FY 2016

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]

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Development Pre- Application Grants
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UNITED STATES DEPARTMENT OF EDUCATION
OFFICE OF INNOVATION AND IMPROVEMENT

Dear Applicant,

Thank you for your interest in applying for a Development grant under the Investing in Innovation (i3) Fund. In its first six years, i3 has generated unprecedented enthusiasm. Thousands of local educational agencies and nonprofits have submitted high-quality proposals, and the Department of Education has funded 157 of them. The Department is pleased that Congress has appropriated funds that will allow nearly $100 million in grants this year to support a range of new and evidence-based, innovative approaches to improving student achievement and providing every student with access to a world-class education.

The core aim of the i3 program continues: to improve education for our neediest students. The i3 program utilizes a "tiered evidence" framework to allocate funds: proposals supported by limited evidence receive the smallest grants, and proposals with the most rigorous evidence can receive large grants that enable expansion across the country. All i3 projects are required to conduct an independent evaluation in order to expand our understanding of what works in education, and help answer questions about for whom and in what contexts specific interventions are most effective. Our sincere hope is that these evaluations are valuable to grantees and the broader public alike.

The i3 Development competition includes lessons learned from prior i3 competitions, consistent with the final priorities, requirements, definitions, and selection criteria for this program, published in the Federal Register on March 27, 2013 (78 FR 18681) (the "2013 i3 NFP") and the Department's notice of final supplemental priorities published in the Federal Register on December 10, 2014 (79 FR 73425) (the "Supplemental Priorities"). The Department continues to use priorities in the i3 grant competition to enable the i3 program to build a portfolio of solutions and corresponding evidence for different approaches to addressing key challenges in public education.

The i3 program also includes a statutory requirement for a private-sector match for all i3 grantees. Additional details regarding how this process will work are included in the Notice Inviting Applications, this Application Package, and the i3 Frequently Asked Questions.

Thank you for your interest in the Investing in Innovation Fund. Ensuring that every student receives a world-class education requires all of our efforts, and I commend you for taking advantage of this opportunity to help improve education for our nation's students.

Sincerely,

/s/

Nadya Chinoy Dabby
Assistant Deputy Secretary
Office of Innovation and Improvement

400 MARYLAND AVE. SW, WASHINGTON, DC 20202
www.ed.gov
The Department of Education's mission is to promote student achievement and preparation for global competitiveness by fostering educational excellence and ensuring equal access.

II. Program Background Information

Program Overview

Program Office: Office of Innovation and Improvement (OII)

Investing in Innovation (i3) Fund

CFDA Number: 84.411P (Development Pre-Application grants)

Program Type: Cooperative agreements

Program Description: The Investing in Innovation Fund, established under section 14007 of the American Recovery and Reinvestment Act of 2009 (ARRA), provides funding to support (1) local educational agencies (LEAs) and (2) nonprofit organizations in partnership with (a) one or more LEAs or (b) a consortium of schools. The purpose of this program is to provide competitive grants to applicants with a record of improving student achievement and attainment in order to expand the implementation of, and investment in, innovative practices that are demonstrated to have an impact on improving student achievement or student growth, closing achievement gaps, decreasing dropout rates, increasing high school graduation rates, or increasing college enrollment and completion rates.

These grants will (1) allow eligible entities to expand and develop innovative practices that can serve as models of best practices, (2) allow eligible entities to work in partnership with the private sector and the philanthropic community, and (3) identify and document best practices that can be shared and taken to scale based on demonstrated success.

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.

III. Notice Inviting Applications

Development Pre-Application (84.411P)
Application available: April 25, 2016
Webinar for potential applicants: May 3, 2016
Deadline for transmitting applications: May 25, 2016
Awards announced by: December 31, 2016

2016 Development Notice Inviting Applications (NIA)
The full text of the Notice Inviting Applications for the FY 2016 i3 Development competition can be found on the Federal Register Web site at the following URLs:

https://www.gpo.gov/fdsys/pkg/FR-2016-04-25/pdf/2016-09436.pdf (PDF)

https://federalregister.gov/a/2016-09436 (Text)

All i3 applications must be received on or before 4:30:00 pm Washington, DC time on **May 25, 2016.** 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.

An applicant may check the status of its application(s), any time after submission, by using the "Track My Application" feature available under the Applicants tab on the Grants.gov site. Applicants may also check the status of a submission by logging into their Grants.gov account using the Applicant Login. After logging in, an applicant should click on the "Check Application Status" link. **Applicants should be careful that they download the intended i3 application package and that they submit their applications under the intended i3 competition.** Your application will be reviewed under the competition it was submitted under, and only applications that are successfully submitted by the established deadline will be peer reviewed.

2016 Development Pre-Application Package
Please note that the i3 Application Package is for applicants to download and use as a guide only. Unless the applicant qualifies for an exception to the electronic submission requirement, all i3 grant applications must be submitted electronically via Grants.gov.

Deadline for Notice of Intent to Apply: May 10, 2016
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: https://www.surveymonkey.com/r/Q97PKP8. Please note that you may have to copy and paste this link into your browser and that this link works best in the Google Chrome browser.

Apply!

All applications must be submitted electronically via Grants.gov.

To locate the application package on the Grants.gov website and hover over the "Applicant" tab. Select the "Apply for Grants" option, then click on "Download a Grant Application Package." Key in the CFDA (84.411) or the Funding Opportunity Number (ED-GRANTS-042516-001). Click "Download Package."

i3 Development Program Design Elements

Key aspects for the i3 Development competition include the 2013 i3 NFP and the Supplemental Priorities highlight key aspects for the i3 Development competition that include the following:

I. Identifies five Absolute Priorities for the FY 2016 Competition, representing a range of education topics. ***Applicants must identify the Absolute Priority they are addressing.*** There is one Competitive Preference Priority (applies to Development full application only).

Absolute Priorities

- Absolute Priority 1—Promoting Diversity
    - Invitational Priority (for this priority only): Designing and implementing intra-district, inter district, community, or regional programs that improve student outcomes by increasing socioeconomic diversity.
- Absolute Priority 2—Implementing Internationally Benchmarked College - and Career- Ready Standards and Assessments
- Absolute Priority 3—Improving School Climate, Behavioral Supports, and Correctional Education
- Absolute Priority 4—Influencing the Development of Non-Cognitive Factors
- Absolute Priority 5—Serving Rural Communities
    - Note: Applicants applying under this priority must also address one of the other four absolute priorities established for the FY 2016 i3 Development competition, while serving students enrolled in rural LEAs (as defined in the 2016 i3 NIA).

Competitive Preference Priority (Optional) (applies to Development full applications only)

- Competitive Preference Priority—Supporting Novice i3 Applicants (0 or 3 points)

II. Development applicants must identify the evidence standard under which they are submitting their applications (i.e., evidence of promise or strong theory).

III. Applicants must secure 15 percent of its Federal grant award.

- Highest-rated applicants must submit evidence of 50 percent of the required private-sector match prior to the awarding of an i3 grant. An applicant must provide evidence of the remaining 50 percent of the required private-sector match no later than **three** months after the project start date.

IV. Allows pre-applicants who were not highly rated to submit a full application if they choose.

i3 2016 Development Competition Overview

Pre-Application Period

- Department publishes pre-application package
- Applicants register **early** on SAM and Grants.gov
- Applicants develop pre-application (7 pages)
- Applicants submit pre-application through Grants.gov

- **Pre-application peer review**
- **Department announces highly rated pre-applications**

Full Application Period

- Department publishes full application package
- Highly rated pre-applicants and other pre-applicants, if they choose, develop full application (25 pages), including project partners and evaluation plans
- Highly rated pre-applicants and other pre-applicants that choose to apply reconfirm registration on SAM and Grants.gov
- Highly rated pre-applicants and other pre-applicants submit full application through Grants.gov

- **Full application peer review**
- **Department eligibility review, including evidence and applicant's prior record of improvement**
- **Department announces highest-rated applications**

Matching Period

- Highest-rated applicants secure evidence of required private sector match
- Highest-rated applicants submit evidence of 50 percent of required private-sector match to the Department for approval and confirmation (Applicants must provide the remaining 50 percent **three** months after the project start date)
- Department announces awardees

IV. Application Submission Procedures

SUBMISSION PROCEDURES

IMPORTANT – PLEASE READ FIRST

U.S. Department of Education

Grants.gov Submission Procedures and Tips for Applicants

The deadline for submission of all i3 applications through Grants.gov is May 25, 2016 at 4:30:00 P.M., Washington, DC time.

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 – Browser Support

Grants.gov is a Custom Java Application that uses standard web-browsers as the client. Grants.gov leverages the latest web technologies such as Ajax which relies extensively on JavaScript, HTML, and CSS. Grants.gov recommends you use the most up-to-date web browser possible for the best User Experience. If you are unsure about which version of the browser you are using, please check the following places:

- **Microsoft IE** – the *About Internet Explorer* setting under Help on your toolbar
- **Firefox** – the *About Firefox* setting under Help on your toolbar
- **Chrome**- the *About Google Chrome* setting under the *Customize and Control Google Chrome* option (located on the far right ≡) in your toolbar options for your browsers.

The table below lists supported Web Browsers:

Web Browser	Support	Comments
Microsoft IE 9/10/11	Supported	
Mozilla Firefox	Supported	Versions change frequently; we recommend you have the latest version. Legacy versions are functional but may experience some issues. It is recommended to upgrade to the latest version.
Google Chrome	Supported	Versions change frequently; we recommend you have the latest version. Legacy versions are functional but may experience some issues. It is recommended to upgrade to the latest version.
Apple Safari	Supported	Versions change frequently; we recommend you have the latest version. Legacy versions are functional but may experience some issues. It is recommended to upgrade to the

Web Browser	Support	Comments
		latest version.

Please see the Grants.gov Browser Support Page, which includes the above information and any additional updates: http://www.grants.gov/web/grants/support/technical-support/software/browser-support.html

ATTENTION – Adobe Forms and PDF Files Required

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 10.1.14). Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov at this link: compatibility table. We strongly recommend that you review these details on www.Grants.gov 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.

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

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

   All applicants are advised to confirm that they have an active record with SAM. If an applicant has an expired record, the applicant will need to activate its record in order to submit an application of the i3 competition.

   Registration in Brief (ALLOW 4 WEEKS FOR COMPLETION OF ALL STEPS)

   a. **Obtain DUNS Number**
      Same day. If requested by phone (1-866-705-5711) DUNS is provided immediately. If your organization does not have one, you will need to go to the Dun & Bradstreet website at http://fedgov.dnb.com/webform to obtain the number.
   b. **Register with SAM**. All applicants are advised to confirm that they have an active record with System for Award Management (SAM). If an applicant has an expired record, the applicant will need to activate its record in order to submit an application for the i3 competition. Ensure that your organization is registered with the System for Award Management (SAM) at https://www.sam.gov/portal/public/SAM/. If your organization is not registered within the SAM, an **authorizing official** of your organization must register.

i. You can obtain a Data Universal Numbering System (DUNS) number from Dun and Bradstreet. A DUNS number can be created within **one-to-two business days**.

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

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

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

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

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

In addition, if you are submitting your application via Grants.gov, you must (1) be designated by your organization as an **Authorized Organization Representative (AOR);** and (2) register yourself with Grants.gov as an AOR. Details on these steps are outlined at the following Grants.gov Web page: www.grants.gov/web/grants/register.html.
For additional guidance on updating a registration, applicants are advised to visit the SAM.gov Web site.

c. **Username & Password**

Same day. Complete your AOR (Authorized Organization Representative) profile on Grants.gov and create your username and password. You will need to use your organization's DUNS Number to complete this step. https://apply07.grants.gov/apply/OrcRegister.

d. **AOR Authorization**

***Same day.** The E-Business Point of Contact (E-Biz POC) at your organization must login to Grants.gov to confirm you as an Authorized Organization Representative (AOR). Please note that there can be more than one AOR for your organization. In some cases the E-Biz POC is also the AOR for an organization.
***TIME DEPENDS ON RESPONSIVENESS OF YOUR E-BIZ POC.**

e. **TRACK AOR STATUS**

At any time, you can track your AOR status by logging in with your username and password. Login as an Applicant (enter your username & password) using the following: http://www.grants.gov/applicants/org_step6.jsp.

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

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

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

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

Submission Problems – What should you do?

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

Because electronic submission is required for this competition, you must submit an electronic application before 4:30:00 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written

statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

Helpful Hints When Working with Grants.gov

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

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

Dial-Up Internet Connections

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

MAC Users

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

Attaching Files – Additional Tips

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

1. Ensure that you attach ***.PDF files only*** for any attachments to your application, and they must be in a **read-only, non-modifiable format**. PDF files are the only Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are not .PDF files or are password protected files will not be read.
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. 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.

Application Tips

I. Register or maintain registration on SAM.gov. The SAM registration process can take approximately seven business days, but may take upwards of several weeks, depending on the completeness and accuracy of the data entered into the SAM database by an entity. Thus, if you think you might want to apply for Federal financial assistance under a program administered by the Department, please allow sufficient time to obtain and register your DUNS number and TIN. Once your SAM registration is active, you will need to allow 24 to 48 hours for the information to be available in Grants.gov and before you can submit an application through Grants.gov. Also note that you will need to update your registration annually. This may take three or more business days.

II. Register early on Grants.gov. The registration process may take up to two weeks to complete. For additional information on the registration and submission process please review the resources available on the Grants.gov Website.

III. Verify that the person assigned to submit the application has been designated as an Authorized Organization Representative (AOR). Track your AOR status (see page 13). You must be "active" in order to submit an application on behalf of the organization.

IV. Carefully review the FY2016 NIA for eligibility requirements. While applicants did not need to address the eligibility requirements for the pre-application, full applications will be deemed ineligible if they do not meet all of the eligibility requirements, including the required evidence standards and prior record of improvement.

V. Clearly state which Absolute Priority under which you are submitting an application. Applications will be reviewed and ranked by Absolute Priority, so it is important that you clearly indicate the Absolute Priority you intend the Department to review your application under. Applicants should ensure that the Absolute Priority identified in the application narrative matches that identified on the i3 Applicant Information Sheet.

VI. Review the submission for clarity. Applications will be read by multiple peer reviewers; therefore it is important to ensure that the application can be understood by someone who is unfamiliar with your project.

VII. Submit all files in .PDF format. While Grants.gov may accept other format types, the Department's system, which receives the files from Grants.gov, will only accept .PDF files.

VIII. Submit early on Grants.gov. Applications must be finished uploading, and be validated by the Grants.gov system, by 4:30:00pm, Washington, DC, time on the deadline date. Validation indicates if the submission was successful and may take up to two days. If the submitted application is deemed invalid due to an error, applicants may correct the error and resubmit only if the 4:30:00pm Washington, DC time deadline has not passed. Applicants are encouraged to review the submission to be sure that the files transmitted correctly. Grants.gov may not catch all errors. Late submissions or modifications to the submitted application <u>will not</u> be accepted after the deadline.

IX. Each application will be reviewed under the competition it was submitted under in the Grants.gov system, and only applications that are successfully submitted by the established deadline will be peer reviewed. Applicants should be careful that they download the intended i3 application package and that they submit their applications under the intended i3 competition.

X. **NOTE:** Applicants will receive multiple emails to confirm submission in Grants.gov, validation, and transmission to the Department of Education. Once the application is transmitted to the Department, applicants will receive a final email with a unique identifier called a PR Award Number. Use this number when making inquiries about the submitted application.

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 System for Award Management.

V. Application Instructions

Electronic Application Format

All applicants interested in completing a Development pre- application should first thoroughly review the NIA for FY 2016 published in the Federal Register on April 25, 2016 (81 FR 24070 - 24083). The NIA will orient applicants to the i3 program by providing the following information:

- Background information and purpose of the program;
- Eligibility requirements;
- Absolute Priorities;
- Competitive Preference Priority (optional) (applies to Development full application only);
- Selection Criteria and assigned points;
- Key definitions;
- Evidence Framework;
- Procedural and substantive requirements of both the pre-application and full application process, 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.

Completing and Submitting Your Application

A complete application consists of the following components:

Required Forms:

- ED Standard Forms; and
- Assurances and Certifications

Application Narrative:

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

- Project Narrative Form;
  - The Project Narrative Form is where you will attach the responses to the Selection Criteria and one of the five absolute priorities addressed in the FY 2016 NIA. Applicants should include a Table of Contents that includes all responses to the Selection Criteria. Specific instructions are included on page 36 of this application package.
  - **Applicants should limit the project narrative to 7 pages.** The Table of Contents does not count towards this limit.

- Budget Narrative Form; and

- The Budget Narrative Form is where you will attach a line item budget **(ED 524)** and a 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 40 of this application package.
- **Applicants should limit the budget narrative to 2 pages.** The budget narrative does not count toward the 7 page limit specified above.

- Other Attachments Form (upload appendices here)
  - The Other Attachments Form is where you will attach the application appendices. Specific Appendix instructions are included on page 43 of this application package. Applicants should not include substantive, project-related information that they wish peer reviewers to consider anywhere in the pre-application other than in the Project Narrative Form and Budget Narrative Form sections.
  - Other Attachments Form (appendices)
    - i3 Program Form; and

      The i3 Applicant Information Sheet collects additional information that will assist the Department with the peer review process. All applicants for the Development Pre- Application Competition must complete this information sheet.
    - Applicant's list of Proprietary Information, if applicable
  - **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.

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.

I. Addressing Your Questions

The Department provides multiple avenues for interested applicants to ask questions and clarify their understanding of the i3 competition and process. Applicants should keep in mind that the Department cannot provide guidance on specific proposals.

The Department publishes a comprehensive Frequently Asked Questions document on its Web site, at http://innovation.ed.gov/fy-2016-competition/ . Applicants should review this document carefully to see whether their particular questions have been addressed previously. The Department also updates this document in response to applicant questions. Interested applicants may send their questions to i3@ed.gov.

The Department has posted a PowerPoint that provides an overview of the competition. The Department also plans to host an informational session, live or online, designed to help interested

applicants with the application process. Interested applicants are encouraged to participate in this session. The posted PowerPoint, and any further information about this session, as it becomes available, may be found on the i3 Web site at http://innovation.ed.gov/what-we-do/innovation/investing-in-innovation-i3/.

FY 2016 Application Checklist

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

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
- ☐ Assurances – Non-Construction Programs (SF 424B)
- ☐ Grants.gov Lobby form (formerly ED 80-0013 form)

Application Narrative

- ☐ Project Narrative Form
- ☐ Budget Narrative Form
- ☐ Other Attachments Form (Upload Appendices here)
  - ☐ Appendix A- i3 Applicant Information Sheet (Appendix A) http://innovation.ed.gov/fy-2016-competition/
  - ☐ Appendix B- Applicant's list of proprietary information

A. 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;
- Assurances, Non-Construction Programs (SF 424B); and
- Grants.gov Lobbying form (formerly ED 80-0013 form).

The following pages provide a copy of the instructions for completing these forms. 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 CCR may be obtained by visiting www.Grants.gov.	17.	**Proposed Project Start and End Dates**: (Required) Enter the proposed start date and end date of the project.

	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 Organization L. Public/Indian Housing Authority 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)		

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

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

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(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 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

Assurances and Certifications Instructions

General Education Provisions Act (GEPA) Section 427

***ALL APPLICANTS <u>MUST</u> 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.

ASSURANCES- NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 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 (0348-0040), Washington, DC 20503

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

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. □□4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. □□1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. □794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. □□ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) □□ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. □□ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. □ 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or

financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. □□1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. □□276a to 276a-7), the Copeland Act (40 U.S.C. □276c and 18 U.S.C. □□874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. □□ 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. □□1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. □□7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12 Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. □□1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. □470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. □□469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. □□2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. □□4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, □Audits of States, Local Governments, and Non-Profit Organizations.□

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

GRANTS.GOV LOBBY FORM (FORMERLY ED 80-0013 FORM)

Certification for Contracts, Grants, Loans and Cooperative Agreements.

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person 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 the awarding of any Federal contract, the making of any Federal grant, the making of any Federal Loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.

(2) If any funds other Federal appropriated funds have been paid or will be paid to any person 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 this Federal contract, grant, loam or cooperative agreement, the undersigned shall complete and submit Standard Form – LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance.

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee or any agency, a member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

B. Application Narrative Instructions

Instructions for Project Narrative

The Project Narrative should describe the project that an applicant would carry out if funded and include the eligible applicant's response to 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 2016 i3 NIA includes five Absolute Priorities. Applicants are required to choose one of the five Absolute Priorities, and explain in the project narrative how the project addresses the chosen priority. The five Absolute Priorities are explained in detail in the NIA.

Applicants should keep in mind that, to the extent feasible, the Department intends to match peer reviewer experience with the Absolute Priority addressed in the application. In addition, the Department will rank applications by Absolute Priority. For these reasons, applicants should clearly identify the Absolute Priority in both the Project Narrative and on the i3 Applicant Information Sheet.

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, and references. 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.

Page Limits

Eligible applicants should limit the Project Narrative to **7 pages**. The page limits apply to the responses to the Selection Criteria. The Table of Contents does not count against the page limit.

FY 2016 Development grant Pre- Application Absolute Priorities and Competitive preference priority

The FY 2016 Competition identifies five Absolute Priorities, representing a range of education topics. **Applicants must identify the Absolute Priority they are addressing.** There is one Competitive Preference Priority (applies to Development full application only) and one Invitational Priority under Absolute Priority 1.

Absolute Priorities

- Absolute Priority 1—Promoting Diversity
    - Invitational Priority (for this priority only): Designing and implementing intra-district, inter district, community, or regional programs that improve student outcomes by increasing socioeconomic diversity.
- Absolute Priority 2—Implementing Internationally Benchmarked College -and Career-Ready Standards and Assessments
- Absolute Priority 3—Improving School Climate, Behavioral Supports, and Correctional Education
- Absolute Priority 4—Influencing the Development of Non-Cognitive Factors
- Absolute Priority 5—Serving Rural Communities
    - Note: Applicants applying under this priority must also address one of the other four absolute priorities established for the FY 2016 i3 Development competition, while serving students enrolled in rural LEAs (as defined in the 2016 i3 NIA).

Competitive Preference Priority (Optional) (applies to Development full application only)

- Competitive Preference Priority—Supporting Novice i3 Applicants (0 or 3 points)

FY 2016 Development Grant Pre- Application Selection Criteria

Selection Criteria: Read the entire NIA for selection criteria

A. **Significance (up to 10 points).**
In determining the significance of the project, the Secretary considers the extent to which the proposed project involves the development or demonstration of promising new strategies that build on, or are alternatives to, existing strategies. (34 CFR 75.210)

B. **Quality of Project Design (up to 10 points).**
In determining the quality of the proposed project design, the Secretary considers the extent to which the goals, objectives, and outcomes to be achieved by the project are clearly specified and measured. (34 CFR 75.210)

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 April 25, 2016 (81 FR 24070 - 24083). Please assess applications based on the Selection Criteria. No outside factors, such as personal knowledge of past performance, 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 assessment of the quality of the response. 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				
	Not Addressed	Poorly Developed	Adequately Developed	Well-Developed	Fully Developed
10	0	1-4	5-7	8-9	10

[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. It is included here for the applicants' reference.

INSTRUCTIONS FOR BUDGET NARRATIVE

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

Applicants may request i3 funding for 3, 4, or 5 years and should make this determination at the time of application. Applicants must complete ED 524 for all budget years of the proposed project. Applicants must also provide a 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

Applicants should keep in mind that, although the project evaluation is not reviewed as part of the pre-application, all funded i3 projects are required to conduct an independent evaluation. Applicants should identify funds budgeted for the project evaluation in the budget narrative.

In addition, applicants should include costs for four project staff persons (project director, evaluator, and two partners) to attend an annual 2 day project directors 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 set out in 2 CFR Part 200[2], as adopted by the Department at 2 CFR Part 3474.[3]

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 shows 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. For example, an applicant that requests $1,000,000 must secure $150,000 in matching funds; therefore, the project budget narrative would reflect how the total proposed budget of $1,150,000 will be expended. An applicant need not have secured matching funds or in-kind donations in order to show those funds or donations in Section B.

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[2] http://www.ecfr.gov/cgi-bin/text-idx?SID=a00c8ef91d397f640d8c236871fe5eef&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl

[3] http://www.ecfr.gov/cgi-bin/text-idx?SID=a00c8ef91d397f640d8c236871fe5eef&node=pt2.1.3474&rgn=div5

If a highly rated pre-award applicant intends to submit a request for a reduction of the private-sector matching requirement once invited to submit a full application, the applicant should ensure that Section B reflects that the amount of non-Federal funds or in-kind donations are 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.

Instructions for Section C- Budget Narrative

Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B of the ED 425.

Personnel (Line 1): Provide each project personnel's base salary and wages and FTE.

Fringe Benefits (Line 2): The institution's normal fringe benefits contribution may be charged to the program. Leave this line blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect costs. If you are including fringe benefits, please explain how the fringe rate was calculated and identify the staffs who are receiving the benefits.

Travel (Line 3): Indicate the travel costs of employees and participants only. Provide a breakdown of the costs associated with each trip and justification for the costs. 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 directors meeting in Washington, DC.

Equipment (Line 4): Indicate the cost of tangible, non-expendable personal property that has usefulness greater than one year and acquisition costs that are the lesser of the capitalization level established by the applicant entity for financial statement purposes or $5,000 per article. Lower limits may be established to maintain consistency with the applicant's policy. Indicate the amount of equipment that is being purchased, the cost per unit, and the justification of purchases that links to the project narrative.

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

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

contract (this should include a breakdown of the major service components of the contract and the costs of each portion) and an explanation of what the services are being provided by the contractor.

Construction (Line 7): Not applicable.

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

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

Indirect Costs (Line 10): Indicate the applicant's approved indirect cost rate, per sections 75.560 – 75.564 of EDGAR. If an applicant does not have an approved indirect cost rate agreement with a cognizant Federal agency, the applicant must apply to the Department for a temporary indirect cost rate if it wishes to charge indirect costs to the grant.

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.

Training Stipends (Line 11): Indicate the amount of stipend, the number of grant participants receiving the stipends and the justification for the stipend. Please make sure that training stipends are placed under this line item and not under "Personnel" or "Other."

Total Cost (Line 12): This should equal to sum of lines 9-11 (total direct costs + indirect + training stipends).

Please note that a budget justification should be provided for both Federal costs and Non-Federal costs.

Instructions for Appendix

Applicants should **attach all appendices to the Other Attachments Form**. For each appendix, applicants are asked to save files as a .PDF, label each file with the Appendix name and upload the file to the Other Attachments Form. The Other Attachments Form can support up to ten attachments, therefore it is unnecessary to merge appendices into one document.

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

Appendix A: i3 Applicant Information Sheet

Eligible applicants must complete and submit the Applicant Information Sheet with each application submitted. Completing this form 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 complete this form electronically, then when prompted to "Print Your Answers" save the generated .PDF as a .PDF file and upload with your application in Grants.gov to the Other Attachments Narrative Form.

To complete this form:

1. Applicant Information Sheet accessed via the following URL: http://innovation.ed.gov/fy-2016-competition/ .
2. **NOTE:** Please complete this form electronically and submit your answers. Once you hit the submit button, you will be prompted to "Print Your Answers." **Please click "Print Your Answers" and save the generated .PDF as a .PDF file and upload this to the Other Attachments Narrative Form.**

DO NOT: Print the form, complete it, and scan it as a PDF; Save the form in any format other than PDF; Forget to include this form; Include an introductory page to this form; Merge it with other appendices.

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

Office of Innovation and Improvement
i3 Applicant Information Sheet
FY 2016

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 are asked to fill out this form electronically. Once completed, save and upload the generated .PDF into Appendix A 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: Select

Eligible Applicant Type: Select

Have you applied for more than one i3 grant? 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. Applicants applying under AP5 Serving Rural Communities must select an absolute priority from the dropdown in addition to indicating that they will address the rural priority.
Select

I intend to apply under AP5 Serving Rural Communities.

Yes

No

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.

Eligibility Requirements

To be eligible for an award under the Investing in Innovation Fund, 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.

☐ I understand that to be eligible for an i3 award I must meet the program and eligibility requirements noted above.

To be eligible for an award, an application for a Development grant must be supported by evidence of promise or strong theory as defined in the 2016 Notice Inviting Applications. Please use the options below to identify the evidence standard under which you will apply:

Evidence of Promise

Strong Theory

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[i] **Public Burden Statement:**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. 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. Carol Lyons, Investing in Innovation Fund, Office of Innovation and Improvement, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

VI. Additional Information

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

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. Public reporting burden for this collection of information is estimated to average 120 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Section 14007 of the American Recovery and Reinvestment Act of 2009 (ARRA)) and voluntary. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email ICDocketMgr@ed.gov and reference the OMB Control Number **1855-0021**. Note: Please do not return the completed 1855-0021 i3 application to this address.