

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

**Fiscal Year 2014**

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

**CFDA 84.184F**



**Dated Material - Open Immediately  
Closing Date: June 23, 2014**

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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:** Bryan Williams, School Climate Transformation Grant—State Educational Agency Grants, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3C152, Washington D.C. 20202-6450. [Note: Please do not return the completed application to this address.]

## Table of Contents

<b>Dear Colleague Letter</b> .....	<b>1</b>
<b>Program Background Information</b> .....	<b>3</b>
Program Overview .....	3
School Climate Transformation Grant Resource List .....	11
Frequently Asked Questions .....	12
Technical Assistance Workshops for Prospective Applicants .....	22
Tips for Preparing and Submitting an Application .....	22
<b>Application Submission Procedures</b> .....	<b>24</b>
Application Transmittal Instructions .....	24
Submitting Applications with Adobe Reader Software .....	27
Grants.gov Submission Procedures and Tips for Applicants .....	28
<b>Submission Problems – What should you do?</b> .....	<b>29</b>
<b>Helpful Hints When Working with Grants.gov</b> .....	<b>29</b>
<b>Dial-Up Internet Connections</b> .....	<b>30</b>
<b>Mac Users</b> .....	<b>30</b>
<b>Application Instructions</b> .....	<b>32</b>
Electronic Application Format .....	32
Electronic Application Submission Checklist .....	33
Part 1: Preliminary Documents .....	34
Part 2: Budget Information .....	44
Part 3: ED Abstract Form .....	48
Part 4: Project Narrative Attachment Form .....	49
Part 5: Budget Narrative .....	52
Important Information Regarding Indirect Costs .....	55
Part 6: Other Attachment Form .....	56
Part 7: Assurances and Certifications .....	57
Part 8: Intergovernmental Review of Federal Programs (Executive Order 12372) .....	61
<b>Legal and Regulatory Information</b> .....	<b>63</b>
Notice Inviting Applications .....	62
Program Statute .....	81



**United States Department of Education**  
OFFICE OF ELEMENTARY AND SECONDARY EDUCATION  
OFFICE OF SAFE AND HEALTHY STUDENTS

Dear Colleague:

Thank you for your interest in the School Climate Transformation Grant—State Educational Agency program, administered by the Office of Elementary and Secondary Education of the U.S. Department of Education (Department). The School Climate Transformation Grant Program provides competitive grants to State educational agencies (SEAs) to develop, enhance, or expand statewide systems of support for, and technical assistance to, local educational agencies and schools implementing an evidence-based, multi-tiered behavioral framework for improving behavioral outcomes and learning conditions for all students.

This competition has two priorities - one absolute priority and one competitive preference priority. We consider only applications for the School Climate Transformation Grant— State Educational Agency Grants program that meet the absolute priority described in the Notice Inviting Applications published in the Federal Register on May 7, 2014. Under the absolute priority, SEAs must implement multi-tiered behavioral frameworks to improve school climate.

In addition, applicants may earn up to five competitive preference points based on the application's description of a credible, high-quality plan to coordinate activities that would be funded under this competition with related activities that are funded through other available resources in such a manner as to enhance the overall impact of the multi-tiered behavioral frameworks implemented through a School Climate Transformation grant. The coordination may be with related activities that are currently in progress, such as the SAMHSA's Safe and Healthy Students program (CFDA 93.243), HHS's Health Resources Services Administration's Center for School Mental Health (Project U45 MC 00174), as well as with related activities that would be conducted under other programs for which the applicant is currently seeking funding, such as the Mental Health First Aid program being funded by SAMHSA under the Project AWARE State Educational Agency Grants.

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

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.

Applications submitted to Grants.gov for the Department of Education will now be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (Grants.gov recommends Adobe Reader 10.1.14). Please review the **Submitting Applications with Adobe Reader Software** and **Education Submission Procedures and Tips for Applicants** forms found within this package for further information and guidance related to this requirement.

Using FY 2014 funds, the Department expects to award \$7,375,000 for new grants under this

competition. We will award discretionary grants on a competitive basis for a project period of up to 60 months. Grants are expected to be awarded in September.

Please visit our program website at <http://www2.ed.gov/programs/schoolclimatesea> for further information. If you have any questions about the program after reviewing the application package, please contact Bryan Williams by telephone at (202) 453-6715 or via e-mail at SEA.SCTG@ed.gov.

David Esquith, Director  
Office of Safe and Healthy Students

## Program Background Information

### **School Climate Transformation Grant - SEA Grants Fast Facts:**

**Eligible Applicants:** Eligible Applicants include SEAs, as defined by section 9101(41) of the ESEA.

**Purpose:** The School Climate Transformation Grant – State Educational Agency Grants Program provides competitive grants to State educational agencies (SEAs) to develop, enhance, or expand statewide systems of support for, and technical assistance to, local educational agencies (LEAs) and schools implementing an evidence-based, multi-tiered behavioral framework for improving behavioral outcomes and learning conditions for all students.

**Application Deadline Date:** June 23, 2014

**Application Submission:** Applications must be submitted electronically via Grants.gov ([www.grants.gov](http://www.grants.gov))

**Estimated Available Funds:** \$7,375,000

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

**Estimated Average Size of Awards:** \$400,000.

**Maximum Award:** \$750,000.

**Estimated Number of Awards:** 18.

**Project Period:** Up to 60 months.

**Competition Manager:** Bryan Williams at [SEA.SCTG@ed.gov](mailto:SEA.SCTG@ed.gov) or (202) 453-6715.

## Program Overview

Although schools have long attempted to address issues of discipline, disruptive and problem behavior, violence, and bullying, the vast majority of our Nation's schools have not implemented comprehensive, effective supports that address the full range of students' social, emotional, and behavioral needs.<sup>1</sup>

A report issued by the U.S. Secret Service and the Department of Education following the Columbine shooting found that one of the most effective ways schools can reduce violence and bullying is to improve a school's climate and thereby increase trust and communication between students and staff.<sup>2</sup> Research demonstrates that the implementation of an evidence-based, multi-tiered behavioral framework, such as positive behavioral interventions and supports (PBIS), can help improve overall

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<sup>1</sup> Horner, R., Sugai, G., and Vincent, C. (2005). School-wide Positive Behavior Support: Investing in student success. Impact: Feature Issue on Fostering Success in School and Beyond for Students with Emotional/Behavioral Disorders. Retrieved from: <http://ici.umn.edu>.

<sup>2</sup> Borum, R., Fein, R., Modzeleski, W., Pollack, W., Reddy, M., Vossekuil, B., Threat Assessment in Schools: A Guide to Managing Threatening Situations and Creating Safe School Climates, 2002.

school climate and safety.<sup>3</sup> A key aspect of this multi-tiered approach is providing differing levels of support and interventions to students based on their needs. Certain supports involve the whole school (e.g., consistent rules, consequences, and reinforcement of appropriate behavior), with more intensive supports for groups of students exhibiting at-risk behavior and individualized services for students who continue to exhibit troubling behavior.

When a multi-tiered behavioral framework has been implemented with fidelity, studies have found the following statistically significant results: an increase in perceived school safety, reductions in overall problem behaviors, reductions in bullying behaviors,<sup>4</sup> and reductions in office discipline referrals and suspensions.<sup>5</sup> Studies have also found a correlation between the use of multi-tiered behavioral frameworks and improved social skills.<sup>6</sup> Emerging evidence also links implementing a multi-tiered behavioral framework with improved academic achievement.<sup>7</sup> In addition to being effective, school-wide multi-tiered behavioral frameworks are attractive to SEAs and LEAs because they are designed to enhance the learning environment for all students while having additional supports in place for students who have greater social, emotional, and behavioral needs.

Under this program, grant funds will help build SEA capacity to develop and adopt, or expand to more schools, a multi-tiered behavioral framework that guides the selection, integration, and implementation of the best evidence-based behavioral practices for improving school climate and behavioral outcomes for all students.

In 2013, the President proposed a comprehensive plan, “Now is the Time,” to protect our children and communities by reducing gun violence, making schools safer, and increasing access to mental health services.<sup>8</sup> The School Climate Transformation Grant Program is one of several Federal programs designed to work together to help make schools safer and improve mental health services for students and young adults. The Departments of Education, Health and Human Services, and Justice are implementing coordinated programs consistent with the initiative and the FY 2014 Consolidated Appropriations Act. The Department of Health and Human Services (HHS) Substance Abuse and Mental Health Services Administration (SAMHSA) is implementing the Administration’s “Now is the Time” Project AWARE (Advancing Wellness and Resilience in Education), which provides grants to SEAs and LEAs to increase awareness of mental health issues among school-aged youth. Project AWARE grants support training in detection and response to mental illness in youth for adults who interact with youth in school and community settings. Later this year the Department of Justice, under the School Justice Collaboration Program: Keeping Kids in School and Out of Court, will be awarding competitive grants to juvenile and family courts in communities that receive School Climate Transformation Grants to collaborate on use of evidence-based positive behavior strategies to increase school safety and reduce suspensions, expulsions, and referrals to court.

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<sup>3</sup> Bradshaw, C., 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>4</sup> Bradshaw, C., Goldweber, A., Leaf, P., Pasa, E., Rosenberg, M. (2012). Integrating school-wide Positive Behavioral Interventions and Supports with tier 2 coaching to student support teams: The PBISplus model. *Advances in School Mental Health Promotion*.

<sup>5</sup> Bradshaw, C., Leaf, P., Mitchell, M. (2009). Examining the effects of schoolwide Positive Behavioral Interventions and Supports on student outcomes: Results From a randomized controlled effectiveness trial in elementary schools. *Journal of Positive Behavior Interventions*.

<sup>6</sup> Barrett, S.B., Bradshaw, C.P. & Lewis-Palmer, T. (2008). Maryland statewide PBIS initiative: Systems, evaluation, and next steps. *Journal of Positive Behavior Interventions*.

<sup>7</sup> McIntosh, K., Bennett, J. L., & Price, K. (2011). Evaluation of social and academic effects of school-wide positive behaviour support in a Canadian school district. *Exceptionality Education International*.

<sup>8</sup> See the President’s “Now is the Time” Plan at: [http://www.whitehouse.gov/sites/default/files/docs/wh\\_now\\_is\\_the\\_time\\_full.pdf](http://www.whitehouse.gov/sites/default/files/docs/wh_now_is_the_time_full.pdf)

The Department of Education is implementing SEA and LEA School Climate Transformation Grants to assist States and LEAs in developing, enhancing, or expanding systems of support for, and technical assistance to, schools implementing evidence-based multi-tiered behavior frameworks for improving behavioral outcomes and learning conditions for all students.

SEAs that implement this suite of programs as part of a coordinated strategy will enhance their ability to achieve the goals and objectives of the various programs. The combination and coordination of these programs will facilitate interagency partnerships and strategies to address the issues of school climate, school safety, and mental health needs in a comprehensive manner.

This application package is specifically for SEAs to apply for grants under the School Climate Transformation Grant Program. LEAs should reference the application package for CFDA# 84.184G.

**Eligibility:**

This grant competition limits eligibility to State Educational Agencies (SEAs).

**Authority:**

This grant program is authorized under 20 U.S.C. 7131; the Department of Education Appropriations Act, 2014, Title III of Division H of P.L. 113-76.

**Official Document Notice**

The official document governing this competition is the Notice Inviting Applications published in the Federal Register on June 23, 2014 (also included in the Legal and Regulatory Documents section of this application package). This notice also is available electronically at the following Web sites:

<http://www.ed.gov/legislation/FedRegister> and [www.gpoaccess.gov/nara](http://www.gpoaccess.gov/nara).

**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 2014. 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 18 new awards. Projects will be funded for approximately \$250,000 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 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.

## **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 for the project director and one other staff member to attend the 2014 National PBIS Leadership Forum in Chicago, IL, on October 28-30, 2014. This forum is designed for state, district and regional leadership teams that are adopting and implementing school-wide PBIS to help increase the effectiveness of PBIS implementation. The first day will be a new grantee kick off meeting and the two days following will be the Forum. Additional information can be found at <https://sites.google.com/a/istac.net/national-pbis-leadership-forum/#overview>.

Applicants must also budget funds for the project director and one additional staff member to attend the Office of Safe and Healthy Students, 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 4:30:00 p.m., Washington, DC time, on the deadline date for applications.

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 2014. 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 Section IV of 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.

## **Reports**

Each grantee is required to submit an annual and 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**

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

This priority is: Grants to State Educational Agencies (SEAs) to Implement Statewide Systems of Support for Multi-Tiered Behavioral Frameworks to Improve School Climate.

Under this priority, we provide grants to SEAs to develop, enhance, or expand statewide systems of support for, and provide technical assistance to, LEAs implementing a multi-tiered behavioral framework to improve school climate and behavioral outcomes for all students.

## **Competitive Preference Priority**

For FY 2014 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, this priority is a competitive preference priority. Under 34 CFR 75.105(c)(2)(i) we award up to an additional 5 points to an application, depending on how well the applicant meets this priority. Therefore, the maximum number of competitive preference points that an application can receive under this competition is 5 points.

Note: An applicant must clearly identify in the abstract section of its application that it is applying for the competitive preference priority. The Department will not review or award points under this competitive preference priority for any application that fails to do so.

This priority is: Coordination with Other Related Activities (0-5 points).

Under this priority, we provide additional points to an applicant based on the application's description of a credible, high-quality plan to coordinate activities that would be funded under this competition with related activities that are funded through other available resources in such a manner as to enhance the overall impact of the multi-tiered behavioral frameworks implemented through a School Climate Transformation grant. The coordination may be with related activities that are currently in progress, such as the SAMHSA's Safe and Healthy Students program (CFDA 93.243) and HHS's Health Resources Services Administration's Center for School Mental Health (Project U45 MC 00174); as well as with related activities that would be conducted under other programs for which the applicant is currently seeking funding, such as the Mental Health First Aid program being funded by SAMHSA under the Project AWARE State Educational Agency Grants.

The plan must also describe how, in the event and to the extent an applicant does not receive funding that it seeks from other sources to support such related activities, the applicant will adjust its proposed coordination strategies. Applicants that receive additional competitive preference points under this priority and are ultimately awarded a School Climate Transformation Grant will finalize the high-quality plan described in response to this priority post-award.

## **Program Requirements**

Each grantee must implement a plan that:

(a) Builds SEA capacity for supporting the sustained and broad-scale implementation of a multi-tiered behavioral framework by LEAs by:

- (1) Improving the skills of SEA personnel to assist LEA implementation of the components of a multi-tiered behavioral framework, such as policies, funding, professional development, coaching, and interagency coordination for providing services;
- (2) Developing a cadre of trained and experienced staff to provide training and ongoing coaching to LEA leadership teams on the multi-tiered behavioral framework; and
- (3) Improving the quality, accessibility, and usefulness of statewide data collection and analysis;

(b) Enhances LEA capacity for implementing and sustaining a multi-tiered behavioral framework by providing training and technical assistance to LEAs on all of the following:

- (1) Developing or improving the quality, accessibility, and usefulness of LEA data collection and data-based decision making;
- (2) Improving the skills and expertise of LEA personnel to develop, implement, and sustain a multi-tiered behavioral framework;
- (3) Using evidence-based practices and reliable and valid tools and processes for evaluating the fidelity of implementation of the multi-tiered behavioral framework, and for measuring its outcomes, including reductions in discipline referrals, suspensions, expulsions, and the use of restraints and seclusion; improvements in school climate; increases in instructional time, and improvement in overall academic achievement; and
- (4) Coordinating SEA efforts with appropriate Federal, State, and local resources.

(c) Coordinates SEA efforts with appropriate Federal, State and local resources, including LEAs funded under the School Climate Transformation Grants LEA Program (84.184G) and the PBIS Technical Assistance Center funded by the Department.

### **Application Requirements**

Applications that fail to meet any one of these requirements will not be read or scored. The applicant must:

- (a) Describe the current efforts by the SEA to support implementation of a multi-tiered behavioral framework in its LEAs and schools, as well as evidence of the need to implement, scale-up, and sustain such a framework in additional LEAs and schools. The applicant must also present State and local data demonstrating this need, including, but not limited to, the number and types of LEAs and schools that are currently implementing a multi-tiered behavioral framework.
- (b) Describe its plan to build, improve, or enhance SEA capacity to provide effective training, technical assistance, and support to LEAs and their schools on implementing a school-wide multi-tiered behavioral framework, including the estimated number of LEAs that will be assisted, how the SEA will assess readiness for implementation, and how the SEA will help build capacity for implementation at the local level.
- (c) Describe how the proposed project will address the needs of high-need LEAs (as defined), including those with high-poverty schools (as defined), low-performing schools (including persistently lowest-achieving schools (both as defined)), and priority schools (as defined).
- (d) Explain how the SEA's efforts to build LEA and school capacity to implement, expand, and sustain a multi-tiered behavioral framework will be linked to other SEA and LEA school safety, school improvement, and school reform efforts.

## Definitions

We are establishing the definitions of “high-need LEA,” “low performing school,” “multi-tiered behavioral framework,” and “priority school” for the FY 2014 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 definitions of “high-poverty school” and “persistently lowest-achieving schools” are from the notice of final supplemental priorities and definitions for discretionary grant programs published in the Federal Register on December 15, 2010 (75 FR 78486) and corrected on May 12, 2011 (76 FR 27637).

*High-need LEA* means an LEA (a) that serves not fewer than 10,000 children from families with incomes below the poverty line; or (b) for which not less than 20 percent of the children served by the LEA are from families with incomes below the poverty line.

*High-poverty school* means a school in which at least 50 percent of students are eligible for free or reduced-price lunches under the Richard B. Russell National School Lunch Act or in which at least 50 percent of students are from low-income families as determined using one of the criteria specified under section 1113(a)(5) of the ESEA. For middle and high schools, eligibility may be calculated on the basis of comparable data from feeder schools. Eligibility as a high-poverty school under this definition is determined on the basis of the most currently available data.

*Low-performing school* means a school that is in the bottom 10 percent of performance in the State, or that has significant achievement gaps, based on student academic performance in reading/language arts and mathematics on the assessments required under the ESEA or graduation rate gaps.

*Multi-tiered behavioral framework* means a school-wide structure used to improve the integration and implementation of behavioral practices, data-driven decision-making systems, professional development opportunities, school leadership, supportive SEA and LEA policies, and evidence-based instructional strategies.

*Persistently lowest-achieving schools* means, as determined by the State—

(a)(1) Any Title I school in improvement, corrective action, or restructuring that--

(i) Is among the lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring or the lowest-achieving five Title I schools in improvement, corrective action, or restructuring in the State, whichever number of schools is greater; or

(ii) Is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years; and

(2) Any secondary school that is eligible for, but does not receive, Title I funds that—

(i) Is among the lowest-achieving five percent of secondary schools or the lowest-achieving five secondary schools in the State that are eligible for, but do not receive, Title I funds, whichever number of schools is greater; or

(ii) Is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years.

(b) To identify the lowest-achieving schools, a State must take into account both--

(i) The academic achievement of the “all students” group in a school in terms of proficiency on the State's assessments under section 1111(b)(3) of the ESEA in reading/language arts and mathematics combined; and

(ii) The school's lack of progress on those assessments over a number of years in the “all students” group.

Note: The Department considers schools that are identified as Tier I or Tier II schools under the School Improvement Grants Program (see 75 FR 66363) as part of a State's approved FY 2009, FY 2010, FY 2011, or FY 2012 application to be persistently lowest-achieving schools. A list of these Tier I and Tier II schools can be found on the Department's Web site at [www2.ed.gov/programs/sif/index.html](http://www2.ed.gov/programs/sif/index.html).

*Priority school* means a school that has been identified by the State as a priority school pursuant to the State's approved request for ESEA flexibility.

### **School Climate Transformation Grant Resource List**

The National Center on Safe Supportive Learning Environments (NCSSLE) 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 multi-tiered 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>

Project AWARE State Educational Agency Grants (CFDA 93.243) The U.S. Department of Health and Human Services (DHHS), Substance Abuse and Mental Health Services Administration (SAMHSA), Center for Mental Health Services (CMHS) has announced for fiscal year (FY) 2014 “Now is the Time” Project AWARE (Advancing Wellness and Resilience in Education) State Educational Agency Program (NITT-AWARE-SEA) cooperative agreements. The purpose of the NITT-AWARE-SEA Cooperative Agreement program is to build and expand the capacity of State Educational Agencies to increase awareness of mental health issues among school-aged youth, provide training for school personnel and other adults who interact with school-aged youth to detect and respond to mental health issues in children and young adults, and connect children, youth, and families who may have behavioral health issues with appropriate services. The intent of NITT-AWARE-SEA is to develop a comprehensive, coordinated, and integrated program for advancing wellness and resilience in educational settings for school-aged youth. Applications are due June 16, 2014. <http://beta.samhsa.gov/grants/grant-announcements/sm-14-018>

## Frequently Asked Questions

### Administrative

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

The deadline for this competition is June 23, 2014.

**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.

If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30:00 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically or by hand delivery. You also may mail your application by following the mailing instructions described in the NIA.

**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?**

For more information on using Grants.gov, please refer to the NIA for this competition published in the Federal Register; 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. By what date do applicants have to submit their application to their State Single Point of Contact, if participating?**

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

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

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

**11. 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

### 12. Who is eligible to apply?

Eligible applicants are State Educational Agencies (SEAs), as defined by section 9101(41) of the ESEA.

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

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

### 14. Must an SEA assist only high-need LEAs to be eligible to receive a grant?

No. Multi-tiered behavioral frameworks are intended to support teaching and learning for all children and youth in all schools. However applicants must describe how the proposed project will address the needs of high-need LEAs (as defined), including those with high-poverty schools (as defined), low-performing schools (including persistently lowest-achieving schools (both as defined)), and priority schools (as defined).

### 15. Must an application list the specific high-need LEAs that an SEA plans to include in the project?

No. Applicants are not required to identify specific high-need LEAs or the process to identify them in the application project narrative; however, while not required, doing so may strengthen the application. The application should include an estimated number of high-need LEAs that will be assisted. Consistent with Application Requirement (c), the application must describe how the proposed project will address the needs of high-need LEAs, as defined in the NIA.

### 16. In order to determine whether an LEA is a high-need LEA as defined in the NIA, what sources of data may be used to determine an LEA's poverty rate?

Consistent with the definition of "poverty line" in section 9101(33) of the ESEA, census data is the appropriate measure to use to determine an LEA's poverty rate.

<http://www.census.gov/did/www/saipe>

## Priorities

### 17. What priority must all applicants address to be eligible for funding?

All applications must address the absolute priority as written: Grants to State Educational Agencies (SEAs) to Implement Statewide Systems of Support for Multi-Tiered Behavioral Frameworks to Improve School Climate. Under this priority, we provide grants to SEAs to develop, enhance, or expand systems of support for, and provide technical assistance to, LEAs implementing a multi-tiered behavioral framework to improve school climate and behavioral outcomes for all students.

**18. Are applicants required to address the competitive preference priority?**

No. Applicants are not required to address the competitive preference priority, but may earn competitive preference points by designing grant programs that meet the expectations defined in the competitive preference priority language.

**19. If we receive competitive preference points and receive a grant award, when does our plan for coordination with other related activities need to be finalized?**

Applicants that receive additional competitive preference points under this priority and are ultimately awarded a School Climate Transformation Grant will finalize the high-quality plan described in response to this priority post-award.

**20. Is the award of a grant contingent on applying for and being awarded a Department of Health and Human Services (HHS) Substance Abuse and Mental Health Services Administration (SAMSHA) “Now is the Time” Project AWARE (Advancing Wellness and Resilience in Education) grant?**

No. However, we provide competitive preference points to an applicant based on the application’s description of a credible, high-quality plan to coordinate proposed activities with related activities that are funded through other available resources in such a manner as to enhance the overall impact of their proposed project.

The coordination may be with related activities that are currently in progress, such as the SAMHSA’s Safe and Healthy Students program (CFDA 93.243) and HHS’s Health Resources Services Administration’s Center for School Mental Health (Project U45 MC 00174); as well as with related activities that would be conducted under other programs for which the applicant is currently seeking funding, such as the Mental Health First Aid program being funded by SAMHSA under the Project AWARE Local Educational Agency Grants and the School Justice Collaboration Program: Keeping Kids in School and Out of Court being funded by the Department of Justice.

**21. If we decide to apply for the competitive preference priority, are we required to identify this in the abstract section of the application for purposes of earning competitive preference priority points?**

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.

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

You 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**

**23. 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

**24. 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:

- The number of training and technical assistance events provided by the SEA School Climate Transformation Grant Program to assist LEAs in implementing a multi-tiered behavioral framework.
- The number and percentage of LEAs provided training or technical by the SEA School Climate Transformation Grant Program that report an improvement in knowledge and understanding of the implementation of a multi-tiered behavioral framework.
- The number and percentage of schools in LEAs provided training or technical assistance by the SEA School Climate Transformation Grant Program that implement a multi-tiered behavioral framework.

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>.

**25. What technical assistance is available for grantees?**

In September of 2014 the Department funded the National Technical Assistance Center on Positive Behavioral Interventions and Supports. The full priority can be viewed at <http://www.gpo.gov/fdsys/pkg/FR-2013-07-05/pdf/2013-16191.pdf>.

The PBIS Center provides a comprehensive and specific TA activities and products; including:

- Information about PBIS practices, systems, outcomes, and data;
- Demonstrations of implementation of PBIS systems and practices with evaluation data at the student, school, district, and state levels;
- Professional development materials and resources for skill and capacity building in the implementation, coordination, leadership, etc. of PBIS practices and systems;
- Collaboration activities across schools, districts, and states; professional organizations; state and federal offices and departments; other federally sponsored centers and projects; etc.;
- Research about the efficacy, efficiency, and relevance of a give PBIS practice, system, and/or demonstration, and
- Evaluation planning tools, evaluation tools, online websites for collection of fidelity and impact data.

All activities and products found directly at the Center website [www.pbis.org](http://www.pbis.org) are downloadable and/or accessible for free. General assistance (e.g., conference calls, material review) that is provided by indirect communications (e.g., telephone, email, mail) also is no cost.

Some targeted and intensive technical assistance as contracted and required by the Office of Special Education Programs or Office of Safe and Healthy Students, U.S. Department of Education might be provided at no cost to specified LEAs or SEAs. Please note that intensive or personalized and on-site technical assistance is not included in the TA Center activities and will need to be budgeted for in grant applications.

## **26. What technical assistance is available for applicants?**

The Office of Safe and Healthy Students will conduct technical assistance (TA) webinars designed to assist applicants who may 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. Applicants are encouraged to visit <http://www2.ed.gov/programs/schoolclimatesea> for further information related to the specific dates and times of these webinars.

In addition, we are aware that applicants may look to the PBIS TA Center for technical assistance. While the PBIS TA Center may not assist applicants in the preparation of their grant applications, it may provide technical assistance to applicants on relevant issues, including those related to the content of grant proposals, consistent with the terms of the Center's grant award.

(Further, grantees must, according to the program requirements in the Notice Inviting Applications, implement a plan that will coordinate efforts with other appropriate resources, including the PBIS TA Center funded by the Department.)

## **Selection Criteria**

### **27. 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.

### **28. 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.

### **29. Will the reviewers be asked to read every part of each application?**

Yes. Reviewers will be asked to read every part of the application (including the budget narrative, budget forms, and project narrative, among others); however, reviewers will not read any pages of the project narrative that exceed the page limit. For this reason and to facilitate the review, the Department encourages applicants to carefully follow the directions in the application package. Applicants should pay particular attention to the flow of the narrative and correctly label all attachments.

## **Budget**

### **30. 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.

### **31. Are these grants subject to Supplement, Not Supplant provisions?**

No.

### **32. 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.

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

This program uses an unrestricted indirect cost rate.

**34. 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.

**35. 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.

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

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

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

**37. 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.

**38. 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 costs.

**39. 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 and contractual costs that exceed the first \$25,000 of each contract. Each applicant should consult its own indirect cost rate agreement to determine which expenses can be included in direct costs when calculating indirect costs.

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

No.

**41. 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.

**42. 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.

**43. 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. The proposed project start date might be slightly modified to accommodate this.

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

No. SCTG funds are available to reimburse a grantee for pre-award costs that are reasonable, necessary, and otherwise allowable when these costs were incurred within 90 days prior to the beginning of the grant's initial budget period. For instance, a grantee with a budget period start date of October 1 may begin carrying out tasks for the new project as early as July 1, although it cannot draw down any payments until October 1 when the grant is awarded and the initial budget period has begun.

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

**45. 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.”

**46. 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.

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

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

**47. Will there be a New Grantee Project Directors Meeting and how should we budget for this event?**

Yes. Applicants must budget for the project director and one additional staff member for a 3-day trip to Chicago, IL, on October 28-30, 2014. The first day will be the new grantee kick off meeting and the two days following will be the 2014 National PBIS Leadership Forum. Additional information can be found at <https://sites.google.com/a/istac.net/national-pbis-leadership-forum/#overview>.

## **Additional Questions**

### **48. Who do I contact for more information about this grant competition?**

Any questions pertaining to this grant competition should be directed to Bryan Williams, U.S. Department of Education, email: [SEA.SCTG@ed.gov](mailto:SEA.SCTG@ed.gov) or by phone: 202-453-6715. 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.

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

The Office of Safe and Healthy Students will conduct technical assistance (TA) webinars designed to assist applicants who may 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 a TA call. Applicants should reference <http://www2.ed.gov/programs/schoolclimatesea> for follow-up information related to these conference calls.

## **Tips for Preparing and Submitting an Application**

### **Beginning the Application Process**

- Read this application package in its entirety and make sure you follow all of the 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 Bryan Williams, U.S. Department of Education, Office of Safe and Healthy Students at [SEA.SCTG@ed.gov](mailto:SEA.SCTG@ed.gov) or (202) 453-6715 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.

- 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. Agency staff will award any appropriate competitive preference points. Competitive preference points will be in addition to points awarded by peer reviewers.
- 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—State Educational Agency Grants applications through Grants.gov is June 23, 2014.**

### Application Transmittal Instructions

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

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

### Applications Submitted Electronically

Applications for grants under this program must be submitted electronically using the Governmentwide Grants.gov Apply site at <http://www.Grants.gov>. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may **not** e-mail an electronic copy of a grant application to us.

Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system **no later than 4:30:00 p.m., Washington, DC time, on the application deadline date.** Except as otherwise noted in Federal Register notice for this competition, we will not consider your application if it is date and time stamped by the Grants.gov system later than 4:30:00 p.m., Washington, DC time, on the application deadline date.

You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in this application package to ensure that you submit your application in a timely manner to the Grants.gov system.

### **Please note the following:**

- You must attach any narrative sections of your application as files in a **.pdf** (Portable Document) format. **If you upload a file type other than a .pdf file, or submit a password-protected file, we will not review that material.**
- Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.
- When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters. The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your

Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.

- Your electronic application must comply with any page-limit requirements described in this application package.
- If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

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

Submission of Paper Applications by Mail:

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

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.184F)  
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 84.184F)  
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 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications:

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

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

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

## Submitting Applications with Adobe Reader Software

The Department of Education, working with Grants.gov, is currently moving from using PureEdge software to using Adobe Reader software exclusively and applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Applicants will no longer need to use the PureEdge software to create or submit an application.

**Please note:** The compatible version of Adobe Reader is **required** for viewing, editing and submitting a complete grant application package for the Department of Education through Grants.gov. Applicants should confirm the compatibility of their Adobe Reader version **before** downloading the application. To ensure applicants have a version of Adobe Reader on their computer that is compatible with Grants.gov, applicants are encouraged to use the test package provided by Grants.gov that can be accessed at <http://www.grants.gov/web/grants/support/technical-support/troubleshooting/verifying-adobe-reader.html#>.

### Important issues to consider:

- If the applicant opened or edited the application package with any software other than the compatible version of Adobe Reader, the application package may contain errors that will be transferred to the new package even if you later download the compatible Adobe Reader version.
- Applicants **cannot** copy and paste data from a package initially opened or edited with an incompatible version of Adobe Reader and will need to download an **entirely new package** using the compatible version of Adobe Reader.
- Some applicants using an incompatible version of Adobe Reader **may have trouble** opening and viewing the application package while others may find they can open, view and complete the application package but **may not be able to submit** the application package through Grants.gov.
- Grants.gov **does not** guarantee to support versions of Adobe Reader that are not compatible with Grants.gov.
- Any and all edits made to the Adobe Reader application package **must** be made with the compatible version of Adobe Reader.

**For your convenience, the latest version of Adobe Reader is available for free download at** <http://www.grants.gov/web/grants/support/technical-support/software/adobe-reader-compatibility.html>.

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

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

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

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 10.1.14). (Please note that in early 2013, Grants.gov discovered an issue with the newest version of Adobe Reader XI but it was subsequently resolved.) Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov at this link: [compatibility table](#). We strongly recommend that you review these details on [www.Grants.gov](http://www.Grants.gov) before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Also, applicants are required to upload their attachments in .pdf format only. (See details below under “Attaching Files – Additional Tips.”) If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

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

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

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

**Note:** To submit successfully, you must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This DUNS number is typically the same number used when your organization

**registered with the SAM (formerly CCR -Central Contractor Registry). If you do not enter the same DUNS number on your application as the DUNS you registered with, Grants.gov will reject your application.**

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

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

#### **Submission Problems – What should you do?**

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

If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date.

If electronic submission is required, you must submit an electronic application before 4:30:00 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

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

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your

computer. You will need to logon to Grants.gov to upload and submit the application. **You must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov.**

Please go to <http://www.grants.gov/web/grants/about/contact-us.html> for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov <http://www.grants.gov/web/grants/applicants/applicant-resources.html>.

### **Dial-Up Internet Connections**

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

### **Mac Users**

For Mac compatibility information, review the Operating System Platform Compatibility Table at the following Grants.gov link: <http://www.grants.gov/web/grants/support/technical-support/recommended-software.html>. **If electronic submission is required and you are concerned about your ability to submit electronically as a non-windows user, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

### **Attaching Files – Additional Tips**

Please note the following tips related to attaching files to your application, especially the requirement that applicants **only include read-only, non-modifiable .PDF files** in their application:

1. Ensure that you attach **.PDF files only** for any attachments to your application, and they must be in a **read-only, non-modifiable format**. PDF files are the only Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are not .PDF files or are password protected files will not be read. If you need assistance converting your files to a .pdf format, please refer to the following Grants.gov webpage with links to conversion programs under the heading of additional resources: <http://www.grants.gov/web/grants/support/technical-support/software/pdf-conversion-software.html>

2. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
3. When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded files must be less than 50 characters in the file name, contain no spaces, no special characters (example: -, &, \*, %, /, #, \) including periods (.), blank spaces and accent marks. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.
4. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

\*Please note that the Central Contractor Registry (CCR) was replaced by the System for Award Management (SAM) effective July 30, 2012. For more information on the migration of CCR data to SAM, grant applicants should read this information located on Grants.gov:

<http://grants-gov.blogspot.com/2012/07/information-about-pending-migration.html#!/2012/07/information-about-pending-migration.html>.

11/2013

## Application Instructions

### Electronic Application Format

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

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

*Important note:* Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 10.1.14).

Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov. Also, please review the **Submitting Applications with Adobe Reader Software** and **Education Submission Procedures and Tips for Applicants** forms found within this package for further information and guidance related to this requirement.

We strongly recommend that you review these details on [www.Grants.gov](http://www.Grants.gov) before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Applicants will no longer need to use the PureEdge software to create or submit an application. If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

**Note: Please do not attach any narratives, supporting files, or application components to any forms unless it is specifically required by the instructions for the individual section of the application. Although several forms accept attachments, the Department 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 (If your State participates – please refer to pg. 60)
- 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

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

Item	Entry:	Item:	Entry:
1.	<p><b>Type of Submission:</b> (Required) Select one type of submission in accordance with agency instructions.</p> <ul style="list-style-type: none"> <li>• Pre-application</li> <li>• Application</li> <li>• Changed/Corrected Application – Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date.</li> </ul>	10.	<p><b>Name Of Federal Agency:</b> (Required) Enter the name of the federal agency from which assistance is being requested with this application.</p>
		11.	<p><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.</p>
2.	<p><b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions.</p> <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the federal government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.</li> </ul> <p>A. Increase Award                      D. Decrease Duration            B. Decrease Award                      E. Other (specify)            C. Increase Duration</p>	12.	<p><b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement.</p>
		13.	<p><b>Competition Identification Number/Title:</b> Enter the competition identification number and title of the competition under which assistance is requested, if applicable.</p>
		14.	<p><b>Areas Affected By Project:</b> This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.</p>
3.	<p><b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.</p>	15.	<p><b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.</p>
4.	<p><b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or the applicant's control number if applicable.</p>		
5a.	<p><b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the federal agency, if any.</p>	16.	<p><b>Congressional Districts Of:</b> 16a. (Required) Enter the applicant's congressional district. 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina's 103 district. If all congressional districts in a state are affected, enter "all" for the</p>
5b.	<p><b>Federal Award Identifier:</b> For new applications, enter NA. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.</p>		

Item	Entry:	Item:	Entry:
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the state, if applicable.		district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the state, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		
	<b>a. Legal Name:</b> (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	<b>Estimated Funding:</b> (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.
	<b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .	19.	<b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> (Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.
	<b>d. Address:</b> Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).	20.	<b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.
	<b>e. Organizational Unit:</b> Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.	21.	<b>Authorized Representative:</b> To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)
	<b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.		
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.		

Item	Entry:	Item:	Entry:
	<ul style="list-style-type: none"> <li>A. State Government</li> <li>B. County Government</li> <li>C. City or Township Government</li> <li>D. Special District Government</li> <li>E. Regional Organization</li> <li>F. U.S. Territory or Possession</li> <li>G. Independent School District</li> <li>H. Public/State Controlled Institution of Higher Education</li> <li>I. Indian/Native American Tribal Government (Federally Recognized)</li> <li>J. Indian/Native American Tribal Government (Other than Federally Recognized)</li> <li>K. Indian/Native American Tribally Designated Organization</li> <li>L. Public/Indian Housing Authority</li> </ul>	<ul style="list-style-type: none"> <li>M. Nonprofit</li> <li>N. Private Institution of Higher Education</li> <li>O. Individual</li> <li>P. For-Profit Organization (Other than Small Business)</li> <li>Q. Small Business</li> <li>R. Hispanic-serving Institution</li> <li>S. Historically Black Colleges and Universities (HBCUs)</li> <li>T. Tribally Controlled Colleges and Universities (TCCUs)</li> <li>U. Alaska Native and Native Hawaiian Serving Institutions</li> <li>V. Non-US Entity</li> <li>W. Other (specify)</li> </ul>	

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

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

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

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

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

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

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

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

**3b. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Check the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for U.S. Department of Education Supplemental Information for the SF-424.”

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

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

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

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

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

**Paperwork Burden Statement.** *According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1894-0007. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-0170. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Office of Safe and Healthy Students, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.*

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

**Definitions:**

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

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

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

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.

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.

## —Human Subject

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

### B. Exemptions.

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

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

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the

subjects; and (b) any disclosure of the human subjects’ responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects’ financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed.***

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

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

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

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d)

possible changes in methods or levels of payment for benefits or services under those programs. ***[The standards of this exemption are rarely met because it was designed to apply only to specific research conducted by HHS at the time the regulations were established. We will strictly construe this exemption because it was not intended to apply to ED research.]***

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

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

If the applicant marked “Yes” for Item 3.b. of the U.S. Department of Education Supplemental Information for the SF 424, the applicant must attach a human subjects “exempt research” or “nonexempt research” narrative to the U.S. Department of Education Supplemental Information for the SF-424 form. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

### **A. Exempt Research Narrative.**

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

### **B. Nonexempt Research Narrative.**

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

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

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

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

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

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

**(5) Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for

ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

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

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

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

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

## Part 2: Budget Information

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

This part of your application contains information about the Federal funding you are requesting. Remember that you must provide all requested budget information for each year of the project (up to 60 months) and the total column in order to be considered for Federal funding. Specific instructions for completing the budget forms are provided within this application package.

*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, 34 CFR 74 – 86 and 97-99, on ED’s website at: <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

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

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

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

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

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

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

Line 12, column (f): Show the total amount requested for all project years. If funding is

requested for only one year, leave this space blank.

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

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

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

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

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

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

### Section B - Budget Summary Non-Federal Funds

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

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

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

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

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

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

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more

separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.

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

- 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 ED's general cost sharing and matching regulations, which include specific limitations, in 34 CFR 74.23, applicable to non-governmental entities, and 80.24, applicable to governments, and the applicable Office of Management and Budget (OMB) cost principles for your entity type regarding donations, capital assets, depreciation and use allowances. OMB cost principle circulars are available on OMB's website at:

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

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

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

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

5. Provide other explanations or comments you deem necessary.

#### Paperwork Burden Statement

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

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

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

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

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

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

#### **Project Abstract**

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

- Project objectives and activities
- 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.

You must limit the application narrative to the equivalent of no more than 25 pages, using the following standards:

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

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

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

### **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:

#### **1. Significance (30 points)**

The Secretary considers the significance of the proposed project. In determining the significance of the proposed project, the Secretary considers the following factors:

- (a) The extent to which the proposed project is likely to build local capacity to provide, improve, or expand services that address the needs of the target population. (10 points)

- (b) The importance or magnitude of the results or outcomes likely to be attained by the proposed project. (10 points)
- (c) The likelihood that the proposed project will result in system change or improvement. (10 points)

## **2. Quality of Project Services (35 points)**

The Secretary considers the quality of the services to be provided by the proposed project. In determining the quality of the services to be provided by the proposed project, the Secretary considers:

- (a) the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. (5 points)
- (b) In addition, the Secretary considers the following factors:
  - (i) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable. (10 points)
  - (ii) The extent to which the entities that are to be served by the proposed technical assistance project demonstrate support for the project. (5 points)
  - (iii) The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services. (10 points)
  - (iv) The extent to which the products and services to be developed and provided by the proposed project involve the use of efficient strategies, including the use of technology, collaboration with appropriate partners, and the leveraging of non-project resources. (5 points)

## **3. Quality of the Management Plan (25 points)**

The Secretary considers the quality of the management plan for the proposed project. In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

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

## **4. Quality of the Project Evaluation (10 points)**

The Secretary considers the quality of the evaluation to be conducted of the proposed project. In determining the quality of the evaluation, the Secretary considers the following factors:

- (a) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project. (5 points)
- (b) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes. (5 points)

**Important note about the project evaluation:** A strong evaluation plan should be included in the application narrative and should be used, as appropriate, to shape the development of the project from the beginning of the grant period. The plan should include benchmarks to monitor progress toward specific project objectives

and also outcome measures to assess the impact on teaching and learning or other important outcomes for project participants. More specifically, the plan should identify the individual and/or organization that have agreed to serve as evaluator for the project and describe the qualifications of that evaluator.

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

## Part 5: Budget Narrative

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

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

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

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

This section requires an **itemized budget breakdown** for each project year and the **basis for estimating the costs** of personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs and any other projected expenditures. Be sure to complete an itemized budget breakdown and narrative for each year of the proposed project (up to 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:  
[http://www.whitehouse.gov/omb/circulars/a021/a21\\_2004.html](http://www.whitehouse.gov/omb/circulars/a021/a21_2004.html)
- OMB Circular A-87 may be found at the following link:  
[http://www.whitehouse.gov/omb/circulars/a087/a87\\_2004.html](http://www.whitehouse.gov/omb/circulars/a087/a87_2004.html)
- OMB Circular A-122 may be found at the following link:  
[http://www.whitehouse.gov/omb/circulars/a122/a122\\_2004.html](http://www.whitehouse.gov/omb/circulars/a122/a122_2004.html)

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

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

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

### **1. Personnel**

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

### **2. Fringe Benefits**

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

### **3. Travel**

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

### **4. Equipment**

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

### **5. Supplies**

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

### **6. Contractual**

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

- For professional services contracts, provide the amounts of time to be devoted to the project, including the costs to be charged to this proposed grant award.
- Provide a brief statement that you have followed the procedures for procurement under 34 CFR Parts 74.40 - 74.48 and Part 80.36.
- Provide the basis for cost estimates or computations.

**7. Construction**

- Not applicable.

**8. Other**

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

**9. Total Direct Costs**

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

**10. Indirect Costs**

- Identify indirect cost rate (if the applicant will charge indirect costs to the grant)
- 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 – State 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. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

## **Instructions for Meeting the General Education Provisions Act (GEPA) Section 427 Requirements**

All applicants for new awards **must** include information in their applications to address this new provision in order to receive funding under this program.

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

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

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

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

Applicants are **required** to address this provision by attaching a statement (not to exceed three pages) to the **ED 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 [www.whitehouse.gov/omb/grants\\_spoc](http://www.whitehouse.gov/omb/grants_spoc).

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# 84.184F, 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— State Educational Agency Grants:

1. The number of training and technical assistance events provided by the SEA School Climate Transformation Grant Program to assist LEAs in implementing a multi-tiered behavioral framework.
2. The number and percentage of LEAs provided training or technical by the SEA School Climate Transformation Grant Program that report an improvement in knowledge and understanding of the implementation of a multi-tiered behavioral framework.
3. The number and percentage of schools in LEAs provided training or technical assistance by the SEA School Climate Transformation Grant Program that implement a multi-tiered behavioral framework.

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

## Legal and Regulatory Information

### *Notice Inviting Applications*

4000-01-U

DEPARTMENT OF EDUCATION

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

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

ACTION: Notice.

Overview Information:

School Climate Transformation Grant Program -- State Educational Agency Grants

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

Catalog of Federal Domestic Assistance (CFDA) Number: 84.184F.

Dates:

Applications Available: May 7, 2014.

Deadline for Transmittal of Applications: June 23, 2014.

Deadline for Intergovernmental Review: August 20, 2014.

Full Text of Announcement

#### I. Funding Opportunity Description

Purpose of Program: The School Climate Transformation Grant Program – State Educational Agency Grants provides competitive grants to State educational agencies (SEAs) to develop, enhance, or expand statewide systems of support for, and technical assistance to, local educational agencies (LEAs) and schools implementing an evidence-based, multi-tiered behavioral framework for improving behavioral outcomes and learning conditions for all students.

Background:

Although schools have long attempted to address issues of discipline, disruptive and problem behavior, violence, and bullying, the vast majority of our Nation's schools have not implemented

comprehensive, effective supports that address the full range of students' social, emotional, and behavioral needs.

A report issued by the U.S. Secret Service and the Department of Education following the Columbine shooting found that one of the most effective ways schools can reduce violence and bullying is to improve a school's climate and thereby increase trust and communication between students and staff. Research demonstrates that the implementation of an evidence-based, multi-tiered behavioral framework, such as positive behavioral interventions and supports (PBIS), can help improve overall school climate and safety. A key aspect of this multi-tiered approach is providing differing levels of support and interventions to students based on their needs. Certain supports involve the whole school (e.g., consistent rules, consequences, and reinforcement of appropriate behavior), with more intensive supports for groups of students exhibiting at-risk behavior and individualized services for students who continue to exhibit troubling behavior.

When a multi-tiered behavioral framework has been implemented with fidelity, studies have found the following statistically significant results: an increase in perceived school safety, reductions in overall problem behaviors, reductions in bullying behaviors, and reductions in office discipline referrals and suspensions. Studies have also found a correlation between the use of multi-tiered behavioral frameworks and improved social skills. Emerging evidence also links implementing a multi-tiered behavioral framework with improved academic achievement. In addition to being effective, school-wide multi-tiered behavioral frameworks are attractive to SEAs and LEAs because they are designed to enhance the learning environment for all students while having additional supports in place for students who have greater social, emotional, and behavioral needs.

Under this program, grant funds will help build SEA capacity to develop and adopt, or expand to more schools, a multi-tiered behavioral framework that guides the selection, integration, and implementation of the best evidence-based behavioral practices for improving school climate and behavioral outcomes for all students.

In 2013, the President proposed a comprehensive plan, "Now is the Time," to protect our children and communities by reducing gun violence, making schools safer, and increasing access to mental health services. The School Climate Transformation Grant Program is one of several Federal programs designed to work together to help make schools safer and improve mental health services for students and young adults. The Departments of Education, Health and Human Services, and Justice are implementing coordinated programs consistent with the initiative and the FY 2014 Consolidated Appropriations Act. The Department of Health and Human Services (HHS) Substance Abuse and Mental Health Services Administration (SAMHSA) is implementing the Administration's "Now is the Time" Project AWARE (Advancing Wellness and Resilience in Education), which provides grants to SEAs and LEAs to increase awareness of mental health issues among school-aged youth. Project AWARE grants provide funding to support training in detection and response to mental illness in youth for adults who interact with youth in school and community settings. Later this year the Department of Justice, under the School Justice Collaboration Program: Keeping Kids in School and Out of Court, will be awarding

competitive grants to juvenile and family courts in communities that receive School Climate Transformation Grants to collaborate on use of evidence-based positive behavior strategies to increase school safety and reduce suspensions, expulsions, and referrals to court. The Department of Education is implementing SEA and LEA School Climate Transformation Grants to assist States and LEAs in developing, enhancing, or expanding systems of support for, and technical assistance to, schools implementing evidence-based multi-tiered behavior frameworks for improving behavioral outcomes and learning conditions for all students.

SEAs that implement this suite of programs as part of a coordinated strategy will enhance their ability to achieve the goals and objectives of the various programs. The combination and coordination of these programs will facilitate interagency partnerships and strategies to address the issues of school climate, school safety, and mental health needs in a comprehensive manner.

This notice invites SEAs to apply for grants under the School Climate Transformation Grant Program. A notice inviting applications from LEAs is published elsewhere in this issue of the Federal Register.

**Priorities:** We are establishing these priorities for the FY 2014 grant competition and any subsequent year in which we make awards from the list of unfunded applicants from this competition, in accordance with section 437(d)(1) of the General Education Provisions Act (GEPA), 20 U.S.C. 1232(d)(1).

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

This priority is:

Grants to State Educational Agencies (SEAs) to Implement Statewide Systems of Support for Multi-Tiered Behavioral Frameworks to Improve School Climate.

Under this priority, we provide grants to SEAs to develop, enhance, or expand statewide systems of support for, and provide technical assistance to, LEAs implementing a multi-tiered behavioral framework to improve school climate and behavioral outcomes for all students.

**Competitive Preference Priority:** For FY 2014 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, this priority is a competitive preference priority. Under 34 CFR 75.105(c)(2)(1) we award up to an additional 5 points to an application, depending on how well the applicant meets this priority. Therefore, the maximum number of competitive preference points that an application can receive under this competition is 5 points.

**Note:** An applicant must clearly identify in the abstract section of its application that it is applying for the competitive preference priority. The Department will not review or award points under this competitive preference priority for any application that fails to do so.

This priority is:

#### Coordination with Other Related Activities (0-5 points).

Under this priority, we provide additional points to an applicant based on the application's description of a credible, high-quality plan to coordinate activities that would be funded under this competition with related activities that are funded through other available resources in such a manner as to enhance the overall impact of the multi-tiered behavioral frameworks implemented through a School Climate Transformation grant. The coordination may be with related activities that are currently in progress, such as the SAMHSA's Safe and Healthy Students program (CFDA 93.243) and HHS's Health Resources Services Administration's Center for School Mental Health (Project U45 MC 00174); as well as with related activities that would be conducted under other programs for which the applicant is currently seeking funding, such as the Mental Health First Aid program being funded by SAMHSA under the Project AWARE State Educational Agency Grants.

The plan must also describe how, in the event and to the extent an applicant does not receive funding that it seeks from other sources to support such related activities, the applicant will adjust its proposed coordination strategies. Applicants that receive additional competitive preference points under this priority and are ultimately awarded a School Climate Transformation Grant will finalize the high-quality plan described in response to this priority post-award.

#### Program Requirements

Each grantee must implement a plan that:

(a) Builds SEA capacity for supporting the sustained and broad-scale implementation of a multi-tiered behavioral framework by LEAs by:

(1) Improving the skills of SEA personnel to assist LEA implementation of the components of a multi-tiered behavioral framework, such as policies, funding, professional development, coaching, and interagency coordination for providing services;

(2) Developing a cadre of trained and experienced staff to provide training and ongoing coaching to LEA leadership teams on the multi-tiered behavioral framework; and

(3) Improving the quality, accessibility, and usefulness of statewide data collection and analysis;

(b) Enhances LEA capacity for implementing and sustaining a multi-tiered behavioral framework by providing training and technical assistance to LEAs on all of the following:

(1) Developing or improving the quality, accessibility, and usefulness of LEA data collection and data-based decision making;

(2) Improving the skills and expertise of LEA personnel to develop, implement, and sustain a multi-tiered behavioral framework;

(3) Using evidence-based practices and reliable and valid tools and processes for evaluating the fidelity of implementation of the multi-tiered behavioral framework, and for measuring its outcomes, including reductions in discipline referrals, suspensions, expulsions, and the use of restraints and seclusion; improvements in school climate; increases in instructional time; and improvement in overall academic achievement; and

(4) Coordinating SEA efforts with appropriate Federal, State, and local resources.

(c) Coordinates SEA efforts with appropriate Federal, State and local resources, including LEAs funded under the School Climate Transformation Grants LEA Program (84.184G) and the PBIS Technical Assistance Center funded by the Department.

Application Requirements: Applications that fail to meet any one of these requirements will not be read or scored. The applicant must:

(a) Describe the current efforts by the SEA to support implementation of a multi-tiered behavioral framework in its LEAs and schools, as well as evidence of the need to implement, scale-up, and sustain such a framework in additional LEAs and schools. The applicant must also present State and local data demonstrating this need, including, but not limited to, the number and types of LEAs and schools that are currently implementing a multi-tiered behavioral framework.

(b) Describe its plan to build, improve, or enhance SEA capacity to provide effective training, technical assistance, and support to LEAs and their schools on implementing a school-wide multi-tiered behavioral framework, including the estimated number of LEAs that will be assisted, how the SEA will assess readiness for implementation, and how the SEA will help build capacity for implementation at the local level.

(c) Describe how the proposed project will address the needs of high-need LEAs (as defined in this notice), including those with high-poverty schools (as defined in this notice), low-performing schools (including persistently lowest-achieving schools (both as defined in this notice)), and priority schools (as defined in this notice).

(d) Explain how the SEA's efforts to build LEA and school capacity to implement, expand, and sustain a multi-tiered behavioral framework will be linked to other SEA and LEA school safety, school improvement, and school reform efforts.

Definitions: We are establishing the definitions of "high-need LEA," "low performing school," "multi-tiered behavioral framework," and "priority school" in this notice for the FY 2014 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 definitions of "high-poverty school" and "persistently lowest-achieving schools" are from the notice of final supplemental priorities and definitions for discretionary grant programs published in the Federal Register on December 15, 2010 (75 FR 78486) and corrected on May 12, 2011 (76 FR 27637).

High-need LEA means an LEA (a) that serves not fewer than 10,000 children from families with incomes below the poverty line; or (b) for which not less than 20 percent of the children served by the LEA are from families with incomes below the poverty line.

High-poverty school means a school in which at least 50 percent of students are eligible for free or reduced-price lunches under the Richard B. Russell National School Lunch Act or in which at least 50 percent of students are from low-income families as determined using one of the criteria specified under section 1113(a)(5) of the ESEA. For middle and high schools, eligibility may be calculated on the basis of comparable data from feeder schools. Eligibility as a high-poverty school under this definition is determined on the basis of the most currently available data.

Low-performing school means a school that is in the bottom 10 percent of performance in the State, or that has significant achievement gaps, based on student academic performance in reading/language arts and mathematics on the assessments required under the ESEA, or graduation rate gaps.

Multi-tiered behavioral framework means a school-wide structure used to improve the integration and implementation of behavioral practices, data-driven decision-making systems, professional development opportunities, school leadership, supportive SEA and LEA policies, and evidence-based instructional strategies.

Persistently lowest-achieving schools means, as determined by the State--

(a)(1) Any Title I school in improvement, corrective action, or restructuring that--

(i) Is among the lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring or the lowest-achieving five Title I schools in improvement, corrective action, or restructuring in the State, whichever number of schools is greater; or

(ii) Is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years; and

(2) Any secondary school that is eligible for, but does not receive, Title I funds that—

(i) Is among the lowest-achieving five percent of secondary schools or the lowest-achieving five secondary schools in the State that are eligible for, but do not receive, Title I funds, whichever number of schools is greater; or

(ii) Is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years.

(b) To identify the lowest-achieving schools, a State must take into account both--

(i) The academic achievement of the “all students” group in a school in terms of proficiency on the State's assessments under section 1111(b)(3) of the ESEA in reading/language arts and mathematics combined; and

(ii) The school's lack of progress on those assessments over a number of years in the “all students” group.

Note: The Department considers schools that are identified as Tier I or Tier II schools under the School Improvement Grants Program (see 75 FR 66363) as part of a State's approved FY 2009, FY 2010, FY 2011, or FY 2012 application to be persistently lowest-achieving schools. A list of these Tier I and Tier II schools can be found on the Department's Web site at [www2.ed.gov/programs/sif/index.html](http://www2.ed.gov/programs/sif/index.html).

Priority school means a school that has been identified by the State as a priority school pursuant to the State's approved request for ESEA flexibility.

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, definitions, 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 the appropriation for Safe Schools and Citizenship Education in the Department of Education Appropriations Act, 2014, Title III of Division H of P.L. 113-76, and section 4121 of the ESEA (20 U.S.C. 7131) and therefore qualifies for this exemption. In order to ensure timely grant awards, the Secretary has decided to forgo public comment on the priorities, definitions, and requirements under section 437(d)(1) of GEPA. These priorities, definitions, and requirements will apply to the FY 2014 grant competition and any subsequent year in which we make awards from the list of unfunded applicants from this competition.

Program Authority: 20 U.S.C. 7131; the Department of Education Appropriations Act, 2014, Title III of Division H of P.L. 113-76.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts, 75, 77, 79, 80, 81, 82, 84, 97, 98, and 99; the regulations in 34 CFR part 299. (b) The Education Department suspension and debarment regulations in 2 CFR part 3485.

Note: The regulations in 34 CFR part 79 apply to all applicants except federally recognized Indian tribes.

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$7,375,000.

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

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

Estimated Average Size of Awards: \$400,000.

Maximum Award: 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.

Estimated Number of Awards: 18.

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

Project Period: Up to 60 months.

### III. Eligibility Information

1. Eligible Applicants: SEAs.

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

3. Other:

(a) Participation by Private School Children and Teachers. Section 9501 of the ESEA requires that SEAs, LEAs, or other entities receiving funds under the Safe and Drug-Free Schools and Communities Act provide for the equitable participation of private school children, their teachers, and other educational personnel in private schools located in geographic areas served by the grant recipient.

In order to ensure that grant program activities address the needs of private school children, the applicant must engage in timely and meaningful consultation with appropriate private school officials during the design and development of the proposed program. This consultation must take place before the applicant makes any decision that affects the opportunities of eligible private school children, teachers, and other educational personnel to participate in grant program activities. Administrative direction and control over grant funds must remain with the grantee.

### IV. Application and Submission Information

1. Address to Request Application Package:

ED Pubs, U.S. Department of Education, P.O. Box 22207, Alexandria, VA 22304. Telephone, toll free: 1-877-433-7827. FAX: (703) 605-6794. If you use a telecommunications device for the deaf (TDD) or a text telephone (TTY), call, toll free: 1-877-576-7734.

You can contact ED Pubs at its Web site, also: [www.EDPubs.gov](http://www.EDPubs.gov) or at its e-mail address: [edpubs@inet.ed.gov](mailto:edpubs@inet.ed.gov).

If you request an application package from ED Pubs, be sure to identify this program or competition as follows: CFDA number 84.184F.

Individuals with disabilities can obtain a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) by contacting the person or team listed under Accessible Format in section VIII of this notice.

2. Content and Form of Application Submission: Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this program.

Page Limit: The application narrative is where you, the applicant, provide the project narrative to address the selection criteria that reviewers use to evaluate your application. The required budget and budget narrative will be provided in a separate section. You must limit the application narrative to the equivalent of no more than 25 pages, using the following standards:

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

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

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

3. Submission Dates and Times:

Applications Available: May 7, 2014.

Deadline for Transmittal of Applications: June 23, 2014.

Applications for grants under this program must be submitted electronically using the Grants.gov Apply site ([Grants.gov](http://Grants.gov)). For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the

electronic submission requirement, please refer to section IV. 7. Other Submission Requirements of this notice.

We do not consider an application that does not comply with the deadline requirements.

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in section VII of this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

Deadline for Intergovernmental Review: August 20, 2014.

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

5. Funding Restrictions: Program funds may be used for training and technical assistance and costs related to carrying out these activities, in addition to other allowable costs. We reference additional regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Data Universal Numbering System Number, Taxpayer Identification Number, and System for Award Management: To do business with the Department of Education, you must--

a. Have a Data Universal Numbering System (DUNS) number and a Taxpayer Identification Number (TIN);

b. Register both your DUNS number and TIN with the System for Award Management (SAM) (formerly the Central Contractor Registry (CCR)), the Government's primary registrant database;

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

d. Maintain an active SAM registration with current information while your application is under review by the Department and, if you are awarded a grant, during the project period.

You can obtain a DUNS number from Dun and Bradstreet. A DUNS number can be created within one-to-two business days.

If you are a corporate entity, agency, institution, or organization, you can obtain a TIN from the Internal Revenue Service. If you are an individual, you can obtain a TIN from the Internal Revenue Service or the Social Security Administration. If you need a new TIN, please allow 2-5 weeks for your TIN to become active.

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

Note: Once your SAM registration is active, you will need to allow 24 to 48 hours for the information to be available in Grants.gov and before you can submit an application through Grants.gov.

If you are currently registered with SAM, you may not need to make any changes. However, please make certain that the TIN associated with your DUNS number is correct. Also note that you will need to update your registration annually. This may take three or more business days.

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

In addition, if you are submitting your application via Grants.gov, you must (1) be designated by your organization as an Authorized Organization Representative (AOR); and (2) register yourself with Grants.gov as an AOR. Details on these steps are outlined at the following Grants.gov Web page: <http://www.grants.gov/web/grants/register.html>.

#### 7. Other Submission Requirements:

Applications for grants under this competition must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in this section.

##### a. Electronic Submission of Applications.

Applications for grants under the School Climate Transformation Grant Program, CFDA numbers 84.184F (SEA grants), must be submitted electronically using the Governmentwide Grants.gov Apply site at [www.Grants.gov](http://www.Grants.gov). Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

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

You may access the electronic grant application for the School Climate Transformation Grant Program at [www.Grants.gov](http://www.Grants.gov). You must search for the downloadable application package for this competition by the CFDA numbers. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.184, not 84.184F).

Please note the following:

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30:00 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not accept your application if it is received--that is, date and time stamped by the Grants.gov system--after 4:30:00 p.m., Washington, DC time, on the application deadline date. We do not consider an application that does not comply with the deadline requirements. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30:00 p.m., Washington, DC time, on the application deadline date.
- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.
- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this competition to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov under News and Events on the Department's G5 system home page at <http://www.G5.gov>.
- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.
- You must submit all documents electronically, including all information you typically provide on the following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.
  - You must upload any narrative sections and all other attachments to your application as files in a PDF (Portable Document) read-only, non-modifiable format. Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-modifiable PDF or submit a password-

protected file, we will not review that material. (Additional, detailed information on how to attach files is in the application instructions.]

- Your electronic application must comply with any page-limit requirements described in this notice.
- After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. (This notification indicates receipt by Grants.gov only, not receipt by the Department.) The Department then will retrieve your application from Grants.gov and send a second notification to you by e-mail. This second notification indicates that the Department has received your application and has assigned your application a PR/Award number (an ED-specified identifying number unique to your application).
- We may request that you provide us original signatures on forms at a later date.

**Application Deadline Date Extension in Case of Technical Issues with the Grants.gov System:** If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30:00 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically or by hand delivery. You also may mail your application by following the mailing instructions described elsewhere in this notice.

If you submit an application after 4:30:00 p.m., Washington, DC time, on the application deadline date, please contact the person listed under For Further Information Contact in section VII of this notice and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your application by 4:30:00 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

**Note:** The extensions to which we refer in this section apply only to the unavailability of, or technical problems with, the Grants.gov system. We will not grant you an extension if you failed to fully register to submit your application to Grants.gov before the application deadline date and time or if the technical problem you experienced is unrelated to the Grants.gov system.

**Exception to Electronic Submission Requirement:** You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through the Grants.gov system because—

- You do not have access to the Internet; or

- You do not have the capacity to upload large documents to the Grants.gov system;

and

- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application.

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

Address and mail or fax your statement to: Bryan Williams, U.S. Department of Education, 400 Maryland Avenue, SW., Room 3C152, Washington, DC 20202. FAX: (202) 453-6742.

Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

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

U.S. Department of Education

Application Control Center

Attention: CFDA Number 84.184F

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.

c. Submission of Paper Applications by Hand Delivery.

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

U.S. Department of Education

Application Control Center

Attention: CFDA Number 84.184F

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 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

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

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

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

#### V. Application Review Information

1. Selection Criteria: The selection criteria for this program are from 34 CFR 75.210 of EDGAR and are listed in the application package.

2. Review and Selection Process: We remind potential applicants that in reviewing applications in any discretionary grant competition, the Secretary may consider, under 34 CFR 75.217(d)(3), the past performance of the applicant in carrying out a previous award, such as the applicant's use of funds, achievement of project objectives, and compliance with grant conditions. The Secretary may also consider whether the applicant failed to submit a timely performance report or submitted a report of unacceptable quality.

In addition, in making a competitive grant award, the Secretary also requires various assurances including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department of Education (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

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

#### VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN); or we may send you an email containing a link to access an electronic version of your GAN. We may notify you informally, also.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: (a) If you apply for a grant under this competition, you must ensure that you have in place the necessary processes and systems to comply with the reporting requirements in 2 CFR part 170 should you receive funding under the competition. This does not apply if you have an exception under 2 CFR 170.110(b).

(b) At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to [www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html).

4. Performance Measures: The Department has established the following Government Performance and Results Act of 1993 (GPRA) performance measures for the School Climate Transformation Grant Program – State Educational Agency Grants:

1. The number of training and technical assistance events provided by the SEA School Climate Transformation Grant Program to assist LEAs in implementing a multi-tiered behavioral framework.

2. The number and percentage of LEAs provided training or technical by the SEA School Climate Transformation Grant Program that report an improvement in knowledge and understanding of the implementation of a multi-tiered behavioral framework.

3. The number and percentage of schools in LEAs provided training or technical assistance by the SEA School Climate Transformation Grant Program that implement a multi-tiered behavioral framework.

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.

5. Continuation Awards: In making a continuation award, the Secretary may consider, under 34 CFR 75.253, the extent to which a grantee has made “substantial progress toward meeting the objectives in its approved application.” This consideration includes the review of a grantee’s progress in meeting the projected outcomes in its approved application, and whether the grantee has expended funds in a manner that is consistent with its approved application and budget. In making a continuation grant, the Secretary also considers whether the grantee is operating in compliance with the assurances in its approved application, including those applicable to Federal civil rights laws that prohibit discrimination

in programs or activities receiving Federal financial assistance from the Department (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

#### VII. Agency Contact

For Further Information Contact: Bryan Williams, U.S. Department of Education, 400 Maryland Avenue, SW., room 3C152, Washington, DC 20202-6450. Telephone: (202) 453-6715, or by e-mail: [bryan.williams@ed.gov](mailto:bryan.williams@ed.gov).

#### VIII. Other Information

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

**Electronic Access to This Document:** The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available via the Federal Digital System at: [www.gpo.gov/fdsys](http://www.gpo.gov/fdsys). At this site you can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF). To use PDF you must have Adobe Acrobat Reader, which is available free at the site.

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

Dated:

Deborah S. Delisle,

Assistant Secretary for Elementary and Secondary Education.

## Program Statute

Elementary and Secondary Education Act of 1965, as amended

Title IV, Part A, Subpart 2, Section 4121 – Federal Activities

(a) Program Authorized—From funds made available to carry out this subpart under section 4003(2), the Secretary, in consultation with the Secretary of Health and Human Services, the Director of the Office of National Drug Control Policy, and the Attorney General, shall carry out programs to prevent the illegal use of drugs and violence among, and promote safety and discipline for, students. The Secretary shall carry out such programs directly, or through grants, contracts, or cooperative agreements with public and private entities and individuals, or through agreements with other federal agencies, and shall coordinate such programs with other appropriate federal activities. Such programs may include:

- 1) the development and demonstration of innovative strategies for the training of school personnel, parents, and members of the community for drug and violence prevention activities based on State and local needs;
- 2) the development, demonstration, scientifically based evaluation, and dissemination of innovative and high quality drug and violence prevention programs and activities, based on State and local needs, which may include-
  - a) alternative education models, either established within a school or separate and apart from an existing school, that are designed to promote drug and violence prevention, reduce disruptive behavior, reduce the need for repeat suspensions and expulsions, enable students to meet challenging State academic standards, and enable students to return to the regular classroom as soon as possible;
  - b) community service and service-learning projects, designed to rebuild safe and health neighborhoods and increase students' sense of individual responsibility
  - c) video-based projects developed by noncommercial telecommunications entities that provide young people with models for conflict resolution and responsible decision-making; and
  - d) child abuse education and prevention programs for elementary and secondary students;
- 3) the provision of information on drug abuse education and prevention to the Secretary of Health and Human Services for dissemination;
- 4) the provision of information on violence prevention and education and school safety to the Department of Justice for dissemination;
- 5) technical assistance to chief executive officers, State agencies, local educational agencies, and other recipients of funding under this part to build capacity to develop and implement high-quality, effective drug and violence prevention programs consistent with the principles of effectiveness in section 4115(a);
- 6) assistance to school systems that have particularly severe drug and violence problems, including hiring drug prevention and school safety coordinators, or assistance to support appropriate response efforts to crisis situations;
- 7) the development of education and training programs, curricula, instructional materials, and professional training and development for preventing and reducing the incidence of crimes and conflicts motivated by hate in localities most directly affected by hate crimes;

- 8) activities in communities designated as empowerment zones or enterprise communities that will connect schools to community-wide efforts to reduce drug and violence problems; and
- 9) other activities in accordance with the purpose of this part, based on State and local needs.

(b) Peer Review—The Secretary shall use a peer review process in reviewing applications for funds under this section.