184 not 84.184G).

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](mailto: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 11:59:59p.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 11:59:59 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](http://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](http://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 11:59:59p.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.

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

Submission of Paper Applications by Mail:

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

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.184G)  
LBJ Basement Level 1  
400 Maryland Avenue, S.W.  
Washington, DC 20202-4260

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

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

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

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

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

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

Submission of Paper Applications by Hand Delivery:

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

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.184G)  
550 12th Street, S.W.  
Room 7039, Potomac Center Plaza  
Washington, DC 20202-4260

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

Note for Mail or Hand Delivery of Paper Applications:

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

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

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

**For your convenience, a compatible version of Adobe Reader is available for free download at <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html?inheritRedirect=true> .**

We strongly recommend that you review the information on computer and operating system compatibility with Adobe available at <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html?inheritRedirect=true> **before** downloading, completing or submitting your application.

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

### **Grants.gov Submission Procedures and Tips for Applicants**

To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department 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>  
Create a Workspace: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.

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.

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.

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

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

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

**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 11:59:59p.m. Eastern 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.

**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 11:59:59p.m. Eastern 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 11:59:59p.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: [support@grants.gov](mailto:support@grants.gov)

If electronic submission is required, you must submit an electronic application before 11:59:59p.m. Eastern 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.

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

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 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.

#### **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 access the Grants.gov Self-Service web portal at: <https://grants-portal.psc.gov/Welcome.aspx?pt=Grants>.

If electronic submission is required, you must submit an electronic application before 11:59:59p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

#### **Helpful Hints When Working with Grants.gov**

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

## Application Instructions

### Electronic Application Format

Applications for grants under this competition must be submitted electronically, unless you qualify for an exception to the electronic submission requirement in accordance with the instructions in this application package.

In accordance with EDGAR §75.216 (b) and (c), an application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the program.

*Important note:* Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download 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 **Submitting Applications with Adobe Reader Software** and **Education Submission Procedures and Tips for Applicants** forms found within this package for further information and guidance related to this requirement.

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

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

## Electronic Application Submission Checklist

It is recommended that your electronic application be organized in the following manner and include the following parts in order to expedite the review process. Instructions for all parts and forms of the application are found either on the following pages of the application package or individually for each form on Grants.gov.

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

### Part 1: Preliminary Documents

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

### Part 2: Budget Information

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

### Part 3: ED Abstract Form

- Project Abstract

### Part 4: Project Narrative Attachment Form

- Application Narrative

### Part 5: Budget Narrative Attachment Form

- Budget Narrative

### Part 6: Other Attachments Form

- Individual Resumes for Project Directors & Key Personnel
- Executive Order 12372 Transmittal Letter
- 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 (ED 80-0013 Form)
- General Education Provisions Act (GEPA) Requirements – Section 427 (ED GEPA427 form)

### Part 8: Intergovernmental Review (Executive Order 12372)

- State Single Point of Contact (SPOC) List

### **Part 1: Preliminary Documents**

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

These forms require basic identifying information about the applicant and the application. Please provide all requested applicant information (including name, address, e-mail address and DUNS number).

**When applying electronically via Grants.gov, you will need to ensure that the DUNS number you enter on your application is the same as the DUNS number your organization used when it registered with the System for Award Management.**

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

*NOTE: Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although this form accepts attachments, the Department 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.	<b>Type of Submission:</b> (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.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	<b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions.  <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.</li> </ul> A. Increase Award      B. Decrease Award  C. Increase Duration      D. Decrease Duration  E. Other (specify)	12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	<b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	<b>Areas Affected By Project:</b> 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, needed.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.		
5a	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.	16.	<b>Congressional Districts Of:</b> (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 5th <sup>th</sup> district, CA-012 for California 12 <sup>th</sup> district, NC-103 for North Carolina's 103 <sup>rd</sup> district.  <ul style="list-style-type: none"> <li>• If all congressional districts in a state are affected, enter "all" the district number, e.g., MD-all for all congressional districts Maryland.</li> </ul>
5b.	<b>Federal Award Identifier:</b> 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.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.		

7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.		<ul style="list-style-type: none"> <li>• If nationwide, i.e. all districts within all states are affected, enter US-all.</li> <li>• If the program/project is outside the US, enter 00-000.</li> </ul>
8.	<p><b>Applicant Information:</b> Enter the following in accordance with agency instructions:</p> <p><b>a. Legal Name:</b> (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.</p> <p><b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.</p> <p><b>c. Organizational DUNS:</b> (Required) Enter the organization’s DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.</p> <p><b>d. Address:</b> 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><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p> <p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> 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>		<p>17. <b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.</p> <p>18. <b>Estimated Funding:</b> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.</p> <p>19. <b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> 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>20. <b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of 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)</p> <p>Select up to three applicant type(s) in accordance with agency instructions.</p> <ul style="list-style-type: none"> <li>• State Government</li> <li>• County Government</li> <li>• City or Township Government</li> <li>• Special District Government</li> <li>• Regional Organization</li> <li>• U.S. Territory or Possession</li> </ul>	<ul style="list-style-type: none"> <li>• Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</li> <li>• Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</li> <li>• Private Institution of Higher Education</li> </ul>	<p>21. <b>Authorized Representative:</b> (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.</p> <p>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"> <li>• Independent School District</li> <li>• Public/State Controlled Institution of Higher Education</li> <li>• Indian/Native American Tribal Government (Federally Recognized)</li> <li>• Indian/Native American Tribal Government (Other than Federally Recognized)</li> <li>• Indian/Native American Tribally Designated Organization</li> <li>• Public/Indian Housing Authority</li> </ul>	<ul style="list-style-type: none"> <li>• Individual</li> <li>• For-Profit Organization (Other than Small Business)</li> <li>• Small Business</li> <li>• Hispanic-serving Institution</li> <li>• Historically Black Colleges and Universities (HBCUs)</li> <li>• Tribally Controlled Colleges and Universities (TCCUs)</li> <li>• Alaska Native and Native Hawaiian Serving Institutions</li> <li>• Non-domestic (non-US) Entity</li> <li>• Other (specify)</li> </ul>		
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**[U.S Department of Education note:** As of summer, 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](mailto: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 numbers(s), attach the “exempt research” narrative to the U.S. Department of Education Supplemental Information for the SF-424. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### B. Nonexempt Research Narrative.

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

(1) Human Subjects Involvement and Characteristics: Provide a detailed description of the proposed

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

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

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

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

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

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

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

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

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

## Part 2: Budget Information

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

This part of your application contains information about the Federal funding you are requesting. Remember that you must provide all requested budget information for each year of the project (up to 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.

*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.

*Please be sure to budget for all required grantee meetings.*

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

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

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

Construction (line 7): Not applicable.

Other (line 8): Indicate all direct costs not covered on lines 1-6. For example, include costs such as space rental, required fees, honoraria and travel (where a contract is not in place for services), training, and communication and printing costs. *Do not include costs that are included in the indirect cost rate.*

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

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

Training Stipends (line 11): This line item is not applicable to this program. The training stipend line item only pertains to costs associated with long term training programs and college or university coursework, not workshops or short-term training supported by this program.

*Salary stipends paid to teachers and other school personnel for participating in short-term professional development should be reported in Personnel (line 1).*

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

## Instructions for ED 524

### General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. You may access the Education Department General Administrative Regulations 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 the indirect cost rate to be charged to the grant must be entered in the applicable field on line 10, and the following information is to be completed by your Business Office.

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

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

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

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

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

government, or Indian Tribe, or if your grant is funded under a training rate or restricted rate program.

(5): 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.

(6): For Training Rate Programs, ED regulations limit **non-governmental entities** to the recovery of indirect costs on training grants to the grantee's actual indirect costs, as determined by its negotiated rate agreement, or 8 percent of a MTDC, whichever is lower (see EDGAR § 75.562(c)(4)). The 8 percent limit also applies to cost-type contracts under grants, if these contracts are for training as defined in EDGAR § 75.562(a). If a **non-governmental entity** that receives a grant under a training grant program does not have an approved indirect cost rate and wants to recover indirect costs, it may use a temporary rate of 10 percent of budgeted direct salaries and wages, but it must submit an indirect cost rate proposal to its cognizant agency for indirect costs within 90 days after ED issues the GAN. After the 90-day period, the government entity may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement.

### Section B - Budget Summary

#### Non-Federal Funds

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

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

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

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

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

### Section C - Budget Narrative [Attach separate sheet(s)]

**Pay attention to applicable program specific instructions, if attached.**

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

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

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

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

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

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

5. Provide other explanations or comments you deem necessary.

### Paperwork Burden Statement

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

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

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

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

*Please note that [Grants.gov](https://www.grants.gov) cannot process an application that includes two or more files that have the same name within a grant submission.*

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

#### **Project Abstract**

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

- Project objectives and activities
- Applicable priorities
- Proposed project outcomes
- Number of participants to be served
- Number and location of proposed sites

*Note: Applicants may choose to address the competitive preference priority. An applicant must identify in the abstract section of its application whether the competitive preference priority will be addressed in the application.*

*Applications that fail to clearly identify in the abstract section that they are seeking to earn competitive preference priority points will not be reviewed against the competitive preference priority and will not be awarded competitive preference priority points.*

### **Part 4: Project Narrative Attachment Form**

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

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

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

- **Table of Contents**  
The Table of Contents shows where and how the important sections of your proposal are organized and should not exceed **one** double spaced page.
- **Application Narrative**  
The application narrative responds to the selection criteria found in this application package and should follow the order of the selection criteria.

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

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

#### **(a) Need for project. (15 points)**

- (1) The Secretary considers the need for the proposed project.
- (2) In determining the need for the proposed project, the Secretary considers the extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses.

#### **(b) Significance. (15 points)**

- (1) The Secretary considers the significance of the proposed project.
- (2) In determining the significance of the proposed project, the Secretary considers 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.

#### **(c) Quality of the project design. (20 points)**

- (1) The Secretary considers the quality of the design of the proposed project.
- (2) 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 includes a thorough, high-quality review of the relevant literature, a high-quality plan for project implementation, and the use of appropriate methodological tools to ensure successful achievement of project objectives. (15 points)
  - (ii) The extent to which the proposed project represents an exceptional approach to the priority or priorities established for the competition. (5 points)

#### **(d) Quality of the project services. (30 points)**

- (1) The Secretary considers the quality of the services to be provided by the proposed project.
- (2) 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.
- (3) In addition, the Secretary considers 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.

#### **(e) Quality of the project evaluation. (20 points)**

- (1) The Secretary considers the quality of the evaluation to be conducted of the proposed project.
- (2) In determining the quality of the evaluation, the Secretary considers the following factors:

(i) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project. (10 points)

(ii) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes. (10 points)

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

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

## 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.

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

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

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

This section requires an **itemized budget breakdown** for each project year and the **basis for estimating the costs** of personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs and any other projected expenditures. Be sure to complete an itemized budget breakdown and narrative for each year of the proposed project (up to 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 and project staff to understand how requested funds will be used, how much will be expended, and the relationship between the requested funds and project activities and outcomes.

### Important Notes

- Applicants are encouraged to review OMB Circular A-21, *Cost Principles for Educational Institutions* (codified at 2 CFR 220); OMB Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments* (codified at 2 CFR 225); or OMB Circular A-122, *Cost Principles for Nonprofit Organizations* (codified at 2 CFR 230) in preparing their budget and budget narrative.
- OMB Circular A-21 may be found at the following link:  
[https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/federal\\_register/FR2005/083105\\_a21.pdf](https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/federal_register/FR2005/083105_a21.pdf)
- OMB Circular A-87 may be found at the following link:  
[https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/federal\\_register/FR2005/083105\\_a87.pdf](https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/federal_register/FR2005/083105_a87.pdf)
- OMB Circular A-122 may be found at the following link:  
[https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/federal\\_register/FR2005/083105\\_a122.pdf](https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/federal_register/FR2005/083105_a122.pdf)

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

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

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

### **1. Personnel**

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

### **2. Fringe Benefits**

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

### **3. Travel**

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

### **4. Equipment**

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

### **5. Supplies**

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

### **6. Contractual**

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

including the costs to be charged to this proposed grant award.

- Provide the basis for cost estimates or computations.

**7. Construction**

- Not applicable.

**8. Other**

- Typically, SCTG grantees will not have items listed here as all expenditures should fall in the other budget categories.

**9. Total Direct Costs**

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

**10. Indirect Costs**

- Identify indirect cost rate (if the applicant will charge indirect costs to the grant)
- Note: remember to provide a copy of the most recent approved indirect cost agreement in the Other Attachments form section of the application.

**11. Training Stipends**

- Not applicable.

**12. Total Costs**

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

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

The Department of Education (ED) reimburses a grantee for part of its indirect costs incurred in projects funded by the School Climate Transformation Grant – Local Educational Agency Grants program (CFDA 84.184F).

For this grant competition, you may charge indirect costs using the unrestricted negotiated rate with your cognizant federal agency (e.g., Department of Education, Department of Health and Human Services, Department of the Interior). Be sure to include evidence of a federally negotiated indirect cost rate.

Note: Applicants should use the appropriate program or operations rate specified in their institution's federally-approved indirect cost rate agreement in their proposed project budgets. Individuals who apply for any grant competition through ED are not allowed to budget for an indirect cost rate. If you budget for contractual services, please note that indirect costs may be applied only to the first \$25,000 of each subcontract for each year of the project.

You are encouraged to give priority to direct services to students by limiting the indirect costs charged to the project. You will not be penalized for failure to reduce indirect costs nor will you gain competitive advantage if you do.

If you claim indirect costs in the budget for your proposed project and do not have a negotiated rate with the federal government, ED will establish a temporary indirect cost rate for your project (i.e., 10 percent of the direct salaries and wages included in the budget for the project). Grantees will be allowed to draw at the temporary rate during the first 90 days after ED made the grant, as determined by the date of the Grant Award Notification. If a grantee does not submit an indirect cost rate proposal to its cognizant agency within that first 90 days, the grantee will not be allowed to draw any more funds for indirect costs until it obtains a federally recognized indirect cost rate from its cognizant agency. For more information about indirect cost rates, visit <http://www.ed.gov/about/offices/list/ocfo/intro.html>.

## **Part 6: Other Attachment Form**

*Attach one or more documents to the Other Attachments Form in accordance with the instructions found on Grants.gov. You may provide all of the required information in a single document, or in multiple documents.*

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

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

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

- Individual Resumes for Project Directors and Key Personnel:** Provide brief resumes or job descriptions that describe their qualifications for the responsibilities they will carry out under the project.
- Executive Order 12372:** You must attach a copy of the Single Point of Contact transmittal Letter, if applicable.
- Indirect Cost Rate Agreement:** You must attach a copy of the indirect cost rate agreement.

## Part 7: Assurances and Certifications

*Be certain to complete all required assurances and certifications in [Grants.gov](https://grants.gov), and include all required information in the appropriate place on each form. The assurances and certifications required for this application are:*

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

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

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

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

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 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 provision in order to receive funding under this program.

Section 427 **requires** each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age.

A general statement of an applicant's nondiscriminatory hiring policy is **not** sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers.

Please review the Notice to all Applicants (included in the electronic application package in Grants.gov) for further information on meeting the provisions in the Department of Education's General Education Provisions Act (GEPA).

Applicants are **required** to address this provision by attaching a statement (not to exceed three pages) to the **ED 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. 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](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# 84.184F, U.S. Department of Education, room 7E200, 400 Maryland Avenue, S.W., Washington, DC 20202.

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

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

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

## Reporting and Accountability

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

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

Under the Government Performance and Results Act (GPRA), the following performance indicators have been established to evaluate the overall effectiveness of the School Climate Transformation Grant Program— Local Educational Agency Grants:

- (a) The number of training and/or technical assistance events to support implementation with fidelity provided annually by LEAs to schools implementing a multi-tiered system of support.
- (b) Number and percentage of schools annually that report an improved school climate based on the results of the EDSCLS or similar tool.
- (c) Number and percentage of schools annually that are implementing a multi-tiered system of support framework with fidelity.
- (d) Number and percentage of schools annually that are implementing opioid abuse prevention and mitigation strategies.
- (e) Number and percentage of schools that report an annual decrease in suspensions and expulsions related to possession or use of alcohol.
- (f) Number and percentage of schools that report an annual decrease in suspensions and expulsions related to possession or use of other drugs.

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>.

Notice Inviting Application Published in the Federal Register /Vol. 84, No. 111 /Monday, June 10, 2019 /Notices 26829

4000-01-U

DEPARTMENT OF EDUCATION

Applications for New Awards; School Climate Transformation Grant Program--Local Educational Agency Grants

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 fiscal year (FY) 2019 for the School Climate Transformation Grant Program--Local Educational Agency Grants, Catalog of Federal Domestic Assistance (CFDA) number 84.184G. This notice relates to the approved information collection under OMB control number 1894-0006.

DATES:

Applications Available: June 10, 2019.

Deadline for Transmittal of Applications: July 22, 2019

Deadline for Intergovernmental Review: September 18, 2019.

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 13, 2019 (84 FR 3768), and available at [www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf](http://www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf).

FOR FURTHER INFORMATION CONTACT: Carlette KyserPegram. Telephone: (202) 453-6732. Email: LEA.SCTG19@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 School Climate Transformation Grant Program--Local Educational Agency Grants (SCTG-LEA) provides competitive grants to local educational agencies (LEAs) to develop, enhance, or expand systems of support for, and technical assistance to, schools implementing a multi-tiered system of support, for improving school climate.

Background:

School climate plays a critical role in the potential success and school experiences of a student. Students who learn in positive learning environments are more likely to improve academically, participate more fully in the classroom, and develop skills that will help them be successful in school and in life. Recent studies on school climate have focused on the many different elements and

indicators of the overall quality of a school's climate, and its relationship to academic and behavioral outcomes.<sup>1</sup> Accordingly, in 2014, the Department developed a school climate survey resource, called the ED School Climate Survey tool (EDSCLS), to assist States, local districts, and schools to collect and access data related to their school climate. This tool focuses on three content domains: (1) engagement (which encompasses cultural and linguistic competence, relationships, and school participation), (2) safety (which encompasses emotional safety, physical safety, bullying/cyberbullying, substance abuse, and emergency readiness/management), and (3) environment, including physical environment, instructional environment, physical health, mental health, and discipline.<sup>2</sup>

In April 2019, the Department released a Parent and Educator Guide to School Climate Resources (Guide) document. The purpose of the Guide is to provide general information about the concept of school climate improvement, suggestions for leading an effective school climate improvement effort, and additional resources for those interested in more information.<sup>3</sup>

Implementing a multi-tiered system of support (MTSS) framework is one strategy schools can use to address their school climate concerns. MTSS frameworks are designed to assist schools in providing the appropriate level of instruction and intervention for their students. The successful implementation of an MTSS can support many areas of students' needs including academic growth and achievement, behavior, and social and emotional needs.

In schools with healthy learning environments, students tend to score higher on standardized tests.<sup>4</sup> Conversely, researchers find that students who perceive personal victimization and unfairness in school are generally less engaged, and schools where students report more hostility have lower student engagement and lower academic achievement.<sup>5</sup> Furthermore, data from the 2015 School Crime Supplement shows that students experiencing bullying or criminal victimization

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<sup>1</sup> Wang, M. T., & Degol, J. L. (2016). School Climate: A Review of the Construct, Measurement, and Impact on Student Outcomes. *Educational Psychology Review*, 28(2), 315-352.

<sup>2</sup> National Center on Safe Supportive Learning Environments. ED School Climate Surveys. Retrieved from: <https://safesupportivelearning.ed.gov/edscls/measures>.

<sup>3</sup> Access the Parent and Educator Guide to School Climate Resources (Guide) at: <https://www2.ed.gov/policy/elsec/leg/essa/essaguidetoschoolclimate041019.pdf>

<sup>4</sup> MacNeil, A. J., Prater, D. L., & Busch, S. (2009). The effects of school culture and climate on student achievement. *International Journal of Leadership in Education*, 12(1), 73-84.

<sup>5</sup> Ripski, M. B., & Gregory, A. (2009). Unfair, unsafe, and unwelcome: Do high school students' perceptions of unfairness, hostility, and victimization in school predict engagement and achievement? *Journal of School Violence*, 8(4), 355-375.

rate their schools' overall climate lower.<sup>6</sup> We also note that multi-tiered behavioral frameworks, such as positive behavioral interventions and supports (PBIS), that were the focus of the previous School Climate Transformation Grants LEA competition in fiscal year 2014, are an example of an MTSS that research shows can help improve overall school climate and safety.<sup>7</sup>

In March 2018, the President emphasized a national need to examine the safety and security of our schools. He also appointed a Federal Commission on School Safety.<sup>8</sup> In December 2018, the Federal Commission on School Safety released a final report on its work. The report offers recommendations for States, local communities, and the Federal government on strategies for improving school safety.<sup>9</sup> Under the SCTG-LEA program, grantees may use funds to support activities directly linked with some of those recommendations as they develop local approaches to address a wide range of school climate issues through implementation of evidence-based practices for improving school engagement, safety, and environment for all students.

Moreover, LEAs that implement these school climate improvement efforts as part of a coordinated strategy will enhance their ability to achieve the goals and objectives of both this program and others that are included in the coordinated effort. A coordination of all programs that use evidence-based practices for improving school engagement, safety, and environment for all students will facilitate interagency partnerships and strategies to address school climate issues in a comprehensive manner.

Through this program, the Department will prioritize supporting certain communities that may uniquely benefit from implementing a multi-tiered system of support. In particular, the Department is establishing an absolute priority for an LEA that is a rural LEA (as defined in this notice) or serves a Tribal community. The Department is also establishing a separate absolute priority for an LEA that is in a Qualified Opportunity Zone (as defined in this notice).

Priorities: This competition includes four absolute priorities and three competitive preference priorities. We are establishing the absolute priorities and Competitive Preference Priority 3 for the FY 2019 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). In accordance with 34 CFR

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<sup>6</sup> National Center for Education Statistics. (2018). Measuring School Climate Using the 2015 School Crime Supplement: Technical Report. Institute of Education Sciences, Retrieved from: <https://nces.ed.gov/pubs2018/2018098.pdf>.

<sup>7</sup> Bradshaw, C.P., Koth, C.W., Thornton, L.A., & Leaf, P.J. (2009). Altering School Climate through School-Wide Positive Behavioral Interventions and Supports: Findings from a Group-Randomized Effectiveness Trial. Prevention Science.

<sup>8</sup> See [www.whitehouse.gov/briefings-statements/president-donald-j-trump-taking-immediate-actions-secure-schools/](http://www.whitehouse.gov/briefings-statements/president-donald-j-trump-taking-immediate-actions-secure-schools/).

<sup>9</sup> Report available at: <https://www2.ed.gov/documents/school-safety/school-safety-report.pdf>.

75.105(b)(2)(ii), Competitive Preference Priorities 1 and 2 are from the Department's Notice of Final Supplemental Priorities and Definitions for Discretionary Grant Programs (Supplemental Priorities), published in the *Federal Register* on March 2, 2018 (83 FR 9096).

Absolute Priorities: For FY 2019 and any subsequent year in which we make awards from the list of unfunded applications from this competition, these priorities are absolute priorities. Under 34 CFR 75.105(c)(3) we consider only applications that meet Absolute Priority 1 and one of Absolute Priorities 2, 3, or 4.

Note: The Secretary intends to create three funding slates for SCTG applications—one for applications that meet Absolute Priorities 1 and 2, a separate slate for applications that meet Absolute Priorities 1 and 3, and a third slate for applications that meet Absolute Priorities 1 and 4. As a result, the Secretary may fund applications out of the overall rank order. The Secretary anticipates awarding at least 15 grants from among applicants that meet Absolute Priorities 1 and 2 and at least 15 grants from applicants that meet Absolute Priorities 1 and 3, provided applications of sufficient quality are submitted, but the Secretary is not bound by these estimates. Applicants must clearly identify the specific absolute priorities that the proposed project addresses.

These priorities are:

Absolute Priority 1--Improving School Climate.

Projects designed to develop, enhance, or expand systems of support for, and technical assistance to, schools implementing a multi-tiered system of support for improving school climate, which may include a multi-tiered behavioral framework, by using evidence-based efforts that are designed to foster safety; promote supportive academic, disciplinary, and physical environments; and/or encourage and maintain respectful, trusting, and caring relationships throughout the school community.

Absolute Priority 2--LEAs that are rural LEAs or serve a federally recognized Tribe.

An LEA, including a BIE-funded school, meets this absolute priority if it provides evidence that it meets one of the following criteria: (1) it is a rural LEA, as defined in this notice; or (2) it predominantly serves members of one federally recognized Tribe. In determining whether a charter school LEA meets criteria (1) of this absolute priority, we consider where the school is located, regardless of where the students it serves live.

Absolute Priority 3--LEAs that include a Qualified Opportunity Zone.

An LEA meets this priority if it includes, as a portion of the area served by the LEA, a Qualified Opportunity Zone under section 1400Z-1 of the Internal Revenue Service Code, as amended by the Tax Cuts and Jobs Act, as defined in this notice. In determining whether a charter school LEA meets this absolute priority, we consider where the school is located, regardless of where the students it serves live.

Absolute Priority 4--LEAs that are not rural LEAs, do not include Qualified Opportunity Zones, and do not serve a Tribe.

An LEA meets this absolute priority if it indicates in its application that it is not a rural LEA, as defined in this notice, does not serve a Qualified Opportunity Zone, and does not predominantly serve members of one federally recognized Tribe.

Competitive Preference Priorities: For FY 2019 and any subsequent year in which we make awards from the list of unfunded applications from this competition, these priorities are competitive preference priorities. Under 34 CFR 75.105(c)(2)(1) we award up to an additional two points for Competitive Preference Priority 1, up to an additional three points for Competitive Preference Priority 2, and up to an additional five points for Competitive Preference Priority 3, depending on how well the application meets each of Competitive Preference Priorities 1, 2, and 3. Applications may address any one or more of the competitive preference priorities, for a maximum of 10 competitive preference priority points. An applicant must clearly indicate in the abstract section of its application each competitive preference priority under which it is applying.

These priorities are:

Competitive Preference Priority 1--Protecting Freedom of Speech and Encouraging Respectful Interactions in a Safe Educational Environment. (0 to 2 points)

Projects that are designed to develop positive learning environments that promote strong relationships among students and school personnel to help prevent bullying, violence, and disruptive actions that diminish the opportunity for each student to receive a high-quality education.

Competitive Preference Priority 2--Fostering Knowledge and Promoting the Development of Skills That Prepare Students To Be Informed, Thoughtful, and Productive Individuals and Citizens. (0 to 3 points)

Projects that are likely to improve student academic performance and better prepare students for employment, responsible citizenship, and fulfilling lives, including by preparing children or students to do one or more of the following:

- (i) Develop positive personal relationships with others.
- (ii) Develop determination, perseverance, and the ability to overcome obstacles.
- (iii) Develop self-esteem through perseverance and earned success.
- (iv) Develop problem-solving skills.
- (v) Develop self-regulation in order to work toward long-term goals.

Competitive Preference Priority 3--Opioid Abuse and Prevention. (0 to 5 points)

Applications that propose a high-quality plan to implement opioid abuse prevention and mitigation strategies. The plan must describe how the LEA will use funds to implement evidence-based strategies for preventing opioid abuse by students, and/or address the mental health

needs of students who are negatively impacted by family or community members who are (or have been) abusers. The plan may also include providing technical assistance to, or support for, schools that implement or plan to implement high-quality approaches to opioid abuse prevention such as the Screening, Brief Intervention, and Referral to Treatment (SBIRT) approach supported by the U.S. Department of Health and Human Services, Substance Abuse and Mental Health Services Administration. Applicants that receive competitive preference points under this priority and are ultimately awarded an SCTG-LEA grant will finalize and implement the high-quality plan described in response to this priority post-award.

Requirements: We are establishing these program requirements and application requirements for the FY 2019 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: Each grantee must implement a project that builds LEA capacity for supporting schools implementing evidence-based efforts to improve school climate by--

(a) Developing, enhancing, or expanding systems of support for, and technical assistance to, schools implementing a multi-tiered system of support for improving school climate by using evidence-based efforts that are designed to foster safety; promote supportive academic, disciplinary, and physical environments; and/or encourage and maintain respectful, trusting, and caring relationships throughout the school community;

(b) Improving the skills of LEA personnel to assist schools' efforts to improve school climate through, for example, policies, funding, professional development, coaching, and coordination of providing services and implementing programs;

(c) Improving the quality, accessibility, and usefulness of any relevant districtwide data collection and analysis related to data-based decision making in areas related to improved school climate;

(d) Defining what it means to implement the multi-tiered system of support with fidelity and determining annually the extent to which the impacted schools are implementing such model with fidelity, for example, by using a tool or rubric to review implementation;

(e) Encouraging the use of evidence-based practices and reliable and valid tools and processes for evaluating the fidelity of efforts related to improved school climate; and

(f) Coordinating LEA efforts with appropriate Federal, State, and local resources.

Application Requirements: The applicant must--

(a) Describe the current efforts by the LEA to support schools implementing evidence-based efforts that are designed to foster safety; promote a supportive academic, disciplinary, and physical environment; and/or encourage and maintain respectful, trusting, and caring relationships throughout the school community;

(b) Describe how the LEA used the EDSCLS or similar assessment tool to help determine program needs and will use the EDSCLS or similar assessment tool for program decision making and improvements;

(c) Describe its plan to build, improve, or enhance LEA capacity to provide effective training, technical assistance, and support to schools related to implementing evidence-based efforts that are designed to foster safety; promote a supportive academic, disciplinary, and physical environment; and/or encourage and maintain respectful, trusting, and caring relationships throughout the school community, including--

(1) When and how often the applicant plans to conduct technical assistance activities;

(2) How the applicant plans to garner buy-in from participants and other stakeholders; and

(3) The estimated number of schools that will be assisted; and

(d) Describe how the proposed project will address the needs of schools identified for comprehensive support and improvement under section 1111(d)(1) of the Elementary and Secondary Education Act of 1965, as amended (ESEA), and schools identified for targeted support and improvement under section 1111(d)(2) of the ESEA.

Definitions: We are establishing the definitions of "Qualified Opportunity Zone" and "rural local educational agency" in this notice for the FY 2019 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 definition of "local educational agency" is from 20 U.S.C. 7801(30). The definition of "multi-tiered system of support" is from section 8101(33) of the ESEA. The definitions of "demonstrates a rationale," "evidence-based," "experimental study," "logic model," "moderate evidence," "project component," "promising evidence," "quasi-experimental design study," "relevant outcome," "strong evidence," and "What Works Clearinghouse Handbook" are from 34 CFR 77.1.

These definitions are:

*Demonstrates a rationale* means a key project component included in the project's logic model is informed by research or evaluation findings that suggest the project component is likely to improve relevant outcomes.

*Evidence-based* means the proposed project component is supported by one or more of strong evidence, moderate evidence, promising evidence, or evidence that demonstrates a rationale.

*Experimental study* means a study that is designed to compare outcomes between two groups of individuals (such as students) that are otherwise equivalent except for their assignment to either a treatment group receiving a project component or a control group that does not. Randomized controlled trials, regression discontinuity design studies, and single-case design studies are the specific types of experimental studies that, depending on their design and implementation (e.g., sample attrition in randomized controlled trials and regression discontinuity design studies), can meet What Works Clearinghouse (WWC) standards without reservations as described in the WWC Handbook:

(i) A randomized controlled trial employs random assignment of, for example, students, teachers, classrooms, or schools to receive the

project component being evaluated (the treatment group) or not to receive the project component (the control group).

(ii) A regression discontinuity design study assigns the project component being evaluated using a measured variable (e.g., assigning students reading below a cutoff score to tutoring or developmental education classes) and controls for that variable in the analysis of outcomes.

(iii) A single-case design study uses observations of a single case (e.g., a student eligible for a behavioral intervention) over time in the absence and presence of a controlled treatment manipulation to determine whether the outcome is systematically related to the treatment.

*Local educational agency (LEA) means—*

(i) A public board of education or other public authority legally constituted within a State for either administrative control or direction of, or to perform a service function for, public elementary schools or secondary schools in a city, county, township, school district, or other political subdivision of a State, or of or for a combination of school districts or counties that is recognized in a State as an administrative agency for its public elementary schools or secondary schools;

(ii) Any other public institution or agency having administrative control and direction of a public elementary school or secondary school;

(iii) An elementary school or secondary school funded by the Bureau of Indian Education but only to the extent that including the school makes the school eligible for programs for which specific eligibility is not provided to the school in another provision of law and the school does not have a student population that is smaller than the student population of the local educational agency receiving assistance under this Act with the smallest student population, except that the school shall not be subject to the jurisdiction of any State educational agency other than the Bureau of Indian Education;

(iv) Educational service agencies and consortia of those agencies; or

(v) The State educational agency in a State in which the State educational agency is the sole educational agency for all public schools.

*Logic model* (also referred to as a theory of action) means a framework that identifies key project components of the proposed project (i.e., the active "ingredients" that are hypothesized to be critical to achieving the relevant outcomes) and describes the theoretical and operational relationships among the key project components and relevant outcomes.

*Moderate evidence* means that there is evidence of effectiveness of a key project component in improving a relevant outcome for a sample that overlaps with the populations or settings proposed to receive that component, based on a relevant finding from one of the following:

(i) A practice guide prepared by the WWC using version 2.1 or 3.0 of the WWC Handbook reporting a "strong evidence base" or "moderate evidence base" for the corresponding practice guide recommendation;

(ii) An intervention report prepared by the WWC using version 2.1 or 3.0 of the WWC Handbook reporting a "positive effect" or "potentially positive effect" on a relevant outcome based on a "medium to large" extent of evidence, with no reporting of a "negative effect" or "potentially negative effect" on a relevant outcome; or

(iii) A single experimental study or quasi-experimental design study reviewed and reported by the WWC using version 2.1 or 3.0 of the WWC Handbook, or otherwise assessed by the Department using version 3.0 of the WWC Handbook, as appropriate, and that—

(A) Meets WWC standards with or without reservations;

(B) Includes at least one statistically significant and positive (*i.e.*, favorable) effect on a relevant outcome;

(C) Includes no overriding statistically significant and negative effects on relevant outcomes reported in the study or in a corresponding WWC intervention report prepared under version 2.1 or 3.0 of the WWC Handbook; and

(D) Is based on a sample from more than one site (*e.g.*, State, county, city, school district, or postsecondary campus) and includes at least 350 students or other individuals across sites. Multiple studies of the same project component that each meet requirements in paragraphs (iii)(A), (B), and (C) of this definition may together satisfy this requirement.

*Multi-tiered system of support* means a comprehensive continuum of evidence-based, systemic practices to support a rapid response to students' needs, with regular observation to facilitate data-based instructional decision making.

NOTE: For purposes of this notice a multi-tiered behavioral framework such as Positive Behavioral Interventions and Supports falls under this definition.

*Project component* means an activity, strategy, intervention, process, product, practice, or policy included in a project. Evidence may pertain to an individual project component or to a combination of project components (*e.g.*, training teachers on instructional practices for English learners and follow-on coaching for these teachers).

*Promising evidence* means that there is evidence of the effectiveness of a key project component in improving a relevant outcome, based on a relevant finding from one of the following:

(i) A practice guide prepared by WWC reporting a "strong evidence base" or "moderate evidence base" for the corresponding practice guide recommendation;

(ii) An intervention report prepared by the WWC reporting a "positive effect" or "potentially positive effect" on a relevant

outcome with no reporting of a "negative effect" or "potentially negative effect" on a relevant outcome; or

(iii) A single study assessed by the Department, as appropriate, that—

(A) Is an experimental study, a quasi-experimental design study, or a well-designed and well-implemented correlational study with statistical controls for selection bias (e.g., a study using regression methods to account for differences between a treatment group and a comparison group); and

(B) Includes at least one statistically significant and positive (i.e., favorable) effect on a relevant outcome.

*Qualified Opportunity Zone* means a Qualified Opportunity Zone, as designated by the Secretary of the Treasury under section 1400Z-1 of the Internal Revenue Code, as amended by the Tax Cuts and Jobs Act (Pub. L. 115-97). To demonstrate that it meets Absolute Priority 3 by being located in a Qualified Opportunity Zone, an applicant must provide the census tract number of the Qualified Opportunity Zone(s) in which it proposes to provide services. A list of Qualified Opportunity Zones is available at:

[www.cdfifund.gov/Pages/Opportunity-Zones.aspx](http://www.cdfifund.gov/Pages/Opportunity-Zones.aspx).

*Quasi-experimental design study* means a study using a design that attempts to approximate an experimental study by identifying a comparison group that is similar to the treatment group in important respects. This type of study, depending on design and implementation (e.g., establishment of baseline equivalence of the groups being compared), can meet WWC standards with reservations, but cannot meet WWC standards without reservations, as described in the WWC Handbook.

*Relevant outcome* means the student outcome(s) or other outcome(s) the key project component is designed to improve, consistent with the specific goals of the program.

*Rural local educational agency* means a local educational agency that is eligible under the Small Rural School Achievement (SRSA) program or the Rural and Low-Income School (RLIS) program authorized under Title V, Part B of the ESEA. Eligible applicants may determine whether a particular district is eligible for these programs by referring to information on the Department's website at <https://www2.ed.gov/programs/reapsrsa/eligibility.html>. *Note: For the purposes of this competition, in order to qualify as a rural LEA under this definition, an LEA must have been eligible for fiscal year 2018 or 2019 SRSA or RLIS funds.*

*Strong evidence* means that there is evidence of the effectiveness of a key project component in improving a relevant outcome for a sample that overlaps with the populations and settings proposed to receive that component, based on a relevant finding from one of the following:

(i) A practice guide prepared by the WWC using version 2.1 or 3.0 of the WWC Handbook reporting a "strong evidence base" for the corresponding practice guide recommendation;

(ii) An intervention report prepared by the WWC using version 2.1 or 3.0 of the WWC Handbook reporting a "positive effect" on a

relevant outcome based on a "medium to large" extent of evidence, with no reporting of a "negative effect" or "potentially negative effect" on a relevant outcome; or

(iii) A single experimental study reviewed and reported by the WWC using version 2.1 or 3.0 of the WWC Handbook, or otherwise assessed by the Department using version 3.0 of the WWC Handbook, as appropriate, and that—

(A) Meets WWC standards without reservations;

(B) Includes at least one statistically significant and positive (*i.e.*, favorable) effect on a relevant outcome;

(C) Includes no overriding statistically significant and negative effects on relevant outcomes reported in the study or in a corresponding WWC intervention report prepared under version 2.1 or 3.0 of the WWC Handbook; and

(D) Is based on a sample from more than one site (*e.g.*, State, county, city, school district, or postsecondary campus) and includes at least 350 students or other individuals across sites. Multiple studies of the same project component that each meet requirements in paragraphs (iii)(A), (B), and (C) of this definition may together satisfy this requirement.

*What Works Clearinghouse Handbook (WWC Handbook)* means the standards and procedures set forth in the WWC Procedures and Standards Handbook, Version 3.0 or Version 2.1 (incorporated by reference, see 34 CFR 77.2). Study findings eligible for review under WWC standards can meet WWC standards without reservations, meet WWC standards with reservations, or not meet WWC standards. WWC practice guides and intervention reports include findings from systematic reviews of evidence as described in the Handbook documentation.

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 and requirements.

Section 437(d)(1) of GEPA, however, allows the Secretary to exempt from rulemaking requirements regulations governing the first grant competition under a new or substantially revised program authority. This is the first grant competition for 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 and requirements under section 437(d)(1) of GEPA. These priorities and requirements will apply to the FY 2019 grant competition and any subsequent year in which we make awards from the list of unfunded applications from this competition.

Program Authority: Subpart 3 of Title IV, Part F 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, 97, 98, and 99. (b) The Office of Management and Budget 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 Supplemental Priorities.

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$40,000,000.

Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2020 and subsequent years from the list of unfunded applications from this competition.

Estimated Range of Awards: \$100,000 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: 80.

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

Project Period: Up to 60 months.

## III. Eligibility Information

1. Eligible Applicants: (a) LEAs, or consortia of LEAs, as defined by section 8101(30) of the ESEA. (b) The Secretary limits eligibility under this discretionary grant competition to LEAs that have never received a grant under SCTG-LEA.

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.

## IV. Application and Submission Information

1. Application Submission Instructions: Applicants are required to follow the Common Instructions for Applicants to Department of Education Discretionary Grant Programs, published in the *Federal Register* on February 13, 2019 (84 FR 3768), and available at [www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf](http://www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf), which contain requirements and information on how to submit an application.

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

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

## 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 evaluate and score each application program narrative against the following selection criteria:

(a) Need for project. (15 points)

(1) The Secretary considers the need for the proposed project.

(2) In determining the need for the proposed project, the Secretary considers the extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses.

(b) Significance. (15 points)

(1) The Secretary considers the significance of the proposed project.

(2) In determining the significance of the proposed project, the Secretary considers 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.

(c) Quality of the project design. (20 points)

(1) The Secretary considers the quality of the design of the proposed project.

(2) 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 includes a thorough, high-quality review of the relevant literature, a high-quality plan for project implementation, and the use of appropriate methodological tools to ensure successful achievement of project objectives. (15 points)

(ii) The extent to which the proposed project represents an exceptional approach to the priority or priorities established for the competition. (5 points)

(d) Quality of the project services. (30 points)

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

(2) 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.

(3) In addition, the Secretary considers 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.

(e) Quality of the project evaluation. (20 points)

(1) The Secretary considers the quality of the evaluation to be conducted of the proposed project.

(2) In determining the quality of the evaluation, the Secretary considers the following factors:

(i) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project. (10 points)

(ii) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes. (10 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 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 \$250,000), 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](http://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 performance measures for SCTG-LEA:

(a) The number of training and/or technical assistance events to support implementation with fidelity provided annually by LEAs to schools implementing a multi-tiered system of support.

(b) Number and percentage of schools annually that report an improved school climate based on the results of the EDSCLS or similar tool.

(c) Number and percentage of schools annually that are implementing a multi-tiered system of support framework with fidelity.

(d) Number and percentage of schools annually that are implementing opioid abuse prevention and mitigation strategies.

(e) Number and percentage of schools that report an annual decrease in suspensions and expulsions related to possession or use of alcohol.

(f) Number and percentage of schools that report an annual decrease in suspensions and expulsions related to possession or use of other drugs.

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

Consistent with 34 CFR 75.591, grantees funded under this program shall comply with the requirements of any evaluation of the program conducted by the Department or an evaluator selected by the Department.

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.

Electronic Access to This Document: The official version of this document is the document published in the *Federal Register*. You may

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

You may also access documents of the Department published in the *Federal Register* by using the article search feature at [www.federalregister.gov](http://www.federalregister.gov). Specifically, through the advanced search feature at this site, you can limit your search to documents published by the Department.

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Frank T. Brogan,  
*Assistant Secretary for Elementary and  
Secondary Education.*