FY 2011

U.S. Department
of Education
Office of
Innovation and
Improvement
Washington, DC
20202-5900

[APPLICATION FOR GRANTS UNDER THE INVESTING IN INNOVATION FUND (I3) GRANT PROGRAM]

CFDA Number: **84.411A**
Scale-up grants
Form Approved
OMB No. 1855-0021
Expiration Date: 10/31/2013
Closing Date: 08/02/2011

Table of Contents

I. Letter to Applicant 3

II. Notice Inviting Applications 4

Paperwork Burden Statement 5

III. Authorizing Legislation 6

IV. Submitting Your Application 7

FY 2011 Optional Application Checklist 7

Submission Procedures 8

V. Overview of the Application Process 12

A. Application Narrative Instructions 14

Instructions for ED Abstract Narrative 15

Instructions for Project Narrative 16

Suggested Point Ranges for Rating Applicant Responses to the Selection Criteria 17

Instructions for Budget Narrative 18

Instructions for Appendix 19

B. Required Forms 20

Standard Forms Instructions 20

Instructions for Application for Federal Assistance (SF-424) 21

Definitions for ED SF-424 24

Instructions for the SF-424 27

Instructions for ED Budget Summary Form (SF-524) 28

Instructions for Disclosure of Lobbying Activities (SF-LLL) 30

C. Assurances and Certifications 31

General Education Provisions Act (GEPA) Section 427 31

Survey Instructions for Ensuring Equal Opportunity for Applicants 32

D. i3 Program Forms 33

Checklist for Local Educational Agency (LEA) Applicants 33

Checklist for Partnership Applicants 34

i3 Applicant Information Sheet 35

VI. Additional Information 38

DUNS Number Instructions 38

Executive Order 12372 39

I. Letter to Applicant

UNITED STATES DEPARTMENT OF EDUCATION
OFFICE OF INNOVATION AND IMPROVEMENT

Dear Applicant:

Thank you for your interest in applying for a grant under the Investing in Innovation Fund (i3). In 2010, i3 generated unprecedented enthusiasm as nearly 1700 applicants proposed projects aimed at improving student achievement and attainment. The Department of Education is excited that Congress has appropriated nearly $150 million in additional funding to ensure that we continue to explore a range of new and evidence-based, innovative approaches to improving student achievement and ensuring that every student has access to a world-class education.

I would like to draw your attention to changes in this year's competition, including new priorities of critical importance such as: STEM education, rural education, educational technology and educational productivity. These changes underscore the Administration's efforts to address critical needs in education reform by supporting investments in new and evidence-based, innovative strategies that are most likely to lead to improved results for students. i3 provides funding to local school districts and nonprofit organizations with records of improving student achievement and attainment, to develop fresh ideas, expand promising programs, and scale up what works in an effort to dramatically improve our nation's schools. The Department has established separate funding categories for each of three types of grants: Development, Validation, and Scale-up. Development grants will provide funding of up to $3 million for new ideas with limited extant evidence, Validation grants will provide funding of up to $15 million for programs with moderate levels of evidence, and Scale-up grants will provide funding of up to $25 million to those with the strongest evidence and track records of success. Since there is some variation in the requirements and selection criteria for each type of grant, it is *critical* that you select the application that corresponds to the appropriate grant type for which you intend to apply. Those familiar with the application from last year will also notice changes in a number of areas designed to simplify the application, so prospective applicants should review the application and understand these changes.

This application package includes all the instructions and forms you will need to apply for an FY 2011 i3 grant. Please review the entire application package carefully before preparing and submitting your application. Applications must, unless you qualify for an exception, be submitted electronically using Grants.gov and all submissions must be *completed* by the application deadline. Note that Grants.gov requires that you register prior to submitting your application. It is also important to note that last year some prospective applicants missed the application deadline because they underestimated the amount of time needed to complete registration and submission. If you desire further information concerning this program or the application process, please contact the i3 program by e-mail at i3@ed.gov.

Thank you for your interest in the Investing in Innovation Fund. I invite you to take advantage of this opportunity to help improve education for our nation's students.

Sincerely,

/s/
James H. Shelton, III
Assistant Deputy Secretary
Office of Innovation and Improvement

II. Notice Inviting Applications

Overview Information:

Office of Innovation and Improvement

Investing in Innovation Fund (i3)

CFDA Number: 84.411A

Dates:

Application Available: **June 6, 2011**

Date of Pre-Application Meetings:

The i3 program intends to hold pre-application meetings designed to provide technical assistance to interested applicants for all three types of grants. Detailed information regarding the pre-application meeting locations, dates, and times will be provided in a separate notice in the Federal Register. Once the notice is published, it will be available, along with registration information, on the Investing in Innovation (i3) Web site at http://www2.ed.gov/programs/innovation/index.html.

Deadline for Notice of Intent to Apply**: June 23, 2011**

Applicants are strongly encouraged to notify us of the applicant's intent to submit an application for funding by completing a web-based form. The form can be accessed at the following URL:

http://go.usa.gov/bsG

Deadline for Transmittal of Applications: **August 2, 2011**

Deadline for Intergovernmental Review: **October 3, 2011**

The full text of the Notice Inviting Applications can be found on the Federal Register Web site at the following URLs:

Scale-up grants

PDF | Text | More

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 **1855-0021**. The time required to complete this information collection is estimated to average120 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. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Ms. Thelma Leenhouts, Investing in Innovation Fund, Office of Innovation and Improvement, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

III. Authorizing Legislation

Section 14007 of Division A of Title XIV of the American Recovery and Reinvestment Act of 2009, as amended by section 307 of Division D of P.L. 111- 117 (H.R. 3288), the Consolidated Appropriations Act, 2010

SEC. 14007. INNOVATION FUND.

(a) In General.

(1) Eligible entities. For the purposes of this section, the term "eligible entity'' means—

(A) a local educational agency; or

(B) a partnership between a nonprofit organization and—

(i) one or more local educational agencies; or

(ii) a consortium of schools.

(2) Program established. From the total amount reserved under section 14001(c), the Secretary may reserve up to $650,000,000 to establish an Innovation Fund, which shall consist of academic achievement awards that recognize eligible entities that meet the requirements described in subsection (b).

(3) Purpose of Awards. The Secretary shall make awards to eligible entities in order to identify, document, and bring to scale innovative best practices based on demonstrated success, to allow such eligible entities to—

(A) expand their work and serve as models for best practices; and

(B) work in partnership with the private sector and the philanthropic community.

(b) Eligibility. To be eligible for such an award, an eligible entity shall—

(1)(A) have significantly closed the achievement gaps between groups of students described in section 1111(b)(2) of the ESEA (20 U.S.C. 6311(b)(2)); or

(B) have demonstrated success in significantly increasing student academic achievement for all groups of students described in such section;

(2) have made significant improvement in other areas, such as graduation rates or increased recruitment and placement of high-quality teachers and school leaders, as demonstrated with meaningful data; and

(3) demonstrate that it has established one or more partnerships with the private sector, which may include philanthropic organizations, and that the private sector will provide matching funds in order to help bring results to scale.

(c) Special Rule. In the case of an eligible entity that includes a nonprofit organization, the eligible entity shall be considered to have met the eligibility requirements of paragraphs (1)(A) or (1)(B) and (2) of subsection (b) if the nonprofit organization has a record of significantly improving student achievement, attainment, or retention and shall be considered to have met the requirements of subsection (b)(3) if it demonstrates that it will meet the requirement relating to private-sector matching.

(d) Subgrants. In the case of an eligible entity that is a partnership described in subsection (a)(1)(B), the partner serving as the fiscal agent may make subgrants to one or more of the other entities in partnership.

IV. Submitting Your Application

FY 2011 Optional Application Checklist

Applicants may use this checklist once they have completed their i3 applications. The checklist contains all mandatory parts of the application.

Part A: Application Narrative

- ☐ ED Abstract Narrative Form
- ☐ Project Narrative Form
- ☐ Budget Narrative Form
- ☐ Other Attachments Form (Upload Appendices here)

NOTE: Eligible applicants should attach all appendices to the Other Attachments Form. The Grants.gov system will allow applicants to attach as many as ten separate appendices in this section; however, applicants are encouraged to limit the number of appendix entries to a reasonable number for a reviewer to read. The entire application package should be no larger than 8MB. Therefore, you may want to check the total size of your package before submission.

Part B: Required Forms

ED Standard Forms

- ☐ Application for Federal Assistance (SF 424)
- ☐ Department of Education Supplemental Information for SF 424
- ☐ Department of Education Budget Summary Form (ED 524) Sections A & B
- ☐ Disclosure of Lobbying Activities (SF-LLL)

Assurances and Certifications

- ☐ GEPA Section 427
- ☐ Survey on Ensuring Equal Opportunity for Applicants
- ☐ Assurances – Non-Construction Programs (SF 424B)
- ☐ Grants.gov Lobby form (formerly ED 80-0013 form)

i3 Program Forms

- ☐ Checklist for Local Educational Agency (LEA) Applicants
- ☐ Checklist for Partnership Applicants
- ☐ i3 Applicant Information Sheet

NOTE: Download i3 Program Forms from: http://www2.ed.gov/programs/innovation/applicant.html complete, save and upload .PDF documents into the appropriate appendix on Grants.gov

SUBMISSION PROCEDURES

IMPORTANT – PLEASE READ FIRST

U.S. Department of Education

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 8.1.2). Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov. We strongly recommend that you review these details on www.Grants.gov before completing and submitting your application.

In addition, **applicants should submit their application a day or two in advance of the closing date** as detailed below. 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 or call 1-800-518-4726.

Applicants should be aware that on October 11, 2010, Grants.gov implemented a new security build which requires each organization's e-Biz POC (Point of Contact) update their Grants.gov registration. To complete this step, the e-Biz POC must have their DUNS number and CCR MPIN. We recommend this step be completed several days before application submission unless the e-Biz POC has already responded to this requirement. For more information on this topic, please visit this Grants.gov information link: http://www.grants.gov/securitycommebiz.jsp.

Applicant Tips

1) **REGISTER EARLY** – Grants.gov **registration may take five or more business days** to complete. 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. For detailed information on the Registration Steps, please go to: http://www.grants.gov/applicants/get_registered.jsp. [Note: Your organization will need to update its Central Contractor Registry (CCR) registration annually.]

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 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 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 and the Department of Education receive your Grants.gov submission in a timely manner 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.

   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/applicants/applicant_faqs.jsp#54. For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Error Messages document at http://www.grants.gov/assets/AdobeReaderErrorMessages.pdf. 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/contactus/contactus.jsp, or use the customer support available on the Web site: https://grants-portal.psc.gov/Welcome.aspx?pt=Grants.

Applications must be submitted electronically 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://grants.gov/applicants/app_help_reso.jsp 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/help/submit_application_faqs.jsp.

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/help/download_software.jsp. **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 .pdf files** in their application:

1. Ensure that you attach ***.PDF files only*** for any attachments to your application. 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. 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 this Grants.gov webpage with links to conversion programs: http://www.grants.gov/help/download_software.jsp#pdf_conversion_programs
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, 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. The entire application package should be no larger than 8MB. 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.

V. Overview of the Application Process

Thank you for your interest in the Investing in Innovation Fund (i3) grant program. Following is a brief overview of the i3 application process.

I. Getting Started

All interested applicants should first thoroughly review the Notice Inviting Applications (NIA) for FY 2011 published in the Federal Register on June 3,2011 (76 FR 32148-32159). The NIA will orient applicants to the i3 program by providing the following information:

- Background information and purpose of the program;
- Eligibility requirements;
- Absolute and Competitive Priorities;
- Selection Criteria and assigned points;
- Key definitions;
- Evidence Framework; and
- Instructions on how to electronically submit the application.

Applicants should pay close attention to the Selection Criteria as applications will be evaluated and scored against these criteria.

II. Completing and Submitting Your Application

A complete application consists of the following components:

Part A: Application Narrative

ED Abstract;

Project Narrative;

Budget Narrative; and

Other Attachments (appendices)

Part B: Required Forms (see page 20 for a complete list of forms)

ED Standard Forms;

Assurances and Certifications; and

i3 Program Forms.

Each component is discussed in detail in the following pages of this application package. Once the application is complete, it must be submitted electronically using Grants.gov. A detailed discussion of Grants.gov can also be found in this application package. Applicants are encouraged to familiarize themselves with this system and to submit their applications early.

All i3 applications must be received on or before **August 2, 2011.**

Please note that U.S. Department of Education grant application deadline is 4:30:00 P.M. Washington, DC time. 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. Late applications will not be accepted. The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date and time.

III. Addressing Your Questions

The Department will host multiple pre-application meetings designed to help interested applicants with the application process. Interested applicants are encouraged to attend these meetings. Interested applicants may also send their questions to i3@ed.gov. Please check the i3 Web site for more information, including regularly updated Frequently Asked Questions (FAQs), at http://www2.ed.gov/programs/innovation/index.html. Please note that although we are unable to address specific proposed project questions, we will make every effort to be as responsive and supportive as possible.

A. Application Narrative Instructions

The i3 application will use the following Grants.gov Narrative Forms.

- ED Abstract Narrative Form
- Project Narrative Form
- Budget Narrative Form
- Other Attachments Form (Upload appendices here)

The ED Abstract Narrative Form is where you will attach your one-page project abstract. Specific instructions are included on page 15 of this application package.

The Project Narrative Form is where you will attach the responses to the Selection Criteria, the Absolute Priority you have selected, and, if applicable, Competitive Preference Priorities (CPP). Applicants may address more than one of the CPPs; however, the Department will review and award points only for a maximum of two of the CPPs. Responses to the CPP should be properly labeled and placed at the front of the Project Narrative, followed by the responses to the Selection Criteria. Applicants should include a Table of Contents that includes all responses to the Selection Criteria, and CPP, if applicable. Specific instructions are included on page 16 of this application package.

Eligible applicants are strongly encouraged to limit the project narrative to the following page limits:

Scale-up grants **50 pages**

The Budget Narrative Form is where you will attach a detailed line item budget **(ED 524)** and a detailed budget narrative. Do not include multiple budgets for the LEA or nonprofit organization and partner(s). Only one combined budget should be submitted to represent costs for all entities involved in the proposed project. Specific instructions are included on page 18 of this application package.

The Other Attachments Form is where you will attach the application appendices. Specific Appendix instructions are included on page 19 of this application package.

NOTE: If you have multiple documents to be attached to one of the above narrative sections (except for Other Attachments), it is recommended that you merge them into one .PDF file and upload them to the appropriate narrative.

Instructions for ED Abstract Narrative

Eligible applicants must submit a one-page abstract.

The one-page abstract, limited to 2000 characters, should include the following items:

- Project Title, if applicable
- Type of Grant Requested (Scale-up)
- Absolute Priority
- Up to two Competitive Preference Priorities (Identify the two that you would like the Department to score
- Brief project description including project activities
- Summary of project objectives and expected outcomes
- Target number of students to be served in the project
- Any special project features
- List of official and other partners

Instructions for Project Narrative

The Project Narrative should include, in detail, the eligible applicant's response to the Selection Criteria and, if applicable, the Competitive Preference Priorities. Eligible applicants should address each of the Selection Criteria since the application will be evaluated and scored against these criteria. The maximum possible score for each criterion is indicated in the NIA.

Absolute Priorities

The FY 2011 i3 NIA includes five Absolute Priorities. Eligible applicants for all types of grants are required to choose one of the five Absolute Priorities and address the priority in the application. Eligible applications will address the selected absolute priority in the project narrative by addressing the Selection Criteria. The five Absolute Priorities are explained in detail in the NIA.

Competitive Preference Priorities

The FY 2011 i3 NIA includes five Competitive Preference Priorities (CPP). Eligible applicants for all types of grants may choose to address one or more of the Competitive Preference Priorities; however, the Department will review and award points only for a maximum of two of the competitive preference priorities. Therefore, an applicant must identify the priority or priorities it wishes the Department to consider for purposes of earning the competitive preference priority points within the Project Narrative section. CPP responses should be clearly labeled and placed at the front of the project narrative. Responses to the CPP are included in the project narrative page limit. The five Competitive Preference Priorities are explained in detail in the NIA.

Please note that the Department **will not** review or award points under any competitive preference priority for an application that (1) fails to clearly identify the competitive preference priorities it wishes the Department to consider for purposes of earning the competitive preference priority points, or (2) identifies more than two competitive preference priorities.

Formatting

A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides. Page numbers and an identifier may be within the 1" margin. Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, captions, as well as all text in charts, tables, and graphs. Use a font size that is either 12-point or larger or no smaller than 10 pitch. Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. Other fonts submitted will not be accepted.

Page Limits

Eligible applicants are strongly encouraged to limit the project narrative to 50 pages. The page limits apply to the responses to the Selection Criteria and if applicable, the Competitive Preference Priorities.

Suggested Point Ranges[1] for Rating Applicant Responses to the Selection Criteria

All applicants are required to respond to each of the selection criteria published in the Notice Inviting Applications published in the Federal Register on June 3, 2011 (76 FR 32148-32159). Please assess applications based on the selection criteria. No outside factors, such as personal knowledge of past performance, perceived relative quality based on reading other applications, or subjective judgments about what an application should contain may be considered. Please note that within each criterion no one factor is worth more points than the other. The application should be a comprehensive design for the proposed intervention and desired outcomes. Therefore it is imperative that reviewers read the application in its entirety to determine the overall quality of the proposed project and the quality of the applicant's response to each criterion.

The numerical scores assigned to an applicant's response to the selection criteria must be consistent with the comments written. Comments and scores should reflect the same overall assignment. It is important that you do not pair a negative comment with a positive score and vice versa. Comments indicate why the applicant's response to each selection criterion is fully developed, well developed, adequately developed, poorly developed, or not addressed. Scores indicate how well or poorly the applicant responded to a selection criterion. Shown below are ***suggested*** point ranges for an evaluation of fully developed, well developed, adequately developed, poorly developed, or not addressed, for each of the criterion.

Maximum Point Value	**Quality of Applicant's Response**				
	Criterion is not addressed	**Criterion is poorly developed** (major weaknesses)	**Criterion is adequately developed** (some weaknesses)	**Criterion is well developed** (minor weaknesses)	**Criterion is fully developed with no weaknesses**
35	0	1-12	13-23	24-34	35
30	0	1-10	11-20	21-29	30
25	0	1-8	9-16	17-24	25
20	0	1-7	8-13	14-19	20

[1] This document will be provided to peer reviewers to assist in the reviewing and scoring of the eligible applicant's response to the selection criteria.

Instructions for Budget Narrative

The Budget Narrative Form should include the eligible applicant's detailed line item budget (ED form 524) **AND** the accompanying detailed budget narrative justification.

Eligible applicants may request i3 funding for 3, 4, or 5 years and should make this determination at the time of application. Eligible applicants must complete ED form 524 for all budget years of the proposed project. Eligible applicants must also provide a detailed budget narrative that describes their proposed multiyear project activities and the costs associated with those activities as well as all costs associated with carrying out the proposed project. Section 75.112(b) of EDGAR requires applicants to present "a narrative that describes how and when, in each budget period of the project, the applicant plans to meet each objective of the project." EDGAR may be accessed at:

http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html

In addition, eligible applicants should include costs for four project staff persons (project director, evaluator, and two partners) to attend an annual 2-day project director's meeting in Washington, DC.

The budget should include only costs that are allowable, reasonable, and necessary for carrying out the objectives of the i3 project. Rules about allowable costs are included both in EDGAR and in the cost principles contained in applicable Office of Management and Budget (OMB) Circulars: A-21 for institutions of higher education; A-87 for state and local governments; and A-122 for non-profit organizations. These OMB circulars may be accessed at:

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

For each line item of both Sections A (federal costs) and B (non-federal costs) of the Budget Form (ED 524), provide detailed costs (in dollars) accompanied by a narrative justification to support your request. Also, please note that, in Section B, an applicant should show the funds or in-kind donations it proposes to use to meet the matching requirement as well as any other non-Federal funds or in-kind donations that it proposes to use to support its i3 project. An applicant need not have secured matching funds or in-kind donations in order to show those funds or donations in Section B. If an applicant is submitting with its application a request for a reduction of the private-sector matching requirement, the applicant may show in Section B the amount of non-Federal funds or in-kind donations it intends to use to support its i3 project consistent with that request.
Please check all figures and combined totals in the budget narrative, and compare the amounts with those reflected on the ED 524.

NOTE: If you have questions about obtaining an approved Indirect Cost Rate or applying your Indirect Cost Rate, you may contact a cost negotiator using the information provided at the following URL: http://www2.ed.gov/about/offices/list/ocfo/fipao/icgreps.html. If you have further questions about Indirect Cost rates, please refer to section K. Allowable Use of Funds, in the i3 FAQs.

Instructions for Appendix

Eligible applicants should attach all appendices to the Other Attachments Form. For each appendix eligible applicants are asked to save files as a .PDF, label each file with the Appendix name (e.g., Appendix A – Eligibility Requirement Checklist) and upload the file to the Other Attachments Form. The Grants.gov system will allow applicants to attach as many as ten separate appendices in this section; however, applicants are encouraged to limit the number of appendix entries to a reasonable number for a reviewer to read.

Eligible applicants are encouraged to follow the instructions below when uploading information to the Appendix:

Appendix A: Eligibility Requirement Checklist (LEA or Nonprofit Partnership)
Checklist accessed via the following URL:
http://www2.ed.gov/programs/innovation/applicant.html
NOTE: An applicant applying as a local educational agency (LEA) must use the i3 LEA Eligibility Checklist. An applicant applying as a partnership between a nonprofit organization and 1) one or more LEAs or 2) a consortium of schools must use the i3 Partnership Eligibility Checklist. An eligible applicant that is a partnership between a non-profit organization and (a) one or more LEAs or (b) a consortium of schools should provide evidence of its partnership in Appendix A following its Eligibility Checklist

Appendix B: Nonprofit 501C3 status verification or Charter School status verification

Appendix C: Response to Statutory Eligibility Requirements
See paragraph (3) of the eligibility requirements in the notice inviting applications (FR 32153).

Appendix D: Response to Evidence Standards
See evidence standards under "Other" requirements in the notice inviting applications (FR 32154).

Appendix E: Waiver Request of 5% Private Sector Match Requirement, if applicable

Appendix F: Resumes of Key Personnel

Appendix G: Letters of Support and Memoranda of Understanding, if applicable

Appendix H: i3 Applicant Information Sheet
Information Sheet accessed via the following URL:
http://www2.ed.gov/programs/innovation/applicant.html
NOTE: Applicants are asked to fill out this form electronically, "Save As" a .PDF file, and upload the attachment to the Other Attachments Narrative Form.

Appendix I: Eligible Applicant's list of proprietary information found in the application, if applicable. Eligible Applicants should identify the specific information and page numbers in the application where it can be found.

Appendix J: Other, if applicable

B. Required Forms

Standard Forms Instructions

Applicants must submit along with their project narratives, the required standard forms, assurances, and certifications included in the list below.

- Application for Federal Assistance (SF 424)

  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 review only materials/files attached to the section labeled "Other Attachments Form."
- Department of Education Supplemental Information for SF 424
- Department of Education Budget Summary Form (ED 524) Sections A & B
- Disclosure of Lobbying Activities (SF-LLL)
- General Education Provisions Act (GEPA) Requirements - Section 427
- Survey on Ensuring Equal Opportunity for Applicants
- Assurances, Non-Construction Programs (SF 424B)
- Grants.gov Lobbying form (formerly ED 80-0013 form)

The following pages provide instructions, where applicable, for the required forms listed above. Electronic copies of the required forms can be found at the following address: http://www2.ed.gov/fund/grant/apply/appforms/appforms.html and in the Grants.gov submission package.

INSTRUCTIONS FOR APPLICATION FOR FEDERAL ASSISTANCE (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.	**Type of Submission:** (Required) Select one type of submission in accordance with agency instructions. • Pre-application • Application • 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.	10.	**Name Of Federal Agency**: (Required) Enter the name of the federal agency from which assistance is being requested with this application.
		11.	**Catalog Of Federal Domestic Assistance Number/Title:** Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	**Type of Application**: (Required) Select one type of application in accordance with agency instructions. • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the federal government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. A. Increase Award D. Decrease Duration B. Decrease Award E. Other (specify) C. Increase Duration	12.	**Funding Opportunity Number/Title:** (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	**Competition Identification Number/Title:** Enter the competition identification number and title of the competition under which assistance is requested, if applicable.
		14.	**Areas Affected By Project:** This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.
3.	**Date Received:** Leave this field blank. This date will be assigned by the Federal agency.	15.	**Descriptive Title of Applicant's Project:** (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.
4.	**Applicant Identifier:** Enter the entity identifier assigned buy the Federal agency, if any, or the applicant's control number if applicable.		
5a.	**Federal Entity Identifier**: Enter the number assigned to your organization by the federal agency, if any.	16.	**Congressional Districts Of**: 16a. (Required) Enter the applicant's congressional district. 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina's 103 district. If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.
5b.	**Federal Award Identifier**: For new applications, enter NA. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.		
6.	**Date Received by State:** Leave this field blank. This date will be assigned by the state, if applicable.		
7.	**State Application Identifier:** Leave this field blank. This identifier will be assigned by the state, if applicable.		
8.	**Applicant Information**: Enter the following in accordance with agency instructions:		
	a. Legal Name: (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with	17.	**Proposed Project Start and End Dates**: (Required) Enter the proposed start date and end date of the project.

	CCR may be obtained by visiting www.Grants.gov.		
	b. Employer/Taxpayer Number (EIN/TIN): (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	**Estimated Funding:** (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.
	c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting www.Grants.gov.	19.	**Is Application Subject to Review by State Under Executive Order 12372 Process?** (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.
	d. Address: 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.	**Is the Applicant Delinquent on any Federal Debt?** (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.
	e. Organizational Unit: Enter the name of the primary organizational unit, department or division that will undertake the assistance activity. **f. Name and contact information of person to be contacted on matters involving this application:** 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.	21.	**Authorized Representative**: 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.)
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.		
	A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated M. Nonprofit N. Private Institution of Higher Education O. Individual P. For-Profit Organization (Other than Small Business) Q. Small Business R. Hispanic-serving Institution S. Historically Black Colleges and Universities (HBCUs) T. Tribally Controlled Colleges and Universities (TCCUs) U. Alaska Native and Native Hawaiian Serving Institutions V. Non-US Entity W. Other (specify)		

	L. Organization Public/Indian Housing Authority			

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

DEFINITIONS FOR ED SF-424

DEFINITIONS FOR
DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424
(Attachment to Instructions for Supplemental Information for SF 424)

Novice Applicant (See 34 CFR 75.225). For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

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

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

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

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

—Research
The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program that is considered research for other

purposes. For example, some demonstration and service programs may include research activities.

—Human Subject
The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), 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.

(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 arechildren, 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.

(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.

(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 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative. Insert the narrative(s) in the space provided. 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 a. and designated exemption numbers(s), provide the "exempt research" narrative. 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 a. you must provide the "nonexempt research" narrative. 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 Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4250, telephone: (202) 245-6120, 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 OMB Standard 424 in the upper right corner of the form (if applicable).

INSTRUCTIONS FOR THE SF-424

INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR 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.

2. Novice Applicant. Check **"Yes"** or "**No**" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank.**

Check "**Yes"** if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Department of Education Supplemental Information for SF 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "**No**" if you do not meet the requirements for novice applicants**.**

3. Human Subjects Research. (See I. A. "Definitions" in attached page entitled "Definitions for Department of Education Supplemental Information For SF 424.")

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.

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 Department of Education Supplemental Information For SF 424.")

3a. 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. Insert 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 Department of Education Supplemental Information For SF 424."

3a. 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 page entitled "Definitions for Department of Education Supplemental Information For SF 424

3a. Human Subjects Assurance Number. If the applicant has an approved Federal Wide (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. 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.

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.

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 1890-0017. 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. 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street, S.W. Room 7076, Washington, D.C. 20202-4260.*

Instructions for ED Budget Summary Form (SF-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.

Instructions for Disclosure of Lobbying Activities (SF-LLL)

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

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

C. Assurances and Certifications

General Education Provisions Act (GEPA) Section 427

***ALL APPLICANTS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

Section 427 requires each applicant 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 barriers that can impede equitable access or participation: **gender, race, national origin, color disability,** or **age.** Based on local circumstances, you should determine whether these or other barriers might prevent your teachers, etc. from such access or participation in the federally funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable in your circumstances.

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.

First, applicants must **identify at least one barrier** that would prevent teachers, and other program beneficiaries from participating in grant activities. The statute highlights six types of barriers that

can impede access to participation: **gender, race, national origin, color, disability,** or **age**. However, applicants can take a fairly broad view of what constitutes a barrier and may address a barrier that is not among these six. Nor does the barrier have to be related to an applicant's own operation or way of conducting business. The barrier could be an attitude or perception held by people that the grant project is intended to serve. For example, an organization could be free of any discriminatory policies but still have trouble getting immigrant parents involved because these parents are reluctant to work with any official group or agency.

Second, applicants must **explain what they will do to overcome the barrier**.

Here are two examples of identifying a barrier and its solution:

- **Barrier**—Low-income parents cannot participate in grant activities held in the evening at a local school because they lack babysitting and transportation.

  Solution—Grant money will be spent to carry out a detailed plan (explained within the applicant's GEPA statement) to help the parents overcome their babysitting and transportation difficulties.

- **Barrier**—Sight impaired students cannot benefit from reading tutors paid for with grant money because the students are unable to use the books available during the tutoring sessions.

  Solution—Grant money will pay for materials in Braille.

Survey Instructions for Ensuring Equal Opportunity for Applicants

Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.

1. Self-explanatory.

2. Self-identify.

3. Self-identify.

4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.

5. Self-explanatory.

6. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.

7. Annual budget means the amount of money your organization spends each year on all of its activities.

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 1890-0014. The time required to complete this information collection is estimated to average five (5) 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 time estimate(s) or suggestions for improving this form, please write to:** The Agency Contact listed in this grant application package.

OMB No. 1894-0010 Exp. 05/31/2012

D. i3 Program Forms

Eligible Applicant: _____

To be eligible for an award under the Investing in Innovation Fund, eligible applicants **must** meet **all** the requirements listed below. To ensure the fulfillment of all these requirements, eligible applicants must complete the form below. Check the corresponding box on the left side of the chart to indicate that you have met the requirement. Also, please provide the page number(s) where the specific component can be found in the application to support your eligibility.

Checklist for Local Educational Agency (LEA) Applicants	
Program Requirement	
☐ (pg.)_____	**Providing Innovations that Improve Achievement for High-Need Students**: All eligible applicants must implement practices, strategies, or programs for high-need students (as defined in the notice of final priorities).
Eligibility Requirements	
☐ Appx. C (pg.) _____ ☐ Appx. C (pg.) _____	(**1**)(A) The eligible applicant has significantly closed the achievement gaps between groups of students described in section 1111(b)(2) of the ESEA (economically disadvantaged students, students from major racial and ethnic groups, students with limited English proficiency, students with disabilities); **OR** (**1**)(B) The eligible applicant has demonstrated success in significantly increasing student academic achievement for all groups of students described in such section;
☐ Appx. C (pg.) _____	(**2**) The eligible applicant has made significant improvements in other areas, such as graduation rates or increased recruitment and placement of high-quality teachers and principals, as demonstrated with meaningful data;
☐ (pg.) _____	(**3**) The eligible applicant has demonstrated that it has established one or more partnerships with the private sector, which may include philanthropic organizations, and that the private sector will provide matching funds or in-kind contributions in order to help bring results to scale. (Evidence of the match will not need to be provided until after the peer review process is completed.)
Evidence Requirement	
☐ Appx. D (pg.) _____	I understand that to be an eligible for an i3 award, an application for a Scale-up grant must be supported by strong evidence; an application for a Validation grant must be supported by moderate evidence ; an application for a Development grant must be supported by reasonable hypothesis. For further information on evidence requirements, see G-1 of the i3 FAQs.

*For Charter schools applying as a LEA, please provide appropriate evidence to document legal status in Appendix B.

Eligible Applicant: _____

To be eligible for an award under the Investing in Innovation Fund, eligible applicants **must** meet **all** the requirements listed below. To ensure the fulfillment of all these requirements, eligible applicants must complete the form below. Check the corresponding box on the left side of the chart to indicate that you have met the requirement. Also, please provide the page number(s) where the specific component can be found in the application to support your eligibility.

CHECKLIST FOR PARTNERSHIP APPLICANTS	
	***A partnership applicant is an applicant that is a partnership between a nonprofit organization and (1) one or more LEAs or (2) a consortium of schools.** **The nonprofit organization in the partnership must meet the definition of "nonprofit organization" used in this program--i.e., the organization is an entity that meets the definition of "nonprofit" under 34 CFR 77.1(c), or an institution of higher education as defined by section 101(a) of the Higher Education Act of 1965, as amended.**
Program Requirement	
☐ (pg.)____	**Providing Innovations that Improve Achievement for High-Need Students**: All eligible applicants must implement practices, strategies, or programs for high-need students (as defined in the Notice of final priorities).
Eligibility Requirements	
☐ Appx. C (pg.) _____	(1) The Nonprofit organization has a record of significantly improving student achievement, attainment, or retention through the assistance it has provided to an LEA or schools.
☐ (pg.) _____	(2)The eligible applicant has demonstrated that the private sector will provide matching funds or in-kind contributions in order to help bring results to scale. (Evidence of the match will not need to be provided until after the peer review process is completed.)
☐ Appx. C (pg.) _____	(3) The eligible applicant has described in its application the demographics and other characteristics of any additional LEAs or schools with which it intends to partner and the process it will use to select them as partners. (Eligible applicants must identify its specific partners before a grant award will be made.)
Evidence Requirement	
☐ Appx. D (pg.) _____	I understand that to be an eligible for an i3 award, an application for a Scale-up grant must be supported by strong evidence; an application for a Validation grant must be supported by moderate evidence ; an application for a Development grant must be supported by reasonable hypothesis. For further information on evidence requirements, see G-1 of the i3 FAQs.

*For Nonprofit organizations applying in partnership, please provide appropriate evidence to document legal status in Appendix B.

i3 Applicant Information Sheet

Office of Innovation and Improvement
i3 Applicant Information Sheet
FY 2011

Instructions: Eligible applicants must complete and submit this information sheet with each application submitted. Completing this sheet will assist ED staff in assessing the needs of the i3 competition and provide staff with a better sense of the applicant pool. Applicants must fill out this form electronically, "Save As" a .PDF, and upload the generated .PDF as Appendix H on Grants.gov.
PLEASE NOTE: Information included in this form may be made broadly and publicly available. Applicants should not include proprietary information.

Applicant Info

Lead Applicant Name:

Lead Applicant City:

Lead Applicant State:

Eligible Applicant Type:

Select

Have you applied for more than one i3 grant in this year's competition? ☐ Yes ☐ No

Project Info

Project Title:

Type of Grant Requested:

Select

Length of Requested Grant Award:

Select

Select the ONE Absolute Priority (AP) that you are addressing in your application.

Select

Select **up to two Competitive Preference Priorities (CPP)** that you are addressing in your application. **Note**: The Department will not review or award points under any competitive preference priority for an application that (1) fails to clearly identify the competitive preference priorities it wishes the Department to consider for the purposes of earning the competitive preference priority points, or (2) identifies more than two competitive preference priorities for purposes of earning the competitive preference priority points.

☐ CPP 6: Innovations for Improving Early Learning Outcomes (zero or one point)	☐ CPP 7: Innovations that Support College Access and Success (zero or one point)	☐ CPP 8: Innovations to Address the Unique Learning Needs of Students with Disabilities and Limited English Proficient Students (zero or one point)	☐ CPP 9: Improving Productivity (zero or one point)	☐ CPP10: Technology (zero or one point)

Total number of students to be served by the proposed project:

Student grade levels to be served by the proposed project:

☐ **Birth-Pre K**	☐ **Kindergarten**	☐ **1**	☐ **2**	☐ **3**
☐ **4**	☐ **5**	☐ **6**	☐ **7**	☐ **8**
☐ **9**	☐ **10**	☐ **11**	☐ **12**	☐ **Post-Secondary**

Project Description:

In 2000 characters or less, please provide a brief description of the project you wish to propose. Be sure to include a summary of project objectives and expected outcomes, along with any special project features.

School District/LEA Implementation Sites:

School District/LEA	Two letter state	Check if rural LEA
1.		☐
2.		☐
3.		☐
4.		☐
5.		☐
6.		☐
7.		☐
8.		☐
9.		☐
10.		☐

If you have more than 10 implementation sites, please list them here with a semicolon separating each location:

Project Partners:

Please list all organizations partnering with this project and the amount of Federal funds requested for each as part of your overall budget.

Partner Name	State	Budget Amount (numeric only)	Partner Type
1.		$	☐ Official ☐ Other
2.		$	☐ Official ☐ Other
3.		$	☐ Official ☐ Other
4.		$	☐ Official ☐ Other
5.		$	☐ Official ☐ Other
6.		$	☐ Official ☐ Other
7.		$	☐ Official ☐ Other
8.		$	☐ Official ☐ Other
9.		$	☐ Official ☐ Other
10.		$	☐ Official ☐ Other

If you have more than 10 partners, please list them here with a semicolon between each location:

Private Sector Matching Requirement

Have you secured the private sector match? ☐ **YES** ☐ **NO**

If YES, list the organization(s) that are providing the matching funds.

1.
2.
3.
4.
5.
6.
7.
8.
9.
10.

If you have more than 10 entities helping to provide your match, please list them here with a semicolon separating each location:

Are you requesting a waiver for the private sector match? ☐ **YES** ☐ **NO**

If, YES, please attach the necessary justification under Appendix E at the time of submission on Grants.gov.

VI. Additional Information

DUNS Number Instructions

All applicants must have a D-U-N-S number in order to apply for federal funds.

NOTE: Check with your fiscal office to see if your institution has an assigned D-U-N-S before contacting Dun & Bradstreet.

Please provide the applicant's D-U-N-S Number. You can obtain your D-U-N-S Number at no charge by calling **1-800-333-0505** or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:

http://www.dnb.com/US/duns_update/index.html

The D-U-N-S Number is a unique nine digit number that does not convey any information about the recipient. A built-in check digit helps assure the accuracy of the D-U-N-S Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a D-U-N-S Number has been entered correctly.

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide**. Live help Monday-Friday 8am-6pm (EST) Dial 1-888-814-1435.**

Note: Electronic submission via Grants.gov must use the D-U-N-S number your organization used when it registered in the Central Contractor Registry.

EXECUTIVE ORDER 12372

Intergovernmental Review of Federal Programs

This program is subject to the requirement of the Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79. The objective of the Executive Order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance. Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372.

You may locate the name and contact information of State Single Point of Contact at:

http://www.whitehouse.gov/omb/grants_spoc