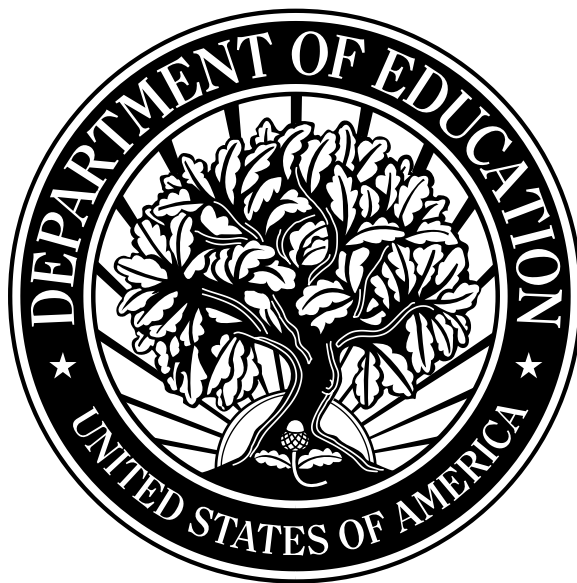


U.S. DEPARTMENT OF EDUCATION  
OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES  
WASHINGTON, D.C. 20202-2800

**FY 2022 APPLICATION KIT FOR NEW GRANTS  
UNDER  
THE REHABILITATION SERVICES ADMINISTRATION  
DISABILITY INNOVATION FUND (DIF) - SUBMINIMUM WAGE TO  
COMPETITIVE INTEGRATED EMPLOYMENT (SWTCIE)  
INNOVATIVE MODEL DEMONSTRATION PROJECT**

**ASSISTANCE LISTING NUMBER 84.421D**



FORM APPROVED  
OMB No. 1820-0018, EXP. DATE: 06/30/2022  
ED FORM 424, OMB APPROVED

**DATED MATERIAL—OPEN IMMEDIATELY**

**CLOSING DATE: JUNE 21, 2022**

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Section A  
Dear Applicant Letter

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UNITED STATES DEPARTMENT OF EDUCATION  
OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES  
REHABILITATION SERVICES ADMINISTRATION

March 21, 2022

Dear Applicant:

The U.S. Department of Education (Department) is issuing a notice inviting applications (NIA) for fiscal year (FY) 2022 to fund the Disability Innovation Fund (DIF) Subminimum Wage to Competitive Integrated Employment Innovative (SWTCIE) Model Demonstration Project, Catalog of Federal Domestic Assistance (CFDA) number 84.421D.

This application package contains information and the required forms for you to use in submitting a new application for funding under the SWTCIE model demonstration project. The awards will be discretionary grants negotiated as cooperative agreements.

As provided by the Consolidated Appropriations Act, 2021 (Pub. L. 116-260), FY22 DIF funding is to support innovative activities aimed at increasing Competitive Integrated Employment (CIE) as defined in section 7 of the Rehabilitation Act of 1973 (Rehabilitation Act) (29 U.S.C. 705(5)), for youth and other individuals with disabilities.

The purpose of this competition is to increase the opportunity for SWTCIE program participants—students, youth, and adults with disabilities contemplating, actively seeking, or engaged in subminimum wage employment to obtain CIE, defined in section 7(5) of the Rehabilitation Act of 1973 (Rehabilitation Act) and in the Definitions section of this notice. To achieve this purpose, projects funded under this priority will create innovative models, for dissemination and replication, to: (1) identify strategies for addressing challenges associated with access to CIE (e.g., transportation, support services); (2) provide integrated services that support CIE; (3) support integration into the community through CIE; (4) identify and coordinate wraparound services for any individual served by the project who obtains CIE; (5) develop evidence-based practices and share those practices with other entities holding 14(c) certificates, State VR agencies, local rehabilitation providers, State and local workforce agencies and regional and local employers; and (6) provide entities holding section 14(c) certificates with readily accessible transformative business models for adoption.

Please read this letter carefully as it includes important information related to the grant competition. Take the time to review all applicable requirements, definitions, selection criteria, and application instructions thoroughly. An application will not be evaluated for funding if the applicant does not comply with all procedural rules that govern the submission of the application or if the application does not contain the information required. (Education Department General Administrative Regulations (EDGAR) at 34 C.F.R. §75.216 (b) and (c)).

Please note the following:

## **ELIGIBLE APPLICANTS**

Eligible applicants for this competition are State VR agencies.

## **NOTICE INVITING APPLICATIONS**

The Notice Inviting Applications (NIA) is published in the *Federal Register*, contained in Section C of this application package, and is available to download and review.

## **PRE-APPLICATION MEETING AND POWERPOINT PRESENTATION**

The Rehabilitation Services Administration (RSA) will post a PowerPoint presentation that provides general information about RSA discretionary grants and a PowerPoint presentation specifically about the DIF Subminimum Wage to Competitive Integrated Employment Innovative Model Demonstration Project at <https://ncrtm.ed.gov/RSAGrantInfo.aspx>. RSA will conduct a pre-application meeting Wednesday, April 20, 2022, at 2:00 PM (ET) specific to this competition via conference call to respond to questions. All 84.421D questions should be submitted to the [84.421D@ed.gov](mailto:84.421D@ed.gov) mailbox by 5:00 PM (ET) on Friday, April 8, 2022.

Information about the pre-application meeting will be available at <https://ncrtm.ed.gov/RSAGrantInfo.aspx> prior to the date of the conference call. RSA invites you to send questions to [84.421D@ed.gov](mailto:84.421D@ed.gov) in advance of the pre-application meeting. The teleconference information, including the 84.421D pre-application meeting summary of the questions and answers, will be available at <https://ncrtm.ed.gov/RSAGrantInfo.aspx> within ten business days after the pre-application meeting.

## **APPLICATION SUBMISSION: COMMON INSTRUCTIONS FOR APPLICANTS TO DEPARTMENT OF EDUCATION DISCRETIONARY GRANT PROGRAMS**

Applicants are required to follow the Common Instructions for Applicants to Department of Education Discretionary Grant Programs, published in the *Federal Register* on February 13, 2019 (84 FR 3768) and available at [www.govinfo.gov/content/pkg/FR-2019-0213/pdf/2019-02206.pdf](http://www.govinfo.gov/content/pkg/FR-2019-0213/pdf/2019-02206.pdf), which contain requirements and information on how to submit an application.

## **GRANTS.GOV APPLICATION SUBMISSION AND SAM REGISTRATION**

Applications for grants under this competition **must** be submitted electronically using the Grants.gov Apply site ([www.Grants.gov](http://www.Grants.gov)). Please read carefully the **Grants.gov Submission Procedures and Tips for Applicants** document included in Section D of this application package, which includes helpful tips about submitting electronically using the Grants.gov Apply site. Grants.gov registration involves many steps including registration on SAM ([www.sam.gov](http://www.sam.gov)) which may take approximately one week to complete, but could take as many as several weeks to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the registration steps are complete. Please note that once your

SAM registration is active, it will take 24-48 hours for the information to be available in Grants.gov. **You cannot submit an application through Grants.gov until Grants.gov has received your SAM registration information. We strongly encourage you to familiarize yourself with SAM and Grants.gov and strongly recommend that you register *and* submit early.**

**Applicants are required to upload any narrative sections and all other attachments to your application as files in either Portable Document Format (PDF) or Microsoft Word.** However, it is **recommended** that applicants upload files as read-only flattened PDFs. Please be aware that applications submitted to Grants.gov for the Department of Education will now be posted using Adobe forms. Information on computer and operating system compatibility with Adobe and links to download the latest version of Adobe are available on Grants.gov. Please note that you must follow the application procedures as described in the *Federal Register* notice announcing this grant competition. Information (including dates and times) about how to submit your application electronically can also be found in Section D of this application package.

## **APPLICABLE REGULATIONS**

### Education Department General Administrative Regulations (EDGAR)

This program is subject to the requirements of the Education Department General Administrative Regulations at 34 CFR Parts 75, 77, 79, 81, 82, 84, 86, 97, 98, and 99. These regulations set forth all general rules affecting application submittal, review, grant awarding, and post-award administration of Department of Education grant programs.

### Office of Management and Budget Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement)

This program is subject to the requirements of the Office of Management and Budget Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) in 2 CFR part 180, as adopted and amended as regulations of the Department in 2 CFR part 3485.

### Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance)

This program is subject to the requirements of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) in 2 CFR part 200, as adopted and amended as regulations of the Department in 2 CFR part 3474.

## **INTERGOVERNMENTAL REVIEW**

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

## **BUDGET INFORMATION**

**Applicants under this competition are required to provide detailed budget information for each of the five years of this project and for the total grant.**

### Maximum Award Amount

We will not make an award exceeding \$13,943,946 for a single budget period of 60 months. Please be advised that for the priority in this package, the maximum award amount covers all project costs including indirect costs.

The Department will determine at the time of the initial award, the funding levels for each year of the grant award. However, we will not make an award exceeding \$13,943,946 for a single budget period of 60 months.

### Required Cost Sharing or Matching

This competition does not require cost sharing or matching.

### Indirect Cost Rate Information

This program uses an unrestricted indirect cost rate. For more information regarding indirect costs, or to obtain a negotiated indirect cost rate, please see [www2.ed.gov/about/offices/list/ocfo/intro.html](http://www2.ed.gov/about/offices/list/ocfo/intro.html).

### Administrative Cost Limitation

This program does not include any program-specific limitation on administrative expenses. All administrative expenses must be reasonable and necessary and conform to the Cost Principles described in 2 CFR part 200 subpart E of the Uniform Guidance.

### Subgrantees (Subawards)

Under the Consolidated Appropriations Act, 2021, a grantee under this competition may award subgrants for a portion of the funds to other public and private, nonprofit entities to directly carry out project activities described in the grantee's application. Under 34 CFR 75.708(b) and (c), grantee under this competition may award subgrants--to directly carry out project activities described in its application--to the following types of entities: public and private, non-profit entities, LEAs, SEAs, and institutions of higher education. The grantee may award subgrants to entities it has identified in an approved application.

### Final Performance Report

The Final Performance Report must be completed and submitted by the end of the project period, September 30, 2027. Therefore, all project activities (other than work on the evaluation and final performance report) must conclude earlier than 60 months to allow time for the evaluation and final performance report to be completed and submitted by the end of the project period of September 30, 2027. This should be reflected in the budget.

## **PRIORITIES**

This competition contains one absolute priority. We are establishing the absolute priority for the FY 2022 grant competition, and any subsequent year in which we make awards from the list of unfunded applications from this competition, in accordance with section 437(d)(1) of the General Education Provisions Act (GEPA), 20 U.S.C. 1232(d)(1).

Absolute Priority: Subminimum Wage to Competitive Integrated Employment (SWTCIE) Innovative Model Demonstration Project

This priority establishes model demonstration projects in which State VR agencies, develop, implement, refine, evaluate, and disseminate, for easy adoption, new or substantially improved model strategies or programs to transition SWTCIE program participants to CIE in any one of six topic areas: (1) Essential Workers; (2) Green Job Workers; (3) Home and Community-Based Service Workers; (4) Arts; (5) Transportation Industry and related Industry Workers; and (6) Field Initiated.

Please refer to the NIA for more details about this absolute priority.

Applicants must address the absolute priority in the budget information (ED Form 524, Section B) and budget narrative.

Prior to the peer review, Department staff will determine if an application has met the appropriate absolute priority and is eligible for peer review. An application that has not met the absolute priority will not be considered for funding and may not be reviewed.

## **APPLICATION NARRATIVE AND SELECTION CRITERIA**

Part III of the Application Narrative addresses the absolute priority, particularly the Application Requirements and the Project Requirements in the NIA. The application narrative must also address the Selection Criteria, which the competition peer reviewers use to evaluate and score each application. These may be found in Section D of this application kit or Section V.1. of the NIA. Please note that peer reviewers are instructed that appendix material is considered supplemental material to support or show evidence supporting statements made in the narrative, and that they are not required to review such material. (They are neither asked nor expected to consider appendix material in rating applications.)

## **EVIDENCE OF EFFECTIVENESS FORM (OPTIONAL)**

Applicants are not required to complete the Evidence of Effectiveness Form for this competition. However, this form is optional and contained in this application package should an applicant choose to submit it.

## **PROTECTION OF HUMAN SUBJECTS IN RESEARCH**

The discretionary grant Application Form SF-424 requires applicants to indicate whether they plan to conduct research involving human subjects at any time during the proposed



project period. The Protection of Human Subjects in Research Attachment is an integral part of the SF-424 form. It includes information that applicants need to complete the protection of human subjects' item and, as appropriate, to provide additional information to the Department regarding human subjects research projects. Additional information on completing the protection of human subjects' item is also available and can be accessed on the internet at:

[www.ed.gov/about/offices/list/ocfo/humansub.html](http://www.ed.gov/about/offices/list/ocfo/humansub.html)

## **RESPONSE TO PERFORMANCE MEASURES**

For this competition, the Department has established the following performance measures for the purpose of Department reporting under 34 CFR 75.110. (a) The percent of project participants who transition from subminimum wage employment to CIE; and (b) The percent of project participants who are contemplating subminimum wage employment for the first time but are redirected to CIE. These performance measures are consistent with, and included in, the performance measures in paragraphs (c)(5) and (6) of the Program and Project Application Requirements.

## **REVIEW AND SELECTION PROCESS**

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

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

## **ADDITIONAL INFORMATION**

For information about other U.S. Department of Education grant and contract opportunities, please use the Department's grant information web page which can be accessed on the internet at: <http://www.ed.gov/about/offices/list/ocfo/grants/grants.html>.

Applicants may contact Cassandra Shoffler, Competition Manager, at (202) 245-7827 or 84.421D@ed.gov, to discuss any matters relating to this competition.

Sincerely,

*Corinna H. Stiles*

Corinna H. Stiles, PhD, JD  
Chief, Training Programs Unit  
Rehabilitation Services Administration

Section B  
Notice Inviting Applications  
For New Awards

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4000-01-U

DEPARTMENT OF EDUCATION

Applications for New Awards; Disability Innovation Fund--

Subminimum Wage to Competitive Integrated Employment Innovative  
Model Demonstration Project

AGENCY: Office of Special Education and Rehabilitative Services,  
Department of Education.

ACTION: Notice.

SUMMARY: The U.S. Department of Education (Department) is issuing a notice inviting applications for fiscal year (FY) 2022 for the Disability Innovation Fund--Subminimum Wage to Competitive Integrated Employment (SWTCIE) Innovative Model Demonstration Project, Assistance Listing Number 84.421D. The Department intends to fund multiple innovative model demonstration projects to assist individuals with disabilities currently employed in, or contemplating, subminimum wage employment (*i.e.*, SWTCIE program participants) to engage with State vocational rehabilitation (VR) agencies so they may obtain competitive integrated employment (CIE). The Rehabilitation Services Administration (RSA) recognizes that models to obtain CIE are needed for students and youth with disabilities seeking subminimum wage employment and individuals with disabilities who are employed or contemplating employment at subminimum wage by entities holding special wage certificates (employers or entities holding 14(c) certificates) under section 14(c) of the Fair Labor Standards Act of 1938 (FLSA)

("under section 14(c) certificates"). This notice relates to the approved information collection under OMB control number 1820-0018.

**DATES:**

Applications Available: March 21, 2022

Deadline for Transmittal of Applications: June 21, 2022

Date of Pre-Application Meeting: The Office of Special Education and Rehabilitative Services (OSERS) will post a PowerPoint presentation that provides general information about RSA's discretionary grants and a PowerPoint presentation specifically about the SWTCIE Innovative Model Demonstration Project at <https://ncrtm.ed.gov/RSAGrantInfo.aspx>. In addition to posting the PowerPoint, OSERS will conduct a pre-application meeting specific to this competition via conference call to respond to questions. Information about the pre-application meeting will be available at <https://ncrtm.ed.gov/RSAGrantInfo.aspx> prior to the date of the call. OSERS invites you to send questions to [84.421D@ed.gov](mailto:84.421D@ed.gov) in advance of the pre-application meeting. The teleconference information, including a summary of the 84.421D pre-application meeting questions and answers, will be available at <https://ncrtm.ed.gov/RSAGrantInfo.aspx> within six business days after the pre-application meeting.

Deadline for Intergovernmental Review: August 18, 2022.

**ADDRESSES:** For the addresses for obtaining and submitting an application, please refer to our Common Instructions for

Applicants to Department of Education Discretionary Grant Programs, published in the *Federal Register* on December 27, 2021 (86 FR 73264) and available at [www.federalregister.gov/d/2021-27979](http://www.federalregister.gov/d/2021-27979). Please note that these Common Instructions supersede the version published on February 13, 2019, and, in part, describe the transition from the requirement to register in SAM.gov a Data Universal Numbering System (DUNS) number to the implementation of the Unique Entity Identifier (UEI). More information on the phase-out of DUNS numbers is available at <https://www2.ed.gov/about/offices/list/fofo/docs/unique-entity-identifier-transition-fact-sheet.pdf>.

FOR FURTHER INFORMATION CONTACT: Cassandra P. Shoffler, U.S. Department of Education, 400 Maryland Avenue, SW, room 5065A, Potomac Center Plaza, Washington, DC 20202-2800. Telephone: (202) 245-7827. Email: 84.421D@ed.gov.

If you use a telecommunications device for the deaf (TDD) or a text telephone (TTY), call the Federal Relay Service (FRS), toll free, at 1-800-877-8339.

SUPPLEMENTARY INFORMATION:

I. Funding Opportunity Description

Purpose of Program: The purpose of the Disability Innovation Fund (DIF) Program, as provided by the Consolidated Appropriations Act, 2021 (Pub. L. 116-260), is to support innovative activities aimed at increasing CIE as defined in section 7 of the Rehabilitation

Act of 1973 (Rehabilitation Act) (29 U.S.C. 705(5)), for youth and other individuals with disabilities.

The purpose of this competition is to increase the opportunity for SWTCIE program participants--students and youth with disabilities seeking subminimum wage employment and potential VR program applicants or VR-eligible individuals with disabilities who are employed or contemplating employment at subminimum wage--to obtain CIE, defined in section 7(5) of the Rehabilitation Act of 1973 (Rehabilitation Act) and in the Definitions section of this notice. To achieve this purpose, projects funded under this priority will create innovative models, for dissemination and replication, to: (1) identify strategies for addressing challenges associated with access to CIE (e.g., transportation, support services); (2) provide integrated services that support CIE; (3) support integration into the community through CIE; (4) identify and coordinate wraparound services for any individual served by the project who obtains CIE; (5) develop evidence-based practices and share those practices with other entities holding 14(c) certificates, State VR agencies, local rehabilitation providers, State and local workforce agencies and regional and local employers; and (6) provide entities holding section 14(c) certificates with readily accessible transformative business models for adoption.

Priorities: This competition contains one absolute priority. We are establishing the absolute priority for the FY 2022 grant

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

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

This priority is:

Subminimum Wage to Competitive Integrated Employment (SWTCIE) Innovative Model Demonstration Project

Background:

Since the establishment of the Federal minimum wage in 1938, a special minimum wage has existed for individuals with disabilities. This provision allows employers holding a section 14(c) certificate from the U.S. Department of Labor (DOL) to pay individuals with disabilities less than the Federal minimum wage that is generally mandated for all other workers. DOL, Wage and Hour Division, 14(c) certificate holder reports indicate that as of October 1, 2021, there were 531 entities that have pending 14(c) certificates, which do not yet provide subminimum employment, and 667 entities that hold 14(c) certificates with 39,840 individuals with disabilities employed under the 14(c) certificates earning a subminimum wage (U.S. Department of Labor, 2022).

As data have shown substantial disparity in the wages that these individuals receive, the need for policy and programming to help identify strategies to expand opportunities for individuals with disabilities employed at subminimum wage is critical. Recent Federal, State, and local legislation and policy development have focused on maximizing opportunities for individuals with disabilities to earn competitive wages in non-segregated settings, thereby enhancing the social and economic inclusion and empowerment of individuals with disabilities. In some cases, State legislation and policies emphasize eliminating subminimum wage or terminating the use of subminimum wage for individuals with disabilities over a period of time. Changes in expectations about community integration and employment for individuals with disabilities render subminimum wage employment an outdated model.

Several States, including Alaska, Maine, Maryland, New Hampshire, Oregon, Washington, Hawaii, Colorado, California, Delaware, Rhode Island, and Vermont, have passed or are in the process of implementing legislation to abolish the payment of subminimum wages to individuals with disabilities. In addition, some cities, such as Seattle, Washington; Reno, Nevada; Chicago, Illinois; and Denver, Colorado, have such bans in place.

While passing legislation and enacting policies to eliminate subminimum wage employment has been effective at the State and local level, there is a need for an innovative focus on eliminating subminimum wage employment that also expands



opportunities for individuals with disabilities to obtain CIE. Projects that utilize innovative approaches, such as those identified within this notice, have the potential to prevent the payment of a subminimum wage to and improve the employment outcomes of individuals with disabilities and build the body of evidence towards achieving this policy goal.

The Rehabilitation Act, as amended by title IV of the Workforce Innovation and Opportunity Act (WIOA), defines CIE in general as full-time or part-time work: (1) in which the individual with a disability is paid at or above the Federal minimum wage; (2) at a location where the individual with a disability interacts with individuals without disabilities to the same extent that individuals without disabilities in comparable positions interact with others who are not disabled; and (3) that presents opportunities for advancement that are similar to those provided to individuals without disabilities. In this notice, the Department uses the definition of CIE from 34 CFR 361.5(c)(9) established for purposes of the VR program, which defines CIE as work that is, among other things, performed in a location: (1) that is typically found in the community; and (2) in which the individual with a disability interacts for the purpose of performing the duties of the position with other employees within the particular work unit and the entire work site, and, as appropriate to the work performed, other persons (e.g., customers and vendors), who are not individuals with disabilities (not

including supervisory personnel or individuals who are providing services to such employee) to the same extent that employees who are not individuals with disabilities and who are in comparable positions interact with these persons. See the Definitions section of this notice.

The purpose of the VR program is to assist individuals with disabilities who choose to seek CIE, including supported employment<sup>1</sup> and customized employment, which constitute "employment outcomes" under the VR program as defined in section 7(11) of the Rehabilitation Act (29 U.S.C. 705(11) and 34 CFR 361.5(c)(15)). An individual with a disability who chooses to pursue non-competitive and/or non-integrated employment is not eligible for services under the VR program because the individual would not be choosing to achieve an "employment outcome." To the extent an individual with a disability, or their representative as appropriate, chooses to pursue work that is outside the scope of the VR program, VR agency personnel play a critical role in making the proper referrals to other community resources, as required under 34 CFR 361.37(b).

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<sup>1</sup> "Supported employment," as defined at section 7(38) of the Rehabilitation Act (29 U.S.C. 705(38)) and 34 CFR 361.5(c)(53), means competitive integrated employment, including customized employment, or employment in an integrated setting in which an individual with a most significant disability is working on a short-term basis toward competitive integrated employment. As such, "supported employment" constitutes an "employment outcome" under the VR program, as that term is defined at section 7(11) of the Rehabilitation Act (29 U.S.C. 705(11)) and 34 CFR 361.5(c)(15).

The VR program expands opportunities for individuals with disabilities to obtain high-quality CIE that leads to economic security and is a key resource in furthering the full equality and integration of individuals with disabilities in American society by examining potential employment opportunities, and by training and preparing individuals with disabilities for those opportunities that lead to an employment outcome.

In furthering its mission to assist individuals with disabilities to obtain CIE, the VR program works with employers of all types, including those offering non-traditional, flexible, and freelance opportunities. The program assists and encourages employers to fully include individuals with disabilities in their workforce by creating employment opportunities that meet all criteria in the definition of CIE, including the criterion for an integrated employment location.

To be considered CIE for purposes of both DIF and the VR program, a job position must satisfy all three criteria related to wages/benefits, integration, and opportunities for advancement (section 7(5) of the Rehabilitation Act (29 U.S.C. 705(5)), 34 CFR 361.5(c)(9), and the Definitions section of this notice). Please refer to RSA-FAQ 22-02, the Frequently Asked Questions (FAQs) pertaining to *Criterion for an Integrated Employment Location in the Definition of "Competitive Integrated Employment" and Participant Choice* that was issued by the Rehabilitation

Services Administration (2021)<sup>2</sup>. Although the FAQs pertain specifically to CIE and the VR program, they provide critical information, including clarification on the criterion for an integrated employment location in the definition, that would be applicable to the definition for purposes of the DIF program.

Priority:

The purpose of this priority is to fund model demonstration projects designed to develop, implement, refine, evaluate, and disseminate, for easy adoption, new or substantially improved model strategies or programs to transition SWTCIE program participants to CIE in any one of six topic areas.

Topic Areas:

Within this absolute priority, the Secretary intends to support innovative model demonstration projects under the following topic areas: (1) Essential Workers; (2) Green Job Workers; (3) Home and Community-Based Service Workers; (4) Arts; (5) Transportation Industry and related Industry Workers; and (6) Field Initiated. If an applicant intends to address multiple topic areas, the applicant must combine the topic areas in one application and submit it under topic area 6, Field Initiated. For example, an applicant could apply under topic area 6 with a proposed project that combines topic area 1 with any of topic

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<sup>2</sup>See References for link to RSA-FAQ 22-02.

areas 2-5. Multiple applications from a single applicant will not be accepted.

Note: The numbering of the topic areas does not reflect an established hierarchy or preference among the topic areas.

Topic Area 1: Essential Workers.

Essential workers are needed nationwide as the economy responds to the novel coronavirus 2019 (COVID-19). The U.S. Department of Homeland Security identified essential workers as those individuals who conduct a range of operations and services that are typically essential to continue critical infrastructure operations (Hultin, 2021). The U.S. Department of Homeland Security's Cybersecurity and Infrastructure Security Agency (CISA) created guidance, and developed a sector-specific list, to assist in the identification of essential workers (2021).

Potential SWTCIE program participants may already be classified as essential workers but work in non-integrated settings or enclaves. These individuals may have the skills, abilities, and interest in transferring to job positions as essential workers in CIE.

A project in this area will identify and implement innovative strategies to assist SWTCIE program participants to secure CIE as essential workers.

Topic Area 2 - Green Job Workers.

Workers will be needed for green jobs to help the United States reach its goal of no longer generating greenhouse gas

pollution by 2035 (U.S. Department of Labor, 2021). The percentage of total employment associated with green goods and services has increased in the United States over the years, presenting employment opportunities in related emerging fields (U.S. Bureau of Labor Statistics, 2013). Innovative inclusion practices would provide green job opportunities for individuals with disabilities, which in turn would also improve the outlook in this growing sector.

Green jobs may include solar panel installation and maintenance; energy efficient HVAC installation; removal of excess undergrowth from forests at risk of forest fires; operation of businesses such as electric vehicle businesses, wind and water electricity businesses, and hydroponic gardening facilities; and many other emerging areas that may assist in combating climate change.

A project in this area will identify and implement innovative strategies to assist SWTCIE program participants to secure CIE as green job workers.

### Topic Area 3 - Home and Community-Based Service Workers.

With the aging of the Nation's population and the need for independent living for people with disabilities leading to increased demand for Home and Community Based services (HCBS), the United States faces an impending crisis in the supply of direct support workers. This increased demand for HCBS opens the door to various employment opportunities. Some individuals with

significant disabilities and older adults who need personal services may use or employ individuals with disabilities to provide the needed personal services. This arrangement could provide a mutually beneficial relationship between the individual with a disability needing services, and the individual with a disability providing the services.

A project in this area will identify and implement innovative strategies to assist SWTCIE program participants to secure CIE as home and community-based service workers for individuals with disabilities, the aging population, or both.

#### Topic Area 4 - Arts.

The National Endowment for the Arts, New Report Released on the Economic Impact of the Arts and Cultural Sector (2021), indicated that the arts have been significantly and negatively impacted by COVID-19. As a major employment sector, the arts are an essential part of building back our Nation's culture and our ability to enjoy being with others in public spaces. To rebuild the arts, individuals with disabilities should have CIE opportunities within every arts venue and activity. The arts and culture industry shapes culture and cultural expectations. Individuals with disabilities and their advocates have historically promoted representation of individuals with disabilities within the arts and culture industry.

The arts employ individuals in many settings and positions, such as performing artists (e.g., actors, musicians, singers,

dancers), visual artists (e.g., painters, sculptors, jewelers, woodworkers), set designers, construction workers, costume designers, lighting crew, ticket takers, cleaners, librarians, advertisers, translators, and managers and staff at all types of arts venues, and many other jobs. These positions are carried out in communities of all sizes across the Nation.

A project in this area will identify and implement innovative strategies to assist SWTCIE program participants to secure CIE in the arts, thereby advancing meaningful access to and inclusion in one or more of these three primary areas pertaining to the arts: (1) Education and Careers, (2) Community Health/Wellness, and (3) Cultural Spaces.

(1) Education and Careers: Build a bridge to employment opportunities in the arts that include education and training, including postsecondary education opportunities, for SWTCIE program participants in all genres of arts-based careers. This includes reaching students in arts high schools and in arts programs, reaching students who do not have access to arts curricula, and facilitating exposure to work-based learning experiences in the arts.

(2) Community Health/Wellness: Foster inclusion in community life and promote resilience and social engagement through CIE in the arts for SWTCIE program participants.

(3) Cultural Spaces: Create access to cultural spaces that provide STWCIE program participants with CIE opportunities in the



arts (for example, in theaters and performing arts venues; art, history, and children's museums; outdoor exhibit spaces such as parks, zoos, arboretums, aquariums, and recreational spaces), thereby leading to increased engagement between individuals with and without disabilities, more diversity within the arts, and empowerment for STWCIE program participants in the arts.

Topic Area 5 - Transportation Industry and Related Industry Workers.

According to the Bureau of Transportation Statistics (2022), "transportation industry" refers to the for-hire transportation and warehousing sector, including but not limited to air, rail, water, and truck transportation. "Transportation-related industries" refers to industries outside the for-hire transportation and warehousing sector, for example motor vehicle parts manufacturing and positions within Federal and State Departments of Transportation.

A project in this area will identify and implement innovative strategies to assist SWTCIE program participants to secure CIE as a worker within the transportation industry or transportation-related industries. A project in this topic area may align with the transportation aspects of the Infrastructure Investment and Jobs Act (2021).

Topic Area 6 - Field Initiated.

Field initiated projects will identify and implement innovative strategies that assist SWTCIE program participants to

secure CIE. A field initiated project may (1) address innovative topic areas not otherwise included in this notice, or (2) combine two or more topic areas described in this notice into one application.

Requirements:

The following requirements are established for the FY 2022 grant competition and any subsequent year in which we make awards from the list of unfunded applications from this competition, in accordance with section 437(d)(1) of GEPA.

Program and Project Application Requirements:

Under this priority, the model demonstration project must, at a minimum, meet the following program requirements. Applicants must describe, in a narrative section of the application, how the proposed project will meet these requirements.

(a) Develop, pilot, refine, and implement a collaborative model, representative of the partnerships with key staff in State VR agencies and partner programs; employers; local educational agencies (LEAs); State educational agencies (SEAs); community rehabilitation providers (CRPs); organizations and associations of, or representing, individuals with disabilities, students and youth with disabilities, parents, family members, guardians, and advocates, that can be used by State VR agencies and local VR providers to assist SWTCIE program participants.

- (1) *Develop the project.*

(i) Develop a collaborative model to assist SWTCIE program participants during the first year of the project.

(ii) Identify and collaborate with partners and stakeholders that have experience serving populations that are diverse with respect to, for example, socioeconomic status, race, ethnicity, culture, language, disability status, and gender.

(iii) Establish partnerships with State VR agencies; individuals with disabilities; community-based services and CRPs; appropriate employers, particularly employers representing the selected topic area(s); and other agencies and entities that are critical to the development and implementation of this project. These agencies and entities may include SEAs, LEAs, institutions of higher education, 14(c) certificate holders, workforce providers, support service providers, and on-the-job and customized training providers.

(iv) Develop a memorandum of understanding (MOU) with each partner that describes the specific roles and responsibilities. The MOU(s) with the described partners must be submitted to the Department prior to piloting the proposed project and revised, as necessary, when implementing the project.

(v) Serve diverse geographic regions, such as urban, suburban, rural, and Tribal communities, as applicable.

(vi) Identify and collaborate with a workgroup or committee that consists of the partnership with key staff in State VR agencies and partner programs; employers; LEAs; SEAs; CRPs;

organizations and associations of, or representing, individuals with disabilities, students and youth with disabilities, parents, family members, guardians, advocates, other Department-funded projects, and authorized representatives as directed by RSA. The purpose of the workgroup or committee is to advise the State VR agency on project development and implementation, and to identify and operationalize partner activities that may contribute to the success of SWTCIE program participants.

(vii) Train SWTCIE program participants and assist SWTCIE program participants in obtaining required credentials related to the identified topic areas, if applicable.

(viii) Identify and describe the services and supports that will be offered to support SWTCIE program participants in promoting, accessing, achieving, and maintaining CIE in the proposed topic area.

(2) *Pilot the project.*

(i) Pilot the project during the second year of the project period.

(ii) The pilot must be aimed at assessing, throughout the year, the crucial components of the full-scale project, including data collection and evaluation components, to determine whether components will be conducted as planned, or need to be altered.

(3) *Refine the project.*

(i) Include a process of continuous improvement to ensure that project activities are reviewed against the project's goals

and objectives and refined throughout years two, three, four, and five.

(ii) Refine the project through a process for securing feedback, through various methods (e.g., in-person, phone, virtual) from SWTCIE program participants, partners, and stakeholders, to ensure continuous improvement and refinement of the project throughout years two, three, four, and five.

(4) *Implement the project.* The implementation of the project must include collection of baseline data prior to the start of the project activities (year 1), the project pilot (year 2), refinement (years 2-5), and data collection and assessment of feedback on the plan and its impact (e.g., strengths and challenges) on transitioning SWTCIE program participants to CIE (years 2-5).

(b) Develop a workplan, to be included with the application, that addresses the following:

(1) Collection of baseline data prior to the start of project activities (year 1), design (year 1), pilot (year 2), refinement and implementation (years 2-5), data collection (years 2-5), stakeholder feedback (years 2-5), and evaluation on the project and its impact (e.g., strengths and challenges) (years 2-5) on assisting SWTCIE program participants;

(2) Identification of supports (e.g., transportation, financial planning) for SWTCIE program participants including the rationale for providing the supports (e.g., if a support has an

evidence base of improving CIE) and how the specific supports for each SWTCIE program participant will be determined (unless all participants receive the same supports);

(3) In consultation with the employee and their employer, identification of efficiencies within the employment setting that will be implemented to reduce burden, such as the use of modern information and communications technology for oversight and consultation, as an alternative to in-person meetings, as appropriate, and simplification of time-intensive process requirements;

(4) Identification of how SWTCIE program participants will be provided information and support services to assist in exercising informed choice regarding CIE options, including but not limited to participation in on-the-job training, job shadowing, and internships, to ensure that opportunities are identified based on SWTCIE program participants' choices and experiences toward achieving CIE outcomes;

(5) Identification and implementation of flexible customized employment strategies, such as flexible and alternative workplace solutions, for SWTCIE program participants, as appropriate;

(6) Development and provision of outreach and training to SWTCIE program participants and, as appropriate, their parents or guardians to address social inclusion, supported decision-making and alternatives to guardianship, fair wages and hours, skills

development, safe and healthy workplaces, and supports necessary for success (e.g., transportation, financial planning);

(7) Creation of a toolkit that will contribute to the assessment of SWTCIE program participants' ability to manage major life skills areas, and which will include a self-assessment component; resources (e.g., agencies and organizations that assist job seekers, job boards, training programs); and other information that can guide users to replicate practices, both promising and emerging;

(8) Creation and dissemination of project materials in a format that allows States to easily replicate effective innovative strategies. The materials must include information about the project throughout the life of the project (years 2-5), including, but not limited to, products created, reports, effective strategies, implementation challenges and strategies for avoiding or overcoming these challenges, evaluation findings, and other relevant information as directed by RSA.

(c) Develop and conduct an evaluation of the project's performance that documents the relationship between participants' engagement with or use of specific practices and strategies implemented by the project and key outcomes. Grantees must dedicate sufficient funds throughout the project period to cover the costs of developing, refining, and implementing the evaluation plan, as well as the costs associated with collaborating

throughout the period of performance with an independent evaluator identified by RSA.

In the narrative section of the application under "Quality of the project evaluation," applicants must include an evaluation plan for the project. The evaluation plan must--

(1) Identify formative and summative evaluation questions, including important process and outcome evaluation questions that align to the required project logic model.

(2) Describe how progress in and fidelity of implementation, as well as project outcomes, will be measured to answer the evaluation questions. Specify the measures and associated instruments or sources for data appropriate to the evaluation questions. Include information regarding reliability and validity of measures where appropriate.

(3) Describe strategies for analyzing data and how data collected as part of this project will be used to inform and refine the proposed logic model and evaluation plan, including subsequent data collection.

(4) Provide a timeline for conducting the evaluation and include staff assignments for completing the plan. The timeline must indicate that data will be available bi-annually for the annual performance report (October 1 - March 31) and end of year performance report (October 1 - September 30).



(5) Collect data regarding SWTCIE program participants, including but not limited to, demographics and regional information.

(6) Collect baseline data prior to the start of the project activities and, at a minimum, analyze the following data:

(i) Number of entities holding or with pending applications for a section 14(c) certificate in the project's State;

(ii) For SWTCIE program participants working for an entity holding a section 14(c) certificate in the project's State at VR application:

(A) Number that are employed at subminimum wage;

(B) Number that are employed in CIE;

(C) Number that are employed in more than one job, at least one for subminimum wage and another in CIE;

(D) Number of hours worked per week and hourly wage at subminimum wage;

(E) Number of hours worked per week and hourly wage in CIE;

(F) Number of hours worked per week and hourly wage in a combination of subminimum wage and CIE;

(iii) For SWTCIE program participants who are youths, including students, with disabilities:

(A) Number who are contemplating subminimum wage employment at VR application;

(B) Hourly wage at VR application;

(C) Number who are diverted from subminimum wage employment to CIE by VR case closure;

(iv) For SWTCIE program participants at VR case closure, with disaggregated data for youth, including students, with disabilities:

(A) Number that are employed at subminimum wage;

(B) Number that are employed in CIE;

(C) Number that are employed in more than one job, at least one for subminimum wage and another in CIE;

(D) Number that exit subminimum wage employment but do not obtain CIE;

(E) Number of hours worked per week and hourly wage at subminimum wage;

(F) Number of hours worked per week and hourly wage in CIE;

(G) Number of hours worked per week and hourly wage in a combination of subminimum wage and CIE;

(H) Data on the effectiveness of specific VR services provided to SWTCIE program participants that transition to CIE;

(I) VR services that were effective for SWTCIE program participants to transition from subminimum wage employment to CIE;

(J) Strategies that were effective for SWTCIE program participants to exit subminimum wage employment and obtain CIE;

(K) Strategies that were effective for SWTCIE program participants to transition from subminimum wage employment to a combination of subminimum wage employment and CIE;

(L) Strategies that were effective in transitioning from a combination of subminimum wage employment and CIE to CIE only;

(M) Strategies that helped to divert from considering subminimum wage employment; and

(N) Evaluate the relationship between SWTCIE program participants' engagement with or use of specific practices and strategies implemented by the project and key outcomes.

(7) Estimate the impact of the project on a relevant outcome.

(8) Make broadly available the results of any evaluation(s) conducted of funded activities, digitally and free of charge, through formal (e.g., peer reviewed journals) or informal (e.g., newsletters) mechanisms.

(9) Ensure that data from the grantee's evaluation are made available to third-party researchers consistent with applicable privacy requirements.

(10) Cooperate on an ongoing basis with any technical assistance provided by the Department or its contractor(s) and comply with the requirements of any evaluation of the program conducted by the Department.

General Application Requirements:

Applicants must identify the specific topic area (1, 2, 3, 4, 5, or 6) under which they are applying as part of the competition title on the application cover sheet (SF form 424, line 4).

Specific Application Requirements:

In addition to meeting the absolute priority, the program and project application requirements, and the general application requirements, all applicants must include the following in their applications:

(a) A detailed review of the literature that supports the potential effectiveness of the proposed project, its components, and processes to assist SWTCIE program participants to transition to CIE.

(b) A description of the defined geographic area or areas to be served by the project.

(c) A logic model that communicates how the demonstration project will achieve its outcomes and provides a framework for project evaluation. The logic model must--

(1) Describe, at a minimum, the goals, activities, outputs, and intended outcomes of the proposed model demonstration project; and

(2) Demonstrate how the proposed project components are intended to affect the project outcomes. Applicants must specifically note the proposed project activities that are supported by evidence that demonstrates a rationale and are depicted in the logic model.

(d) A description of the applicant's workplan, methods, and criteria for implementing the project.

(e) A cohesive, articulated model of partnership and coordination among the participating VR agencies, SEAs, LEAs, non-profit organizations, employers, and SWTCIE program participants.

(f) A description of how the applicant developed the project in coordination with the partnerships between key staff in State VR agencies and partner programs; employers; LEAs; SEAs; CRPs; organizations and associations of, or representing, individuals with disabilities, students and youth with disabilities, parents, family members, guardians, and advocates to ensure the proposed project reflects the needs of SWTCIE program participants.

(g) A description of the applicant's plan, methods, and criteria for implementing the project, including a cohesive, articulated model of coordination and collaboration among the identified agencies and organizations.

(h) How the proposed project will--

(1) Provide project information to potential SWTCIE program participants and stakeholders, including but not limited to, current and future employers, LEAs, and local and State VR agency representatives;

(2) Identify local workforce needs that are aligned with the topic area;

(3) Involve appropriate partners (e.g., employers, support providers, LEAs) in the project design;

(4) Provide technical assistance or other resources (e.g., trainings) to partners, participants, project staff, and others as appropriate;

(5) Collaborate with participating agencies and organizations; and

(6) Develop strategies and conduct outreach activities to identify potential SWTCIE program participants.

(i) Evidence, based on a needs assessment, of--

(1) The greatest barriers to obtaining CIE for SWTCIE program participants in the topic area addressed by the project;

(2) Opportunities in the local community to support SWTCIE program participants employed at subminimum wage to obtain CIE; and

(3) Other CIE practices, service providers, and funding sources.

(j) A project design and management plan that--

(1) Addresses one or more barriers to, or opportunities for, CIE in the topic area, as identified in the local needs assessment or other data analysis; and

(2) Uses a community-based strategy (or strategies) and measurable objectives for that strategy (or strategies) that can be used to measure progress toward the goal.

(k) Documentation, such as letters of support that would be updated to MOUs prior to piloting the proposed project, that identifies the responsibilities that identifies the

responsibilities of each partner in the project, including subminimum wage employers who will collaborate with the project efforts.

(l) Evidence that the applicant or one of its partners has demonstrated the capacity to improve outcomes that are relevant to the topic area through experience with programs funded through other sources.

(m) A description of who will be involved in developing and implementing the proposed activities.

(n) Information demonstrating that the proposed project is based on research, where applicable, or an existing program that has been modified to be appropriate for SWTCIE program participants.

(o) A description of whether the applicant's proposed project activities will be sustained beyond the grant performance period, and if so, how the applicant proposes to do so.

(p) A description of how the proposed project will conduct dissemination and coordination activities to ensure accessibility to a broad range of stakeholders interested in obtaining, adapting, or replicating best practices, or models developed and implemented by the project. To address this requirement, the applicant must describe how the proposed project will broadly disseminate project findings and knowledge gained, successful strategies demonstrated under the topic area to individuals with disabilities, parents, family members, guardians, advocates, and

authorized representatives, other Federal agencies, and other State and local VR agencies.

Note: All products produced by the grantees must meet government- and industry-recognized standards for accessibility, including section 508 of the Rehabilitation Act.

(q) A description of its approach for conducting coordination and collaboration activities. To meet this requirement, the applicant must describe how it will--

(1) Establish a community of practice in the topic area that focuses on the project's activities and acts as a vehicle for communication and exchange of information among SWTCIE program participants and other relevant stakeholders;

(2) Maintain ongoing communication with the RSA project officer and other RSA staff as required; and

(3) Communicate, collaborate, and coordinate, as appropriate, with key staff in State VR agencies and partner programs; employers; LEAs; SEAs; CRPs; organizations and associations of, or representing, individuals with disabilities, students and youth with disabilities, parents, family members, guardians, advocates, other Department-funded projects, and authorized representatives as directed by RSA.

(r) An assurance that the grantee will participate in ongoing discussions, facilitated by the Department, with the other projects funded under this competition concerning the development



of a data coordination plan that is common to all funded projects, including--

- (1) Evaluation questions;
- (2) Data collection instruments;
- (3) Synthesis and analysis of the data;
- (4) Acceptable variations across projects for the

measurement of implementation fidelity, model acceptability, and data reliability; and

- (5) Collaborative efforts to disseminate information about the models. Projects must share data with the Department in the process of implementing the data coordination plan, such as the organization of data, maintaining data integrity and security, and sorting and organizing databases;

Note: In addition to common data and instrumentation, applicants may propose in the application to collect and analyze data that are not commonly collected by all projects, but that support the refinement and implementation of their model demonstration project.

- (s) A description of the detailed documentation process that the applicant proposes to implement to permit model replication should the model be successful.

#### References

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Waiver of Proposed Rulemaking: Under the Administrative Procedure Act (5 U.S.C. 553), the Department generally offers interested parties the opportunity to comment on proposed priorities, selection criteria, definitions, and requirements. Section 437(d) (1) of GEPA, however, allows the Secretary to exempt from rulemaking requirements regulations governing the first grant competition under a new or substantially revised program

authority. This is the first grant competition for this program under the authority given in the Consolidated Appropriations Act, 2021, and, therefore, qualifies for this exemption. In order to ensure timely grant awards, the Secretary has decided to forego public comment on the priority, requirements, definitions, and selection criteria under section 437(d)(1) of GEPA. The priority, requirements, definitions, and selection criteria will apply to the FY 2022 grant competition and any subsequent year in which we make awards from the list of unfunded applications for this competition.

Definitions:

For the FY 2022 grant competition and any subsequent year in which we make awards from the list of unfunded applications from this competition, in accordance with section 437(d)(1) of GEPA, we establish definitions of "community of practice," "competitive integrated employment," "contemplating subminimum wage employment," "essential workers," "green jobs," "home and community-based service workers," "independent evaluation," "individual with a disability," "subminimum wage," "SWTCIE program participants," "transportation industries," "transportation-related industries," and "youth with a disability." The remaining definitions are from 34 CFR 77.1. The authority for each definition is noted following the text of the definition.

"Community of practice" means a group of people who work together to solve a persistent problem or to improve practice in

an area that is important to them and who deepen their knowledge and expertise by interacting on an ongoing basis. Communities of practice exist in many forms, some large in scale that deal with complex problems, others small in scale that focus on a problem at a very specific level. See <http://www.wintac.org/cop> for examples of communities of practice established through other RSA grants. (Section 437(d)(1) of GEPA.)

"Competitive integrated employment" means work that--

(i) Is performed on a full-time or part-time basis (including self-employment) and for which an individual is compensated at a rate that--

(A) Is not less than the higher of the rate specified in section 6(a)(1) of the Fair Labor Standards Act of 1938 (29 U.S.C. 206(a)(1)) or the rate required under the applicable State or local minimum wage law for the place of employment;

(B) Is not less than the customary rate paid by the employer for the same or similar work performed by other employees who are not individuals with disabilities and who are similarly situated in similar occupations by the same employer and who have similar training, experience, and skills; and

(C) In the case of an individual who is self-employed, yields an income that is comparable to the income received by other individuals who are not individuals with disabilities and who are self-employed in similar occupations or on similar tasks and who have similar training, experience, and skills; and

(D) Is eligible for the level of benefits provided to other employees; and

(ii) Is at a location--

(A) Typically found in the community; and

(B) Where the employee with a disability interacts for the purpose of performing the duties of the position with other employees within the particular work unit and the entire work site, and, as appropriate to the work performed, other persons (e.g., customers and vendors), who are not individuals with disabilities (not including supervisory personnel or individuals who are providing services to such employee) to the same extent that employees who are not individuals with disabilities and who are in comparable positions interact with these persons; and

(iii) Presents, as appropriate, opportunities for advancement that are similar to those for other employees who are not individuals with disabilities and who have similar positions. (Section 437(d)(1) of GEPA.)

"Contemplating subminimum wage employment" means that the SWTCIE project participant has in mind, as a probable though not certain intention, to enter subminimum wage employment. (Section 437(d)(1) of GEPA.)

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

(34 CFR 77.1.)

“Essential workers”<sup>3</sup> are those who conduct a range of operations and services that are typically essential to continue critical infrastructure operations. (Section 437(d)(1) of GEPA.)

“Green jobs”<sup>4</sup> are jobs in businesses that produce goods or provide services that benefit the environment or conserve natural resources or are jobs in which workers' duties involve making their establishment's production processes more environmentally friendly or use fewer natural resources. (Section 437(d)(1) of GEPA.)

“Home and community-based service (HCBS) workers”<sup>5</sup> are those who provide a type of person-centered care delivered in the home and community. A variety of health and human services can be provided. HCBS workers address the needs of people with functional limitations who need assistance with everyday activities, like getting dressed or bathing. HCBS workers often enable people to stay in their homes, rather than moving to a facility for care. (Section 437(d)(1) of GEPA.)

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3 U.S. Department of Homeland Security Cybersecurity; Infrastructure Security Agency. (2020, March 28). CISA guidance on essential critical infrastructure workers. Advisory Memorandum on Identification of Essential Critical Infrastructure Workers During COVID-19 Response. Retrieved December 2, 2021, from [https://www.cisa.gov/sites/default/files/publications/Version 3.0 CISA Guidance on Essential Critical Infrastructure Workers 1.pdf](https://www.cisa.gov/sites/default/files/publications/Version%203.0%20CISA%20Guidance%20on%20Essential%20Critical%20Infrastructure%20Workers%201.pdf).

4 U.S. Bureau of Labor Statistics. (n.d.). Overview of the BLS green jobs initiative. U.S. Bureau of Labor Statistics. Retrieved November 16, 2021, from <https://www.bls.gov/green/home.htm>.

5 Medicare and Medicaid Services, Home- and Community-Based Services, <https://www.cms.gov/Outreach-and-Education/American-Indian-Alaska-Native/AIAN/LTSS-TA-Center/info/hcbs>.

"Independent evaluation" means an evaluation that is designed and carried out independent of, and external to, the grantee but in coordination with any employees of the grantee who develop a process, product, strategy, or practice that is currently being implemented as part of the grant's activities. (Section 437(d)(1) of GEPA.)

"Individual with a disability" means an individual who --

(a) Has a physical or mental impairment that for such individual constitutes or results in a substantial impediment to employment; and

(b) Can benefit in terms of an employment outcome from vocational rehabilitation services provided pursuant to Title I, III, or VI of the Rehabilitation Act. (Section 437(d)(1) of GEPA.)

"Logic model" (also referred to as a theory of action) means a framework that identifies key project components of the proposed project (i.e., the active "ingredients" that are hypothesized to be critical to achieving the relevant outcomes) and describes the theoretical and operational relationships among the key project components and relevant outcomes. (34 CFR 77.1.)

"Project component" means an activity, strategy, intervention, process, product, practice, or policy included in a project. Evidence may pertain to an individual project component or to a combination of project components (e.g., training teachers



on instructional practices for English learners and follow-on coaching for these teachers). (34 CFR 77.1.)

“Relevant outcome” means the student outcome(s) or other outcome(s) the key project component is designed to improve, consistent with the specific goals of the program. (34 CFR 77.1.)

“Subminimum wage” means an amount less than the Federal minimum wage, as determined by the U.S. Department of Labor. (Section 437(d)(1) of GEPA.)

“SWTCIE program participants” means individuals with disabilities, including students and youth with disabilities, working at subminimum wage or contemplating subminimum wage employment with an entity holding a section 14(c) certificate, regardless of whether they have applied, or been determined eligible, for the VR program, or have a signed Individualized Plan for Employment. These participants must be willing to pursue opportunities in CIE. (Section 437(d)(1) of GEPA.)

“Transportation industries”<sup>6</sup> means industries related to the for-hire transportation and warehousing sector, such as air, rail, water, and truck transportation. (Section 437(d)(1) of GEPA.)

“Transportation-related industries”<sup>7</sup> means industries outside the for-hire transportation and warehousing sector, such as motor

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<sup>6</sup> Transportation Economic Trends: Transportation Employment - Industry ([www.bts.gov](http://www.bts.gov)).

<sup>7</sup> Transportation Economic Trends: Transportation Employment - Industry ([www.bts.gov](http://www.bts.gov)).

vehicle parts manufacturing and Federal and State Departments of Transportation. (Section 437(d)(1) of GEPA.)

"Youth(s) with a disability" means an individual(s) with a disability who is not--

(1) Younger than 14 years of age; and

(2) Older than 24 years of age.

(Section 437(d)(1) of GEPA.)

Program Authority: Consolidated Appropriations Act, 2021 (Pub. L. 116-260), 134 Stat. 1602.

Note: Projects will be awarded and must be operated in a manner consistent with the nondiscrimination requirements contained in Federal civil rights laws.

Applicable Regulations: (a) The Education Department General Administrative Regulations in 34 CFR parts 75, 77, 79, 81, 82, 84, 86, 97, 98, and 99. (b) The Office of Management and Budget Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) in 2 CFR part 180, as adopted and amended as regulations of the Department in 2 CFR part 3485. (c) The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) in 2 CFR part 200, as adopted and amended as regulations of the Department in 2 CFR part 3474.

## II. Award Information

Type of Award: Discretionary grants negotiated as cooperative agreements.

Estimated Available Funds: \$167,327,358.

Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2023 from the list of unfunded applications from this competition.

Estimated Range of Awards: \$3,548,387 to \$13,943,946 (frontloaded for the 60-month project period).

Estimated Average Size: \$8,971,973.

Maximum Award: We will not make an award exceeding \$13,943,946 for a single budget period of 60 months.

Estimated Number of Awards: 12 (if all awards are made at the maximum award amount) to 18 (if all awards are made at the estimated average size).

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

Project Period: Up to 60 months.

Note: The Final Performance Report must be completed and submitted by the end of the project period, September 30, 2027. Therefore, the proposed project must complete core project activities to allow sufficient time for the evaluation and final performance report to be completed and submitted by the end of the project period on September 30, 2027.

Note: Applicants under this competition are required to provide detailed budget information for the total grant period, including detailed budget information for each of the five years of the proposed project.

### III. Eligibility Information

1. Eligible Applicants: State VR agencies, excluding State VR agencies in States that have completely phased out subminimum wage employment.

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

b. Indirect Cost Rate Information: This program uses an unrestricted indirect cost rate. For more information regarding indirect costs, or to obtain a negotiated indirect cost rate, please see [www2.ed.gov/about/offices/list/ocfo/intro.html](http://www2.ed.gov/about/offices/list/ocfo/intro.html).

c. Administrative Cost Limitation: This program does not include any program-specific limitation on administrative expenses. All administrative expenses must be reasonable and necessary and conform to the Cost Principles described in 2 CFR part 200 subpart E of the Uniform Guidance.

Note: All administrative expenses incurred under the DIF program must be reasonable and necessary for the administration of the DIF program and must conform to the requirements of the Federal Cost Principles described in 2 CFR 200.403 through 200.405. This means that the administrative costs incurred must be necessary and reasonable for the performance of the DIF award and must be allocable to that award. Although in certain circumstances, participants served and services provided are the same under both the VR and DIF programs, these programs are separate and distinct Federal programs with separate and distinct funding streams and

requirements. As such, when allocating administrative costs between the DIF and VR programs, grantees must allocate the costs in accordance with the requirements of 2 CFR 200.405. This means that both VR and DIF program funds could be used to pay administrative costs associated with staff time providing services; however, with respect to those administrative activities limited to the DIF program, such as submitting progress reports, grantees must use only DIF program funds (or other State funds) to pay these costs. VR program funds and non-Federal funds used for match under the VR program can only pay for allowable costs under the VR program, including administrative costs, in accordance with 2 CFR 200.403 through 200.405.

3. Subgrantees: Under the Consolidated Appropriations Act, 2021, a grantee under this competition may award subgrants for a portion of the funds to other public and private, nonprofit entities to directly carry out project activities described in the grantee's application. Under 34 CFR 75.708(b) and (c), a grantee under this competition may award subgrants--to directly carry out project activities described in its application--to the following types of entities: public and private, non-profit entities, LEAs, SEAs, and institutions of higher education. The grantee may award subgrants to entities it has identified in an approved application.

#### IV. Application and Submission Information

1. Application Submission Instructions: Applicants are required to follow the Common Instructions for Applicants to Department of Education Discretionary Grant Programs, published in the *Federal Register* on December 27, 2021 (86 FR 73264) and available at [www.federalregister.gov/d/2021-27979](http://www.federalregister.gov/d/2021-27979), which contain requirements and information on how to submit an application. Please note that these Common Instructions supersede the version published on February 13, 2019, and, in part, describe the transition from the requirement to register in SAM.gov a DUNS number to the implementation of the UEI. More information on the phase-out of DUNS numbers is available at <https://www2.ed.gov/about/offices/list/fofo/docs/unique-entity-identifier-transition-fact-sheet.pdf>.

2. Submission of Proprietary Information: Given the types of projects that may be proposed in applications for the Disability Innovation Fund, your application may include business information that you consider proprietary. In 34 CFR 5.11 we define "business information" and describe the process we use in determining whether any of that information is proprietary and, thus, protected from disclosure under Exemption 4 of the Freedom of Information Act (5 U.S.C. 552, as amended).

Because we plan to make successful applications available to the public, you may wish to request confidentiality of business information.

Consistent with Executive Order 12600, please designate in your application any information that you believe is exempt from disclosure under Exemption 4. In the appropriate Appendix section of your application, under "Other Attachments Form," please list the page number or numbers on which we can find this information. For additional information please see 34 CFR 5.11(c).

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

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

5. Recommended Page Limit: The application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. We recommend that you (1) limit the application narrative to no more than 45 pages and (2) use the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.

- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.

- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).

- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.

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

## V. Application Review Information

1. Selection Criteria: The selection criteria for this competition are from 34 CFR 75.210 or are established for the FY 2022 grant competition and any subsequent year in which we make awards from the list of unfunded applications from this competition, in accordance with section 437(d)(1) of GEPA, and are as follows:

(a) Need for project and significance of the project (10 points)

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

(2) In determining the need for the proposed project and the significance of the proposed project, the Secretary considers the following factors:

(i) The national significance of the proposed project.



(ii) The magnitude of the need for the services to be provided or the activities to be carried out by the proposed project.

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

(b) Quality of the project design (20 points)

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

(2) In determining the quality of the design of the proposed project, the Secretary considers the following factors:

(i) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.

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

(iii) The extent to which the results of the proposed project are to be disseminated in ways that will enable others to use the information or strategies.

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

(v) The extent to which performance feedback and continuous improvement are integral to the design of the proposed project.

(c) Quality of project services (20 points)

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

(2) In determining the quality of services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

(3) In addition, the Secretary considers the following factors:

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

(ii) The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services.

(iii) The likely impact of the services to be provided by the proposed project on the intended recipients of those services.

(iv) The likelihood that the services to be provided by the proposed project will lead to improvements in skills necessary to obtain CIE.

(d) Quality of the project evaluation (20 points)

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

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

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

(ii) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.

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

(iv) The extent to which the methods of evaluation will, if well implemented, produce promising evidence (as defined in 34 CFR 77.1(c)) about the project's effectiveness.

(e) Quality of project personnel (15 points)

(1) The Secretary considers the quality of the personnel who will carry out the proposed project.

(2) In determining the quality of project personnel, Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

(3) In addition, the Secretary considers the following factors:

(i) The qualifications, including relevant training and experience, of the project director or principal investigator.

(ii) The qualifications, including relevant training and experience, of key project personnel.

(iii) The extent to which the time commitments of the project director and principal investigator and other key personnel are appropriate and adequate to meet the objectives of the proposed project.

(f) Adequacy of resources (15 points)

(1) The Secretary considers the adequacy of resources for the proposed project.

(2) In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:

(i) The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project.

(ii) The extent to which the costs are reasonable in relation to the number of persons to be served and to the anticipated results and benefits.

(iii) The potential for the incorporation of project purposes, activities, or benefits into the ongoing program of the agency or organization at the end of the Federal funding.

(iv) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization.

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

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

3. Risk Assessment and Specific Conditions: Consistent with 2 CFR 200.206, before awarding grants under this competition the Department conducts a review of the risks posed by applicants. Under 2 CFR 200.208, the Secretary may impose specific conditions and, under 2 CFR 3474.10, in appropriate circumstances, high-risk conditions on a grant if the applicant or grantee is not financially stable; has a history of unsatisfactory performance; has a financial or other management system that does not meet the standards in 2 CFR part 200, subpart D; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

4. Integrity and Performance System: If you are selected under this competition to receive an award that over the course of the project period may exceed the simplified acquisition threshold (currently \$250,000), under 2 CFR 200.206(a)(2) we must make a judgment about your integrity, business ethics, and record of performance under Federal awards--that is, the risk posed by you as an applicant--before we make an award. In doing so, we must consider any information about you that is in the integrity and performance system (currently referred to as the Federal Awardee Performance and Integrity Information System (FAPIIS)), accessible through the System for Award Management. You may review and comment on any information about yourself that a Federal agency previously entered and that is currently in FAPIIS.

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

5. In General: In accordance with the Office of Management and Budget's guidance located at 2 CFR part 200, all applicable Federal laws, and relevant Executive guidance, the Department will review and consider applications for funding pursuant to this notice inviting applications in accordance with:

(a) Selecting recipients most likely to be successful in delivering results based on the program objectives through an objective process of evaluating Federal award applications (2 CFR 200.205);

(b) Prohibiting the purchase of certain telecommunication and video surveillance services or equipment in alignment with section 889 of the National Defense Authorization Act of 2019 (Pub. L. No. 115–232) (2 CFR 200.216);

(c) Providing a preference, to the extent permitted by law, to maximize use of goods, products, and materials produced in the United States (2 CFR 200.322); and

(d) Terminating agreements in whole or in part to the greatest extent authorized by law if an award no longer effectuates the program goals or agency priorities (2 CFR 200.340).

## VI. Award Administration Information

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

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

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

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

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



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

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

(c) Under 34 CFR 75.250(b), the Secretary may provide a grantee with additional funding for data collection and reporting. In this case, the Secretary establishes a data collection period.

5. Performance Measures: For this competition, the Department has established the following performance measures for the purpose of Department reporting under 34 CFR 75.110.

(a) The percent of project participants who transition from subminimum wage employment to CIE; and

(b) The percent of project participants who are contemplating subminimum wage employment for the first time but are redirected to CIE.

These performance measures are consistent with, and included in, the performance measures in paragraphs (c) (5) and (6) of the Program and Project Application Requirements.

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

In making a continuation award, the Secretary also considers whether the grantee is operating in compliance with the assurances in its approved application, including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

#### VII. Other Information

Accessible Format: On request to the program contact person listed under FOR FURTHER INFORMATION CONTACT, individuals with disabilities can obtain this document and a copy of the

application package in an accessible format. The Department will provide the requestor with an accessible format that may include Rich Text Format (RTF) or text format (txt), a thumb drive, an MP3 file, braille, large print, audiotape, or compact disc, or other accessible format.

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

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

Dated:

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Katherine Neas,  
*Deputy Assistant Secretary.*  
*Delegated the authority to perform the*  
*functions and duties of the Assistant*  
*Secretary for the Office of Special*  
*Education and*  
*Rehabilitative Services*

# Section C

## Selection Criteria for Applications

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## **SELECTION CRITERIA FOR APPLICATIONS**

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The Secretary uses the following selection criteria taken from 34 CFR 75.210 to evaluate applications for new grants under this competition. The maximum score for all of these criteria is 100 points. The maximum score for each criterion is indicated in parentheses. as no points are assigned to the selected factors, the Secretary evaluates each factor within each criterion equally.

The criteria are--

### **(a) Need for project and significance of the project (10 points)**

- (1) The Secretary considers the need for the proposed project and the significance of the proposed project.
- (2) In determining the need for the proposed project and the significance of the proposed project, the Secretary considers the following factors:
  - (i) The national significance of the proposed project.
  - (ii) The magnitude of the need for the services to be provided or the activities to be carried out by the proposed project.
  - (iii) The extent to which the proposed project is likely to build local capacity to provide, improve, or expand services that address the needs of the target population.

### **(b) Quality of the project design (20 points)**

- (1) The Secretary considers the quality of the design of the proposed project.
- (2) In determining the quality of the design of the proposed project, the Secretary considers the following factors:
  - (i) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.
  - (ii) The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice.
  - (iii) The extent to which the results of the proposed project are to be disseminated in ways that will enable others to use the information or strategies.
  - (iv) The extent to which the proposed project represents an exceptional approach to the priority or priorities established for the competition.
  - (v) The extent to which performance feedback and continuous improvement are integral to the design of the proposed project.

### **(c) Quality of project services (20 points)**

- (1) The Secretary considers the quality of the services to be provided by the proposed project.
- (2) In determining the quality of services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.
- (3) In addition, the Secretary considers the following factors:
  - (i) The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project

services.

(ii) The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services.

(iii) The likely impact of the services to be provided by the proposed project on the intended recipients of those services.

(iv) The likelihood that the services to be provided by the proposed project will lead to improvements in skills necessary to obtain CIE.

**(d) Quality of the project evaluation** **(20 points)**

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

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

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

(ii) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.

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

(iv) The extent to which the methods of evaluation will, if well implemented, produce promising evidence (as defined in 34 CFR 77.1(c)) about the project's effectiveness.

**(e) Quality of project personnel** **(15 points)**

(1) The Secretary considers the quality of the personnel who will carry out the proposed project.

(2) In determining the quality of project personnel, Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

(3) In addition, the Secretary considers the following factors:

(i) The qualifications, including relevant training and experience, of the project director or principal investigator.

(ii) The qualifications, including relevant training and experience, of key project personnel.

(iii) The extent to which the time commitments of the project director and principal investigator and other key personnel are appropriate and adequate to meet the objectives of the proposed project.

**(f) Adequacy of resources** **(15 points)**

(1) The Secretary considers the adequacy of resources for the proposed project.

(2) In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:

(i) The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project.

(ii) The extent to which the costs are reasonable in relation to the number of persons to be served and to the anticipated results and benefits.

(iii) The potential for the incorporation of project purposes, activities, or benefits into the ongoing program of the agency or organization at the end of the Federal funding.

(iv) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization.

# Section D

## Application Transmittal Instructions

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## **IMPORTANT – PLEASE READ FIRST**

U.S. Department of Education

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

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

#### **Browser Support**

The latest versions of Microsoft Internet Explorer (IE), Mozilla Firefox, Google Chrome, and Apple Safari are supported for use with Grants.gov. However, these web browsers undergo frequent changes and updates, so we recommend you have the latest version when using Grants.gov. Legacy versions of these web browsers may be functional, but you may experience issues. Grants.gov no longer provides support for Microsoft Internet Explorer 9 or below.

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

#### **ATTENTION – Workspace, Adobe Forms and PDF Files**

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

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities, refer to:

<https://www.grants.gov/web/grants/applicants/workspace-overview.html>

- 1) **Create a Workspace:** Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
- 2) **Complete a Workspace:** Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.

a. Adobe Reader: If you decide not to apply by filling out web forms you can download individual PDF forms in Workspace. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at:

<https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>

b. Mandatory Fields in Forms: In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.

c. Complete SF-424 Fields First: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and Unique Entity Identifier (UEI) Number. Once it is completed, the information will transfer to the other forms.

- 3) Submit a Workspace: An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.
- 4) Track a Workspace Submission: After successfully submitting a workspace application, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

For additional training resources, including video tutorials, refer to

<https://www.grants.gov/web/grants/applicants/applicant-training.html>.

## Helpful Reminders

- 1) **REGISTER EARLY** – Grants.gov registration involves many steps including registration on SAM ([www.sam.gov](http://www.sam.gov)), which usually takes approximately 7 to 10 business days, but can take longer depending on 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>. Please note that your organization will need to update its SAM registration annually.

Information about SAM is available at [www.SAM.gov](http://www.SAM.gov). To further assist you with registering in SAM or updating your existing SAM registration, see the [Quick Start Guide for Grant Registrations](#) and the Entity Registration Video at <https://sam.gov/content/entity-registration>.

- 2) **UEI TRANSITION AND SAM MAINTENANCE:** SAM.gov will be down for maintenance to complete the transition to UEI from DUNS beginning on April 1, 2022, at 8:00 PM (ET) until no later than 9:00 AM (ET) April 4, 2022. March 29, 2022, is the last day to obtain a new DUNS Number from Dun and Bradstreet for registering an entity or getting a UEI. After April 4, 2022, entities will go to SAM.gov, not Dun and Bradstreet, to obtain their UEI. April 1, 2022, at 8:00 p.m. ET is the last day and time you can use a DUNS Number to get a UEI or register an entity in SAM.gov.

To register in SAM.gov, click on the “Get Started” link under the “Register Your Entity...” heading in SAM.gov. Grantees, and other entities wanting to do business with the U.S. Department of Education (e.g., entities applying for a grant), that are not already registered in SAM.gov must complete the “Register Entity” registration option and NOT the “Get a Unique Entity ID” option. The “Get a Unique Entity ID” option, which is not a full registration, is only available to entities for reporting purposes. Failing to complete the “Register Entity” option may result in loss of funding, loss of applicant eligibility, and/or delays in receiving a grant award.

- 3) **SUBMIT EARLY – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded.** The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully to Grants.gov before 11:59:59 p.m. Eastern Time on the deadline date.

**Note: If you registered in SAM prior to April 4, 2022, and submit your application before April 4, 2022, 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 in SAM. If you do not include the same DUNS number assigned by SAM on your application as the DUNS you registered with, Grants.gov will reject your application.**

**To submit successfully beginning on April 4, 2022, you must provide the UEI on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This UEI is assigned to your organization in SAM at the time your organization registers in SAM, when that registration occurs after April 4, 2022. If you do not enter the UEI assigned by SAM on your application, Grants.gov will reject your application.**

- 4) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov received your application submission on time and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 11:59:59 p.m. Eastern Time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned. Once the Department of Education receives your application from Grants.gov, an Agency Tracking Number (PR/award number) will be assigned to your application and will be available for viewing on Grants.gov's Track My Application link.

If the date/time received is later than 11:59:59 p.m. Eastern Time, on the deadline date, your application is late. If your application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: <http://www.grants.gov/web/grants/applicants/encountering-error-messages.html>. For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Software Tip Sheet at: <http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

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

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

We discourage paper applications, but if electronic submission is not possible ( e.g., you do not have access to the internet), (1) you must provide a prior written notification that you intend to submit a paper application and (2) your paper application must be postmarked by the application deadline date. If you submit your prior written notification by email, it must be received by the Department no later than 14 calendar days before the application deadline date. If you mail your notification to the Department, it must be postmarked no later than 14 calendar days before the application deadline date (See the [2021 Common Instructions](#) for detailed instructions regarding this procedure).

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

Please go to <http://www.grants.gov/web/grants/support.html> for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Applicant FAQs found at this Grants.gov link:

<http://www.grants.gov/web/grants/applicants/applicant-fags.html> as well as additional information on Workspace at <https://www.grants.gov/web/grants/applicants/applicant-fags.html#workspace>.

### **Slow Internet Connections**

When using a slow internet connection, such as 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. Failure to fully upload an application by the deadline date and time will result in your application being marked late in the G5 system. **If you do not have access to a high-speed internet connection, 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 14 calendar days before the application deadline date.** (See the Federal Register notice for detailed instructions and the [2021 Common Instructions](#).)

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

Please note the following tips related to attaching files to your application:

- When you submit your application electronically, you must upload any narrative sections and all other attachments to your application as files in either Portable Document Format (PDF) or Microsoft Word. Although applicants have the option of uploading any narrative sections and all other attachments to their application in either PDF or Microsoft Word, we **recommend** applicants submit all documents as read-only flattened PDFs, meaning any fillable PDF files must be saved and submitted as non-fillable PDF files and not as interactive or fillable PDF files, to better ensure applications are processed in a more timely, accurate, and efficient manner.
- Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
- When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded file names must be fewer than 50 characters, and, in general, applicants should not use any special characters. However, Grants.gov does allow for the following UTF-8 characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.
- Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package with all

attachments is less than 5 MB. Therefore, you may want to check the total size of your package before submission.

# Section E

## Application Abstract Instructions

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## PROJECT ABSTRACT

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Applicants are required to submit a **one-page** project abstract with their application. The abstract must include the following information:

1. **Name of Applicant** (agency or institution applying for award, not the individual submitting the application)
2. **City and State** where the agency or institution is located
3. **The Congressional District** where the agency or institution is located (number)
4. **Name of the Project Director and Contact Information** and the **Percentage of Time** the Project Director will manage the project or **level of effort (LOE)**.

Questions regarding the project abstract or any other components of the application should be directed to the competition manager before the closing date.



# Section F

## Application Forms

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**U.S. Department of Education  
Office of Special Education and Rehabilitative Services  
Rehabilitation Services Administration**

## **INSTRUCTIONS FOR AN APPLICATION FOR FEDERAL ASSISTANCE**

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### **(Nonconstruction Programs)**

The enclosed forms shall be used by all applicants for Federal Assistance under all Rehabilitation Services Administration programs. A separate application must be submitted for each grant sought. No grant may be awarded unless the completed application forms have been received. If an item does not appear to be relevant to the assistance requested, write "NA" for not applicable.

This application consists of six parts. These parts are organized in the same manner that the submitted application should be organized. These parts are as follows:

<b>Part I</b>	Federal Assistance Application Face Page (SF-424)
<b>Part II</b>	Budget Information (ED 524)
<b>Part III</b>	Program Narrative
<b>Part IV</b>	Grant Application Form for Project Objectives and Performance Measures Information
<b>Part V</b>	Evidence Form (optional)
<b>Part VI</b>	Certifications and Disclosures

Electronic submission requires that narratives and other files be attached to the following attachment forms as per the instruction in this document such as:

- One-page abstract must be attached to the "Department of Education Abstract Form"
- Program narratives must be attached to the "Program Narrative Attachment Form"
- Budget narratives must be attached to the "Budget Narrative Attachment Form"
- All vitas, table of contents, letters, certifications, supplementary statements, and other requested appendices must be attached to the "Other Attachment Form"

**NOTE:** Please do not attach any narratives, supporting files or application components to the Standard Form (SF-424). Although this form accepts attachments, the Department of Education will only review materials/files attached to the attachment forms listed above.

Each submitted application must include an index or table of contents and a one-page project abstract. Pages should be consecutively numbered.

According to the Paperwork Reduction Act of 1995, 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 1820-0018. The time required to complete this information collection is estimated to average 40 hours per response, including the time to review instructions, search existing data resources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

Under terms of the Paperwork Reduction Act of 1995, as amended, and the regulations implementing that Act, the Department of Education invites comment on the public reporting burden in this collection of information. You may send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the:

U.S. Department of Education  
Information Management and Compliance Division  
Washington, DC 20202-4651

APPLICATION FOR FEDERAL ASSISTANCE SF-424	
<b>*1. Type of Submission:</b> <input type="checkbox"/> Preapplication <input type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	<b>*2. Type of Application:</b> * If Revision, select appropriate letter(s): <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision  *Other (Specify): _____
<b>* 3. Date Received:</b> <small>Completed by Grants.gov upon submission</small>	<b>4. Applicant Identifier:</b>
<b>5a. Federal Entity Identifier:</b>	<b>*5b. Federal Award Identifier:</b>
<b>State Use Only:</b>	
<b>6. Date Received by State:</b>	<b>7. State Application Identifier:</b>
<b>8. APPLICANT INFORMATION:</b>	
<b>*a. Legal Name:</b> _____	
<b>*b. Employer/Taxpayer Identification Number (EIN/TIN):</b> _____	<b>*c. Organizational DUNS:</b> _____
<b>d. Address:</b>	
<b>*Street 1:</b>	_____
Street 2:	_____
<b>*City:</b>	_____
County/Parish:	_____
<b>*State:</b>	_____
Province:	_____
<b>*Country:</b>	_____
<b>*Zip / Postal Code:</b>	_____
<b>e. Organizational Unit:</b>	
Department Name:	Division Name:
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>	
Prefix: _____	<b>*First Name:</b> _____
Middle Name: _____	
<b>*Last Name:</b> _____	
Suffix: _____	
Title:	
Organizational Affiliation:	

**APPLICATION FOR FEDERAL ASSISTANCE SF-424**

\*Telephone Number:

Fax Number:

\*Email:

**9. Type of Applicant 1: Select Applicant Type:**

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\*Other (Specify)

**\*10 Name of Federal Agency:**

**11. Catalog of Federal Domestic Assistance Number:**

\_\_\_\_\_

CFDA Title:

\_\_\_\_\_

**\*12 Funding Opportunity Number:**

\*Title:

**13. Competition Identification Number:**

\_\_\_\_\_

Title:

\_\_\_\_\_

**APPLICATION FOR FEDERAL ASSISTANCE SF-424**

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

**\*15. Descriptive Title of Applicant's Project:**

Attach supporting documents as specified in agency instructions.

**16. Congressional Districts Of:**

\*a. Applicant:

\*b. Program/Project:

Attach an additional list of Program/Project Congressional Districts if needed.

**17. Proposed Project:**

\*a. Start Date:

\*b. End Date:

**18. Estimated Funding (\$):**

*a. Federal	<div style="border: 2px solid red; width: 160px; height: 15px;"></div>
*b. Applicant	<div style="border: 2px solid red; width: 160px; height: 15px;"></div>
*c. State	<div style="border: 2px solid red; width: 160px; height: 15px;"></div>
*d. Local	<div style="border: 2px solid red; width: 160px; height: 15px;"></div>
*e. Other	<div style="border: 2px solid red; width: 160px; height: 15px;"></div>
*f. Program Income	<div style="border: 2px solid red; width: 160px; height: 15px;"></div>
*g. TOTAL	<div style="border: 2px solid red; width: 160px; height: 15px;"></div>

**\*19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on \_\_\_\_\_
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

**\*20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

- Yes       No

If "Yes", provide explanation and attach.

**21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\***

**APPLICATION FOR FEDERAL ASSISTANCE SF-424**

and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U. S. Code, Title 218, Section 1001)

\*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix: \_\_\_\_\_ \*First Name:

Middle Name: \_\_\_\_\_

\*Last Name:

Suffix: \_\_\_\_\_

\*Title:

\*Telephone Number:  Fax Number: \_\_\_\_\_

\* Email:

\*Signature of Authorized Representative:  Completed by Grants.gov upon submission

\*Date Signed:  Completed by Grants.gov upon submission

## INSTRUCTIONS FOR THE SF-424

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

Item	Entry:
1.	<p><b>Type of Submission:</b> (Required) Select one type of submission in accordance with agency instructions.</p> <ul style="list-style-type: none"> <li><input type="radio"/> <b>Pre-application</b></li> <li><input type="radio"/> <b>Application</b></li> <li><input type="radio"/> <b>Changed/Corrected Application</b>—Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date.</li> </ul>
2.	<p><b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions.</p> <ul style="list-style-type: none"> <li><input type="radio"/> <b>New</b>—An application that is being submitted to an agency for the first time.</li> <li><input type="radio"/> <b>Continuation</b> - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li><input type="radio"/> <b>Revision</b> - 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. "f "Other" is selected, please specify in text box provided. <ul style="list-style-type: none"> <li>A. Increase Award</li> <li>B. Decrease Award</li> <li>C. Increase Duration</li> <li>D. Decrease Duration</li> <li>E. Other (specify)</li> </ul> </li> </ul>
3.	<p><b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.</p>
4.	<p><b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or the applicant's control number if applicable.</p>
5.	<p><b>a. Federal Entity Identifier:</b> Enter the number assigned to your organization by the federal agency, if any.</p> <p><b>B .Federal Award Identifier:</b> For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.</p>
6.	<p><b>Date Received by State:</b> Leave this field blank. This date will be assigned by the state, if applicable.</p>
7.	<p><b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the state, if applicable.</p>

Item	Entry:		
8.	<p><b>Applicant Information:</b> Enter the following in accordance with agency instructions:</p> <p><b>a. Legal Name:</b> (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a>.</p> <p><b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.</p> <p><b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a>.</p> <p><b>d. Address:</b> Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).</p> <p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.</p> <p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.</p>		
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> </td> <td style="width: 50%; vertical-align: top;"> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p> <p>M. Nonprofit</p> <p>N. Private Institution of Higher Education</p> <p>O. Individual</p> <p>P. For-Profit Organization (Other than Small Business)</p> <p>Q. Small Business</p> <p>R. Hispanic-serving Institution</p> <p>S. Historically Black Colleges and Universities (HBCUs)</p> <p>T. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>U. Alaska Native and Native Hawaiian Serving Institutions</p> <p>V. Non-US Entity</p> <p>W. Other (specify)</p> </td> </tr> </table>	<p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p>	<p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p> <p>M. Nonprofit</p> <p>N. Private Institution of Higher Education</p> <p>O. Individual</p> <p>P. For-Profit Organization (Other than Small Business)</p> <p>Q. Small Business</p> <p>R. Hispanic-serving Institution</p> <p>S. Historically Black Colleges and Universities (HBCUs)</p> <p>T. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>U. Alaska Native and Native Hawaiian Serving Institutions</p> <p>V. Non-US Entity</p> <p>W. Other (specify)</p>
<p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p>	<p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p> <p>M. Nonprofit</p> <p>N. Private Institution of Higher Education</p> <p>O. Individual</p> <p>P. For-Profit Organization (Other than Small Business)</p> <p>Q. Small Business</p> <p>R. Hispanic-serving Institution</p> <p>S. Historically Black Colleges and Universities (HBCUs)</p> <p>T. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>U. Alaska Native and Native Hawaiian Serving Institutions</p> <p>V. Non-US Entity</p> <p>W. Other (specify)</p>		
10.	<p><b>Name Of Federal Agency:</b> (Required) Enter the name of the federal agency from which assistance is being requested with this application.</p>		
11.	<p><b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.</p>		
12.	<p><b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.</p>		
13.	<p><b>Competition Identification Number/Title:</b> Enter the competition identification number and title of the competition under which assistance is requested, if applicable.</p>		
14.	<p><b>Areas Affected By Project:</b> This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.</p>		



Item	Entry:
15.	<p><b>Descriptive Title of Applicant's Project:</b> (Required)  Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.</p>
16.	<p><b>Congressional Districts Of:</b> 15a. (Required)  Enter the applicant's congressional district. 15b. 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.</p>
17.	<p><b>Proposed Project Start and End Dates:</b> (Required)  Enter the proposed start date and end date of the project.</p>
18.	<p><b>Estimated Funding:</b> (Required)  Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.</p>
19.	<p><b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> (Required)  Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.</p>
20.	<p><b>Is the Applicant Delinquent on any Federal Debt?</b>  (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.</p>
21.	<p><b>Authorized Representative:</b>  To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)</p>

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# SUPPLEMENTAL INFORMATION REQUIRED FOR THE DEPARTMENT OF EDUCATION

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## 1. Project Director:

Name: \_\_\_\_\_  
Prefix: \_\_\_\_\_  
\*First Name: \_\_\_\_\_  
Middle Name: \_\_\_\_\_  
\*Last Name: \_\_\_\_\_  
Suffix: \_\_\_\_\_

### Address

\*Street1: \_\_\_\_\_  
Street2: \_\_\_\_\_  
\*City: \_\_\_\_\_  
County: \_\_\_\_\_  
\*State: \_\_\_\_\_ \*Zip Code: \_\_\_\_\_ \*Country: \_\_\_\_\_

\*Phone Number (give area code): \_\_\_\_\_  
Fax Number (give area code): \_\_\_\_\_  
E-mail Address: \_\_\_\_\_

---

## 2. Applicant Experience:

Novice Applicant?: Yes  No  Not applicable to this program

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## 3. Human Subjects Research:

Are any research activities involving human subjects planned at any time during the proposed project Period? Yes   
No

Are ALL the research activities proposed designated to be exempt from the regulations? Yes  Provide Exemption(s) #:  
No  Provide Assurance #, if available:

Please attach an explanation narrative:

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# Instructions for Department of Education Supplemental Information for SF 424

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## 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 Form 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 Form 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.

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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

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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 1820-0018. Public reporting burden for this collection of information is estimated to average 40 hours per response, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. The obligation to respond to this collection is required to obtain or retain a benefit (P.L. 93-112 or 16-260). If you have comments or concerns regarding the status of your individual submission of this application please contact the Program Office address/contact information identified in the Notice Inviting Applications directly. (Note: Please do not return the completed application to this address.)

**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, 400 Maryland Avenue, SW, Washington, DC 20202-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1820-0018.

**If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Rehabilitation Services Administration (RSA) Discretionary Grant Programs, Office of Special Education and Rehabilitative Services, U.S. Department of Education, 400 Maryland Avenue, SW, Potomac Center Plaza, room 5071C, Washington D.C. 20202-2800.

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# DEFINITIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

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(Attachment to Instructions for Supplemental Information for SF 424)

## DEFINITIONS

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### 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

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### 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.

the protection of human subjects in research are available from:

Grants Policy and Oversight Staff  
Office of the Chief Financial Officer  
U.S. Department of Education  
Washington, DC 20202-4250

Telephone: 202-245-6120

This is also available on the U.S. Department of Education's Protection of Human Subjects in Research [Web Site](#):

[www.ed.gov/about/offices/list/OCFO/humansub.html](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).

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on





**\*Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

- (1) Do you have an Indirect Cost Rate Agreement approved by the Federal government?  Yes  No.
- (2) If yes, please provide the following information and provide a copy of your Indirect Cost Rate Agreement:  
Period Covered by the Indirect Cost Rate Agreement: From: \_\_\_/\_\_\_/\_\_\_\_\_ To: \_\_\_/\_\_\_/\_\_\_\_\_ (mm/dd/yyyy)  
Approving Federal agency:  ED  Other (please specify): \_\_\_\_\_ The Indirect Cost Rate is \_\_\_\_\_%
- (3) If this is your first Federal grant, and you do not have an approved indirect cost rate agreement, are not a State, Local government or Indian Tribe, and are not funded under a training rate program or a restricted rate program, do you want to use the de minimis rate of 10% of MTDC?  Yes  No. If yes, you must comply with the requirements of 2 CFR § 200.414(f).
- (4) If you do not have an approved indirect cost rate agreement, do you want to use the temporary rate of 10% of budgeted salaries and wages?  Yes  No. If yes, you must submit a proposed indirect cost rate agreement within 90 days after the date your grant is awarded, as required by 34 CFR § 75.560.
- (5) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:  Is included in your approved Indirect Cost Rate Agreement?  
Or  Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is \_\_\_\_\_%
- (6) For Training Rate Programs (check one) -- Are you using a rate that:  Is based on the training rate of 8 percent of MTDC (See EDGAR § 75.562(c)(4))? Or  Is included in your approved Indirect Cost Rate Agreement, because it is lower than the training rate of 8 percent of MTDC (See EDGAR § 75.562(c)(4)).

Name of Applicant Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION B - BUDGET SUMMARY  
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Project Year 6 (f)	Project Year 7 (g)	Total (h)
1. Personnel								
2. Fringe Benefits								
3. Travel								
4. Equipment								
5. Supplies								
6. Contractual								
7. Construction								
8. Other								
9. Total Direct Costs (Lines 1-8)								
10. Indirect Costs *Enter Rate Applied:								
11. Training Stipends								
12. Total Costs (Lines 9-11)								

**SECTION C – BUDGET NARRATIVE** (see instructions)



## Instructions for ED 524

### General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. You may access the Education Department General Administrative Regulations cited within these instructions at: [https://www.ecfr.gov/cgi-bin/text-idx?SID=0b63ce6f20caccbf480e5596fdf289e3&mc=true&tpl=/ecfrbrowse/Title34/34cfr75\\_main\\_02.tpl](https://www.ecfr.gov/cgi-bin/text-idx?SID=0b63ce6f20caccbf480e5596fdf289e3&mc=true&tpl=/ecfrbrowse/Title34/34cfr75_main_02.tpl). You may access requirements from 2 CFR 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards" cited within these instructions at: [https://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](https://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl).

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

Line 13, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

**Indirect Cost Information:** If you are requesting reimbursement for indirect costs on line 10 the indirect cost rate to be charged to the grant must be entered in the applicable field on line 10, and the following information is to be completed by your Business Office.

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

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

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

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

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

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

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

**Section B - Budget Summary**

**Non-Federal Funds**

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

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

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

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

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

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

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

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. For non-Federal funds or resources listed in Section B that are used to meet a cost-sharing or matching requirement or provided as a voluntary cost-sharing or matching commitment, you must include:
  - a. The specific costs or contributions by budget category;
  - b. The source of the costs or contributions; and
  - c. In the case of third-party in-kind contributions, a description of how the value was determined for the donated or contributed goods or services.

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

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

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

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

5. Provide other explanations or comments you deem necessary.

**If Applicable Section D - Budget Summary**

**Limitation on Administrative Expenses.**

If your program is subject to an administrative cost cap (as indicated Section III.2.C of the program's Notice Inviting Applications (NIA)), fill out this form as follows:

1. On the top of the page, list the percentage cap on administrative costs, and indicate whether your administrative cost cap applies to both indirect and direct costs, or only direct costs (from Section III.2.C of the program's NIA).
  2. IF the cost cap applies to both indirect and direct costs:
    - (a) Fill out the entire table noting your administrative costs, including line 8. Line 8 is taken from Section A, line 10. For lines 1-6, these are only direct administrative costs; do not include in lines 1-6 any costs included in your indirect cost rate. If your program has a matching requirement (see NIA), include in lines 1-6 the administrative portions of the applicable rows from both Section A and Section B. If there is no program matching requirement, only use Section A.
    - (b) Ensure that the line 10 percentage DOES NOT EXCEED the percentage cap on administrative costs. If your program does not have a matching requirement, divide line 9 by Section A line 12. If your program does have a matching requirement, to calculate line 10, divide line 9 by the sum of Section A line 12 and Section B line 12.
  3. IF the cost cap applies ONLY to direct costs:
    - (a) Fill out the entire table noting your administrative costs, EXCLUDING line 8.
- Ensure that the line 10 percentage DOES NOT EXCEED the percentage cap on administrative costs. If your program does not have a matching requirement, divide line 7 by Section A line 9. If your program does have a matching requirement, to calculate line 10, divide line 7 by the sum of Section A line 9 and Section B line 9).

#### **Paperwork Burden Statement**

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

## **PART III: APPLICATION NARRATIVE**

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This narrative section of the application requires applicants to address the absolute priority, particularly, the Application Requirements and the Project Requirements in the NFP and the NIA.

The application narrative must also address the Selection Criteria, which the competition peer reviewers use to evaluate and score each application. These may be found in Section C of this application kit or Section V.1. of the NIA.

Also, the competition covered by this package has page limitations for the application narrative. Please refer to the "Page Limits" information for this competition.

**PART IV: GRANT APPLICATION FORM FOR PROJECT  
OBJECTIVES AND PERFORMANCE MEASURES INFORMATION**

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[View Burden Statement](#)



**U.S. Department of Education**  
**Grant Application Form for Project Objectives and Performance Measures Information**  
See Instructions.

OMB Number: 1894-0017  
Expiration Date: 07/31/2023

**Applicant Information**

Legal Name:

1. Project Objective:

1.a. Performance Measure	Measure Type	Quantitative Data				
		Target				
		Raw Number	Ratio	%		
<input type="text"/>	<input type="text"/>		/		%	<input data-bbox="1356 730 1373 753" type="button" value="+"/>

[Add Performance Measure](#)

[Add Project Objective](#)

## INSTRUCTIONS GRANT APPLICATION FORM FOR

### PROJECT OBJECTIVES AND PERFORMANCE MEASURES INFORMATION

#### PURPOSE

Applicants must submit a **GRANT APPLICATION FORM FOR PROJECT OBJECTIVES AND PERFORMANCE MEASURES INFORMATION** via Grants.gov or in G5 when instructed to submit applications in G5. This form collects project objectives and quantitative and/or qualitative performance measures at the time of application submission for the purpose of automatically prepopulating this information into the U.S. Department of Education's (ED) automated Grant Performance Report form (ED 524B), which is completed by ED grantees prior to the awarding of continuation grants. Additionally, this information will prepopulate into ED's automated ED 524B that may be required by program offices of grant recipients that are awarded front loaded grants for their entire multi-year project up-front in a single grant award, and will also be prepopulated into ED's automated ED 524B for those grant recipients that are required to use the ED 524B to submit their final performance reports.

#### GENERAL INSTRUCTIONS

##### Applicant Information

- **Legal Name:** The legal name of the applicant that will undertake the assistance activity will prepopulate from the Application Form for Federal Assistance (SF 424 Form). This is the organization that has registered with the System for Award Management (SAM). Information on registering with SAM may be obtained by visiting [www.Grants.gov](http://www.Grants.gov).

##### Project Objectives Information and Related Performance Measures Data

Your grant application establishes project objectives stating what you hope to achieve with your funded grant project. Generally, one or more performance measures are also established for each project objective that will serve to demonstrate whether you have met or are making progress towards meeting each project objective.

- **Project Objective:** Enter each project objective that is included in your grant application. When completing this form in Grants.gov, a maximum of 26 project objectives may be entered. Only one project objective should be entered per row. Project objectives should be numbered sequentially, i.e., 1., 2., 3., etc. If applicable, project objectives may be entered for each project year; however, the year to which the project objective applies must be clearly identified as is presented in the following examples:
    1. **Year 1.** Provide two hour training to teachers in the Boston school district that focuses on improving test scores.
    2. **Year 2.** Provide two hour training to teachers in the Washington D.C. school district that focuses on improving test scores.
  - **Performance Measure:** For each project objective, enter each associated quantitative and/or qualitative performance measure. When completing this form in Grants.gov, a maximum of 26 quantitative and/or qualitative performance measures may be entered. There may be multiple quantitative and/or qualitative performance measures associated with each project objective. Enter only one quantitative or qualitative performance measure per row. Each quantitative or qualitative performance measure that is associated with a particular project objective should be labeled using an alpha indicator. Example: The first quantitative or qualitative performance measure associated with project objective "1" should be labeled "1.a.," the second quantitative or qualitative performance measure for project objective "1" should be labeled "1.b.," etc. If applicable, quantitative and/or qualitative performance measures may be entered for each project year; however, the year to which the quantitative and/or qualitative performance measures apply must be clearly identified as is presented in the following examples:
-

1.a. **Year 1.** By the end of year one, 125 teachers in the Boston school district will receive a two hour training program that focuses on improving test scores.

2.a. **Year 2.** By the end of year two, 125 teachers in the Washington D.C. school district will receive a two hour training program that focuses on improving test scores.

- **Measure Type:** For each performance measure, select the appropriate type of performance measure from the drop down menu. There are two types of measures that **ED** may have established for the grant program:

1. **GPRA:** Measures established for reporting to Congress under the Government Performance and Results Act; and

2. **PROGRAM:** Measures established by the program office for the particular grant competition.

In addition, you will be required to report on any project-specific performance measures (**PROJECT**) that you established in your grant application to meet your project objectives.

In the **Measure Type** field, select one (1) of the following measure types: **GPRA; PROGRAM; or PROJECT.**

- **Quantitative Target Data:** For quantitative performance measures with established quantitative targets, provide the target you established for meeting each performance measure. Only quantitative (numeric) data should be entered in the Target boxes. If the collection of quantitative data is not appropriate for a particular performance measure (i.e., for qualitative performance measures), please leave the target data boxes blank.

The Target Data boxes are divided into three columns: **Raw Number; Ratio, and Percentage (%)**.

For performance measures that are stated in terms of a single number (e.g., the number of workshops that will be conducted or the number of students that will be served), the target data should be entered as a single number in the **Raw Number column** (e.g., 10 workshops or 80 students). Please leave the **Ratio and Percentage (%) columns** blank.

For performance measures that are stated in terms of a percentage (e.g., percentage of students that attain proficiency), complete the **Ratio column**, and leave the **Raw Number and Percentage (%) columns** blank. The **Percentage (%)** will automatically calculate based on the entered ratio. In the **Ratio column** (e.g., 80/100), the numerator represents the numerical target (e.g., the number of students that are expected to attain proficiency), and the denominator represents the universe (e.g., all students served).

## **PART V: EVIDENCE FORM**

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**U.S. Department of Education  
Evidence Form**

OMB No. 1894-0001

Exp. 05/31/2022

**1. Level of Evidence**

Select the level of evidence of effectiveness for which you are applying. See the Notice Inviting Applications for the relevant definitions and requirements.

Demonstrates a Rationale

Promising Evidence

Moderate Evidence

Strong Evidence

**2. Citation and Relevance**

Fill in the chart below with the appropriate information about the studies that support your application.

<b>A. Research/Citation</b>	<b>B. Relevant Outcome(s)/Relevant Finding(s)</b>	<b>C. Project Component(s)/Overlap of Populations and/or Settings</b>

## Instructions for Evidence Form

1. **Level of Evidence.** Check the box next to the level of evidence for which you are applying. See the Notice Inviting Applications for the evidence definitions.
2. **Citation and Relevance.** Fill in the chart for each of the studies you are submitting to meet the evidence standards. If allowable under the program you are applying for, you may add additional rows to include more than four citations. (See below for an example citation.)
  - a. **Research/Citation.** For Demonstrates a Rationale, provide the citation or link for the research or evaluation findings. For Promising, Moderate, and Strong Evidence, provide the full citation for each study or WWC publication you are using as evidence. If the study has been reviewed by the WWC, please include the rating it received, the WWC review standards version, and the URL link to the description of that finding in the WWC reviewed studies database. Include a copy of the study or a URL link to the study, if available. Note that, to provide promising, moderate, or strong evidence, you must cite either a specific recommendation from a WWC practice guide, a WWC intervention report, or a publicly available, original study of the effectiveness of a component of your proposed project on a student outcome or other relevant outcome.
  - b. **Relevant Outcome(s)/Relevant Finding(s).** For Demonstrates a Rationale, describe how the research or evaluation findings suggest that the project component included in the logic model is likely to improve relevant outcomes. For Promising, Moderate and Strong Evidence, describe: 1) the project component included in the study (or WWC practice guide or intervention report) that is also a component of your proposed project, 2) the student outcome(s) or other relevant outcome(s) that are included in both the study (or WWC practice guide or intervention report) and in the logic model (theory of action) for your proposed project, and 3) the study (or WWC intervention report) finding(s) or WWC practice guide recommendations supporting a favorable relationship between a project component and a relevant outcome. Cite page and table numbers from the study (or WWC practice guide or intervention report), where applicable.
  - c. **Project Component(s)/Overlap of Population and/or Settings.** For Demonstrates a Rationale, explain how the project component(s) is informed by the research or evaluation findings. For Promising, Moderate, and Strong Evidence, explain how the population and/or setting in your proposed project are similar to the populations and settings included in the relevant finding(s). Cite page numbers from the study or WWC publication, where applicable.

A. Research/Citation	B. Relevant Outcome(s)/Relevant Finding(s)	C. Project Component(s)/Overlap of
<p><i>Bettinger, E.P., &amp; Baker, R. (2011). The effects of student coaching in college: An evaluation of a randomized experiment in student mentoring. Stanford, CA: Stanford University School of Education. Available at <a href="https://ed.stanford.edu/sites/default/files/bettinger_baker_030711.pdf">https://ed.stanford.edu/sites/default/files/bettinger_baker_030711.pdf</a></i></p> <p><i>Meets WWC Group Design Standards without Reservations under review standards 2.1 (<a href="http://ies.ed.gov/ncee/wwc/Study/72030">http://ies.ed.gov/ncee/wwc/Study/72030</a>)</i></p>	<p><i>The intervention in the study is a form of college mentoring called student coaching. Coaches helped with a number of issues, including prioritizing student activities and identifying barriers and ways to overcome them. Coaches were encouraged to contact their assignees by either phone, email, text messaging, or social networking sites (pp. 8-10). The proposed project for Alpha Beta Community College students will train professional staff and faculty coaches on the most effective way(s) to communicate with their mentees, suggest topics for mentors to talk to their mentees, and be aware of signals to prevent withdrawal or academic failure.</i></p> <p><i>The relevant outcomes in the study are student persistence and degree completion (Table 3, p. 27), which are also included in the logic model for the proposed project.</i></p> <p><i>This study found that students assigned to receive coaching and mentoring were significantly more likely than students in the comparison group to remain enrolled at their institutions (pp. 15-16, and Table 3, p. 27).</i></p>	<p><i>The full study sample consisted of “13,555 students across eight different higher education institutions, including two- and four-year schools and public, private not-for-profit, and proprietary colleges.” (p. 10) The number of students examined for purposes of retention varied by outcome (Table 3, p. 27). The study sample overlaps with Alpha Beta Community College in terms of both postsecondary students and postsecondary settings.</i></p>

**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 1894-0001. The time required to complete this information collection is estimated to vary from 1 to 4 hours per response, with an average of 1.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form, write directly to the Office of Innovation and Improvement, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202

*EXAMPLES: For Demonstration Purposes Only (the three examples are not assumed to be cited by the same applicant)*

A. Research/Citation	B. Relevant Outcome(s)/Relevant Finding(s)	C. Project Component(s)/Overlap of
<p>Graham, S., Bruch, J., Fitzgerald, J., Friedrich, L., Furgeson, J., Greene, K., Kim, J., Lyskawa, J., Olson, C.B., &amp; Smither Wulsin, C. (2016). <i>Teaching secondary students to write effectively</i> (NCEE 2017-4002). Washington, DC: National Center for Education Evaluation and Regional Assistance (NCEE), Institute of Education Sciences, U.S. Department of Education. Retrieved from the NCEE website: <a href="https://ies.ed.gov/ncee/wwc/PracticeGuide/2">https://ies.ed.gov/ncee/wwc/PracticeGuide/2</a>. This report was prepared under Version 3.0 of the WWC Handbook (p. 72).</p>	<p>(Table 1, p. 4) Recommendation 1 (“Explicitly teach appropriate strategies using a Model – Practice – Reflect instructional cycle”) is characterized as backed by “strong evidence.”</p> <p>(Appendix D, Table D.2, pp. 70-72) Studies contributing to the “strong evidence” supporting the effectiveness of Recommendation 1 reported statistically significant and positive impacts of this practice on genre elements, organization, writing output, and overall writing quality.</p>	<p>(Appendix D, Table D.2, pp. 70-72) Studies contributing to the “strong evidence” supporting the effectiveness of Recommendation 1 were conducted on students in grades 6 through 12 in urban and suburban school districts in California and in the Mid-Atlantic region of the U.S. These study samples overlap with both the populations and settings proposed for the project.</p>
<p>U.S. Department of Education, Institute of Education Sciences, <i>What Works Clearinghouse</i>. (2017, February). <i>Transition to College intervention report: Dual Enrollment Programs</i>. Retrieved from <a href="https://ies.ed.gov/ncee/wwc/Intervention/1043">https://ies.ed.gov/ncee/wwc/Intervention/1043</a>. This report was prepared under Version 3.0 of the WWC Handbook (p. 1).</p>	<p>(Table 1, p. 2) Dual enrollment programs were found to have positive effects on students’ high school completion, general academic achievement in high school, college access and enrollment, credit accumulation in college, and degree attainment in college, and these findings were characterized by a “medium to large” extent of evidence.</p>	<p>(pp. 1, 19, 22) Studies contributing to the effectiveness rating of dual enrollment programs in the high school completion, general academic achievement in high school, college access and enrollment, credit accumulation in college, and degree attainment in college domains were conducted in high schools with minority students representing between 32 and 54 percent of the student population and first generation college students representing between 31 and 41 percent of the student population. These study samples overlap with both the populations and settings proposed for the project.</p>



## **PART VI: CERTIFICATIONS AND DISCLOSURES**

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CERTIFICATION REGARDING LOBBYING

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 an 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 than 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, loan, 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 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 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.

Applicant's Organization	
Printed Name of Authorized Representative	Printed Title of Authorized Representative
Signature	Date

## DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure)

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change  <b>For material change only:</b> Year: _____ quarter: _____ Date of last report: _____
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier, if Known: _____  <b>Congressional District, if known:</b>	<b>5. If Reporting Entity in No. 4 is Subawardee,</b> Enter Name and Address of Prime: _____  <b>Congressional District, if known:</b>	
<b>6. Federal Department/Agency:</b> _____	<b>7. Federal Program Name/Description:</b> _____ _____  CFDA Number, <i>if applicable</i> :	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b> \$	
<b>10. a. Name and Address of Lobbying Registrant</b> <i>(if individual, last name, first name, MI):</i> _____	<b>10. b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i> _____	
<b>11. Information requested through this form is authorized by title 31 U.S.C. Section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>	<b>Signature:</b> _____  <b>Print Name:</b> _____  <b>Title:</b> _____  <b>Telephone No.:</b> _____  <b>Date:</b> _____	
<b>Federal Use Only</b>	<b>Authorized for Local Reproduction</b> <b>Standard Form—LLL (Rev. 7-97)</b>	

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

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

## PAPERWORK REDUCTION ACT STATEMENT

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According to the *Paperwork Reduction Act*, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 4040-0013. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to:

Office of Management and Budget  
Paperwork Reduction Project (4040-0013)  
Washington, DC 20503

# Section G

## Important Notices

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## NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about the following provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

### To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

### What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, 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 to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for

Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

### What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.
- (4) An applicant that proposes a project to increase school safety might describe the special efforts it will take to address concern of lesbian, gay, bisexual, and transgender students, and efforts to reach out to and involve the families of LGBT students

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

### **Estimated Burden Statement for GEPA Requirements**

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 1.5 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 (Public Law 103-382. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1894-0005.



## **EXECUTIVE ORDER 12372**

### **(INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS)**

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This program falls under the rubric of Executive Order 12372 (Annual Review of Federal Programs) and the regulations in 34 CFR Part 79. One of the objectives of the Executive order is to strengthen federalism--or the distribution of responsibility between localities, States, and the Federal government--by fostering intergovernmental partnerships. This idea includes supporting processes that State or local governments have devised for coordinating and reviewing proposed Federal financial grant applications.

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

Further information about the State Single Point of Contact process and a list of names by State can be found at:

<https://www.whitehouse.gov/wp-content/uploads/2020/04/SPOC-4-13-20.pdf>

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address:

The Secretary  
EO 12372--CFDA# **84.421D**  
U.S. Department of Education, room 7W301  
400 Maryland Avenue, SW., Washington, DC 20202.

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

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

## Electronic Notification Option for Grant Awards

If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN); **OR** we may send you an e-mail containing a link to access G5, the Department's Grant Management System. The email will be sent to both the project director and certifying representative in order for them to view and print the Adobe Acrobat version of the electronically signed GAN. If neither the project director nor certifying representative is registered in G5, they will immediately be prompted to register once the link is accessed. **The electronic signature and issuance of the GAN makes it crucial that your application include correct email addresses for both the project director and certifying representative.**

# Section H

Applicant Checklist

Common Questions and Answers

Program Application Indirect Cost Instructions

Transition from DUNS Number to Unique Entity Identifier  
(UEI) Fact Sheet

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# APPLICANT CHECKLIST

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Use This Checklist While Preparing Your Application Package.

All items listed on this checklist are required, except as noted.

- Application for Federal Assistance (SF-424) and U.S. Department of Education Supplemental Information for the SF-424 Form
- Application abstract which must include all required information
- Budget narrative
- Project narrative
- Note:** Have you addressed all Application Requirements including Selection Criteria and Priorities?
- Other Attachments
- Budget Information Form – Sections A & B (ED-524)
- General Education Provisions Act (GEPA) section 427 statement
- Certifications and assurances:
  - Assurances – Non-Construction Programs (SF-424B)
  - Certification Regarding Lobbying (ED 80-0013)
  - Disclosure of Lobbying Activities (SF-LLL), if applicable
- Any other forms or information required by the program office for the specific application competition

# COMMON QUESTIONS AND ANSWERS

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## **Q. What happens to my application after it is received in the Department?**

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- A. The Department's Application Control Center receives each application, assigns each an identifying number (PR/Award number), confirms receipt of applications, and sends the applications to the appropriate program office, which screens them for eligibility. The program conducts a peer review of all eligible applications sent to a program competition, ranks them and recommends the highest ranked applications for funding with exceptions as provided by law. The responsible official for the applicable program reviews the program office's recommendations, checks the adequacy of the documentation supporting the recommendations, and approves a final list, or slate, of recommended projects and funding amounts. RSA program staff discusses the recommendations with the successful applicants and award the grants.

## **Q. What happens to my application if the Department finds it to be ineligible?**

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- A. The Department immediately returns an application that does not meet the eligibility criteria for the particular program. A letter from the Department explaining why it is not being reviewed in the competition accompanies the application.

## **Q. How does the Department review an application?**

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- A. Each application is assessed by knowledgeable persons from outside and sometimes inside the Department who are asked for their judgments about the quality and significance of the proposed project. These persons represent a diversity of disciplines and institutional, regional, and cultural backgrounds. The advice of these experts is compiled by Departmental staff who comment on matters of fact or on significant issues that would otherwise be missing from the review. The results are then presented to the responsible official responsible for the program who approves the recommendations for funding.

## **Q. What Criteria do the reviewers use when scoring an application?**

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- A. Reviewers score each application using the selection criteria published in the Federal Register as part of the program regulations, which are given in Section E of this application package. Reviewers are instructed to use only the published criteria.

## **Q. Is a recommended application guaranteed funding?**

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- A. No. Funding is not final until discussions have been successfully concluded and a grant award notification has been signed by the grants office and mailed to the applicant.

## **Q. How do the invitational, competitive and absolute priorities differ?**

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### **A. Invitational Priority**

The Secretary may simply invite applicants to meet a priority. However, an application that addresses invitational priorities receives no competitive or absolute preference over applications that do not meet this priority.

### **Competitive Priority**

If a program uses weighted selection criteria, the Secretary may award selection points to an application that meets the priority. These points are in addition to any points the application earns under the selection criteria. The notice states the maximum number of

additional points that the Secretary may award to applications that meet the priority in a particularly effective way. Or the Secretary may simply select applications that meet the competitive priority over applications of comparable merit that do not meet the priority.

**Absolute Priority**

Under an absolute priority, the Secretary may select for funding only those applications that meet the priority.

**Q. Can changes in the size of subsequent year awards be made after the multi-year budget has been negotiated?**

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- A. Yes, a grantee can renegotiate his or her multi-year budget and may be awarded additional funds if sufficient justification is presented to the Secretary and funds are available. Also, funds can be decreased if it is determined that the multi-year budget was overestimated.

**Q. How will funding continuation decisions be made?**

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- A. Grantees will be required to complete annual performance reports that describe the projects' accomplishments, evaluations and finances. These performance reports, along with other information, will be used by the Department to decide whether to continue funding projects.

## Program Application Indirect Cost Instructions

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**Each Program is required to select, and include in its application package, one of the following indirect cost instructions, as appropriate to the program.**

***First Option - For programs reimbursing the full share of indirect costs (Full reimbursement), use the following:***

The Department of Education (ED) reimburses grantees for its portion of indirect costs that a grantee incurs in projects funded by the (NAME OF PROGRAM, 84.xxx). Any grantee charging indirect costs to a grant from this program must use the indirect cost rate negotiated with its *cognizant agency for indirect costs*.

**Note:** Applicants should pay special attention to specific questions on the application budget form (U.S. Department of Education Budget Information Non-Construction Programs Form 524 Sections A, B and C) about their cognizant agency and the indirect cost rate they are using in their budget.

If an applicant selected for funding under this program has not already established a current indirect cost rate with its cognizant agency, ED generally will authorize the grantee to use a temporary rate of 10 percent of budgeted direct salaries and wages, or a de minimis rate of 10 percent of MTDC, as defined in 2 CFR 200.68.

Use of the temporary rate of 10 percent of budgeted direct salaries and wages is subject to the following limitations:

1. The grantee must submit an indirect cost rate proposal to its cognizant agency within 90 days after ED issues the GAN.
2. If after the 90-day period, the grantee has not submitted an indirect cost rate proposal to its cognizant agency, the grantee may not charge its grant for indirect costs (except when ED finds exceptional circumstances) until it has negotiated an indirect cost rate agreement with its cognizant agency.
3. The grantee may only recover indirect costs incurred on or after the date it submitted its indirect cost rate proposal to its cognizant agency or at the start of the of the project period, whichever of the two occurs later.

4. The total amount of funds recovered by the grantee under the federally recognized indirect cost rate is reduced by the amount of indirect costs previously recovered under the temporary indirect cost rate.
5. The grantee must obtain prior approval from the Secretary to shift direct costs to indirect costs in order to recover indirect costs at a higher negotiated indirect cost rate.
6. The grantee may not request additional funds to recover indirect costs that it cannot recover by shifting direct costs to indirect costs.

Use of the de minimis rate of 10 percent of MTDC is subject to the following limitations:

1. In accordance with 2 CFR 200.414(f), State and local governments may not use the de minimis rate; thus, this rate may only be used by institutions of higher education (IHE) and non-profit organizations.
2. A grantee that decides to use the de minimis rate of 10 percent of MTDC must use the rate for at least one fiscal year for all of its Federal awards, and may continue to use the rate indefinitely thereafter until it decides to negotiate an agreement with its cognizant agency. MTDC consists of all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and subawards and subcontracts up to the first \$25,000 of each subaward (i.e., subgrant or subcontract). Once a grantee obtains a federally recognized indirect cost rate that is applicable to its grant, the grantee may use that indirect cost rate to claim indirect cost reimbursement; however, the grantee is subject to the same recovery limitations identified for the 10 percent temporary rate in items (3) through (6) of this grant attachment.

Applicants should be aware that ED is very often not the cognizant agency for its own grantees. Rather, ED accepts, for the purpose of funding its awards, the current indirect cost rate established by the appropriate cognizant agency.

Applicants are encouraged to have an accountant calculate a proposed indirect cost rate using current information from its audited financial statements, actual cost data, or IRS Form 990. Applicants should use this proposed rate in their application materials and describe which of these methods they used to calculate the rate. Guidance related to calculating an indirect cost rate can be found on ED's website at:



<http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>.

Applicants with questions about using indirect cost rates under this program should contact the program contact person shown elsewhere in this application package or in the *Federal Register* application notice of MM/DD/YYYY, (FILL IN FED REG CITE HERE).

**Second Option - For programs with restricted indirect cost rates (Partial Reimbursement).**

The Department of Education (ED) generally reimburses a grantee for its indirect costs. These kinds of costs generally are recovered through an indirect cost rate that the grantee negotiates with its *cognizant agency for indirect costs*.

The statute authorizing (NAME OF PROGRAM, CFDA #) contains a supplement- not-supplant provision that requires a reduction in the indirect cost rate so that costs that are unallowable under the supplement-not-supplant program are not recovered through the indirect cost rate. To ensure that these types of costs are not recovered, ED has established a *restricted indirect cost rate*. The detailed requirements of restricted rates are in the Education Department General Administrative Regulations (EDGAR) at §§75.563 and 76.563-569.

All grantees under supplement-not-supplant programs may only recover indirect costs at the restricted rate. For guidance on how to calculate the restricted rate, an applicant that already has a negotiated indirect cost rate and that plans to submit an application under this program should review ED's website at:

<http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>

The applicant should then use this separate, restricted rate in projecting indirect costs in the budget submitted with its application.

Applicants may have an accountant calculate a proposed restricted indirect cost rate using current information from their audited financial statements and actual cost data. Applicants should use this proposed restricted rate in their application materials and describe which of these methods they used to calculate the rate. Guidance related to calculating a restricted indirect cost rate can be found on ED's website at the above referenced link.

Applicants must bear in mind that items of cost excluded from restricted indirect cost rates may not be charged to grants as direct cost items, nor

may they be used to satisfy matching or cost-sharing requirements under a grant or charged to other Federal awards.

If an applicant (that is not a State or local government) selected for funding under a restricted rate program has not already established a current indirect cost rate with its cognizant agency as a result of current or previous funding, ED generally will authorize the grantee to use a temporary rate of 10 percent of budgeted direct salaries and wages.

Use of the temporary rate of 10 percent of budgeted direct salaries and wages is subject to the following limitations:

1. The grantee must submit an indirect cost rate proposal its cognizant agency within 90 days after ED issues the GAN.
2. If after the 90-day period, the grantee has not submitted an indirect cost rate proposal to its cognizant agency, the grantee may not charge its grant for indirect costs (except when ED finds exceptional circumstances) until it has negotiated an indirect cost rate agreement with its cognizant agency.
3. The grantee may only recover indirect costs incurred on or after the date it submitted its indirect cost rate proposal to its cognizant agency or at the start of the of the project period, whichever of the two occurs later.
4. The total amount of funds recovered by the grantee under the federally recognized indirect cost rate is reduced by the amount of indirect costs previously recovered under the temporary indirect cost rate.
5. The grantee must obtain prior approval from ED to shift direct costs to indirect costs in order to recover indirect costs at a higher negotiated indirect cost rate.
6. The grantee may not request additional funds to recover indirect costs that it cannot recover by shifting direct costs to indirect costs.

If an applicant other than a State or local government does not want to negotiate a restricted rate with its cognizant agency, the applicant has the option of charging indirect costs at 8 percent of the MTDC of its grant for the life of the grant in accordance with EDGAR §76.564(c), unless ED determines that the actual restricted indirect cost rate is lower than 8 percent of MTDC<sup>8</sup>. If a non-governmental applicant chooses to charge indirect costs at 8 percent of its MTDC, it must maintain records available

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<sup>8</sup> If the applicant gets funds under another grant that is not subject to the restricted indirect cost rate, it will not have the option of not negotiating an indirect cost rate.

for audit, demonstrating that the applicant incurred indirect costs of at least 8 percent of MTDC.

If this grant is made to a government under a program subject to a supplement-not-supplant requirement, the grantee must notify the cognizant agency that the grant is subject to a restricted indirect cost rate, as calculated under EDGAR §75.563 and §§76.564-76.569, and must provide ED's Indirect Cost Group with a copy of its indirect cost proposal. The Indirect Cost Group reviews the proposal and adjusts costs, as appropriate, to reduce the rate to the required restricted indirect cost rate.

Applicants should be aware that ED is very often not the cognizant agency for its own grantees. For restricted indirect cost rates, ED will negotiate the rate with grantees and provide the approved restricted rate to the cognizant agency for inclusion on the rate agreement.

Applicants with questions about using restricted indirect cost rates under this program should contact the program contact person shown elsewhere in this application package or in the *Federal Register* application notice of MM/DD/YYYY, (FILL IN FED REG CITE HERE).

**Third Option - For programs that are designated training grants (Limited reimbursement at 8 percent).**

Some or all of the grants awarded under (NAME OF PROGRAM, 84.xxx) have been designated training grants. The Education Department General Administrative Regulations (EDGAR) limit reimbursement of indirect costs under training grants to non-governmental grantees. These grantees may recover indirect costs under training grants up to the grantee's actual indirect costs as determined by the grantee's negotiated indirect cost agreement or 8 percent of MTDC, whichever rate is lower.

**Note:** This limitation does not apply to State agencies, local governments or federally-recognized Indian tribal governments. [EDGAR §75.562(c)(2)]

Applicants should be aware that indirect cost amounts exceeding the limitation, described in the first paragraph of this section, may not be charged to direct cost categories, used to satisfy matching or cost-sharing requirements, or charged to another Federal award. [EDGAR §75.562(c)(5)]

Although applicants are not required to submit with their application a copy of their indirect cost agreement to claim the 8 percent training rate for funding received in this program, if they are awarded a grant, they must have documentation available for audit that shows that the indirect costs incurred under the grant are at least 8 percent of MTDC.

If an applicant selected for funding under this program has not already established a current indirect cost rate with its cognizant agency as a result of current or previous funding, ED generally will authorize the grantee to use a temporary rate of 10 percent of budgeted direct salaries and wages.

Use of the temporary rate of 10 percent of budgeted direct salaries and wages is subject to the following limitations:

1. The grantee must submit an indirect cost rate proposal to its cognizant agency within 90 days after ED issues the GAN.
2. If, after the 90-day period, the grantee has not submitted an indirect cost rate proposal to the cognizant agency, the grantee may not charge its grant for indirect costs (except when ED finds exceptional circumstances) until it has negotiated an indirect cost rate agreement with its cognizant agency.
3. The grantee may only recover indirect costs incurred on or after the date it submitted its indirect cost rate proposal to its cognizant agency or at the start of the of the project period, whichever of the two occurs later.
4. The total amount of funds recovered by the grantee under the federally recognized indirect cost rate is reduced by the amount of indirect costs previously recovered under the temporary indirect cost rate.
5. The grantee must obtain prior approval from the Secretary to shift direct costs to indirect costs in order to recover indirect costs at a higher negotiated indirect cost rate.
6. The grantee may not request additional funds to recover indirect costs that it cannot recover by shifting direct costs to indirect costs.

**Fourth Option - For programs that do not provide indirect cost reimbursement under awards (No reimbursement).**

The (NAME OF PROGRAM, CFDA 84.xxx) program does not reimburse grantees for indirect costs they incur in carrying out a project funded under the program. Therefore, applicants should not show any dollar amounts for indirect costs on either line 10 of the U.S. Department of Education Budget Information Non-Construction Programs Form 524 Sections A, B and C, or in their budget narrative.

Applicants should also be aware that unreimbursed indirect costs under grants of this program may not be charged as direct cost items in the

same award, used to satisfy matching or cost-sharing requirements, or charged to another Federal award.

## D-U-N-S NUMBER INSTRUCTIONS

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**Note:** Check with your fiscal office to see if your institution has an assigned DUNS before contacting Dun & Bradstreet

**D-U-N-S No.:** Please provide the applicant's D-U-N-S Number. You can obtain your D-U-N-S Number at no charge by calling **1-800-234-3867** 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](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 1.800.234.3867**

**Note:** Electronic submission via Grants.gov must use DUNS number your organization used when it registered in the Central Contractor Registry.

## Transition from DUNS Number to Unique Entity Identifier (UEI) Fact Sheet

The Federal Government will transition from the use of the DUNS Number to the new Unique Entity Identifier (UEI) as the primary means of entity identification for Federal awards government-wide. UEIs are required in accordance with [2 CFR Part 25](#), and the transition from DUNS to UEI will result in the UEI being issued by the Federal Government in SAM.gov. This means entities will no longer rely on a third-party to obtain an identifier (i.e., a DUNS issued by Dun and Bradstreet). This change is meant to streamline the entity identification and validation process, making it easier and less burdensome for entities to do business with the Federal Government. Information addressing the reasons for this transition is available at [Government Transition from DUNS to UEI](#) and at [Why is SAM.gov changing to SAM \(UEI\)?](#).

Starting on **April 4, 2022**, the Integrated Award Environment (IAE) systems (i.e., SAM.gov, FPDS, eSRS, FRSR, FAPIIS, and CPARS) will comply with the Federal Government's requirement to end use of the DUNS Number for Federal award management.<sup>1</sup> **The U.S. Department of Education's Grants Management System (G5) will also implement this transition on April 4, 2022.**

I. Here is what you need to know to be ready for this transition:

- If your organization is currently registered in [SAM.gov](#) with either an active or inactive registration, you have already been assigned a UEI. Your UEI is viewable on your entity's registration record in SAM.gov. To learn how to view your UEI, see this guide: [How can I view my unique entity identifier \(UEI\)?](#).

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<sup>1</sup> [SAM.gov](#) – Or the System for Awards Management is the official site for registering to do business with the Federal Government.

[FPDS.gov](#) – Or the Federal Procurement Data System is the official site for reporting contracts whose estimated value is \$10K or more.

[eSRS.gov](#) – Or the Electronic Subcontracting Reporting System is the official site for reporting subcontracts. [FSRS.gov](#) – Or the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS) is the official reporting site that Federal prime awardees (i.e., prime contractors and prime grants recipients) use to capture and report subaward and executive compensation data regarding their first-tier

subawards.

[FAPIS.gov](https://www.fapiis.gov) – Or the Federal Awardee Performance and Integrity Information System is the official site in which records are entered and searchable related to Administrative Agreements, Defective Pricing, DoD Determination of Contractor Fault, Non-Responsibility Determination, Recipient Not-Qualified Determination, Termination for Cause, Termination for Default, Termination for Material Failure to Comply, Suspension/Debarment information if the entity has any of these records, and Administrative Proceedings information.

[CPARS.gov](https://www.cpars.gov) – Or the Contractor Performance Assessment Reporting System is the official site in which Federal agencies can create and measure the quality and timely reporting of contractor performance information, and where contractors can review this information and provide comments.

- If you have an inactive registration or need to update your registration, you must ensure that your renewal or updates occur on time and as required, but this does not affect whether you have been assigned a UEI. If you have a registration, you already have a UEI. If your registration has expired, you can access instructions addressing how to renew your entity registration at: [How to Renew or Update an Entity](#).
- SAM.gov will be down for maintenance to complete the transition beginning on **April 1, 2022, at 8:00 PM (ET) until no later than 9:00 AM (ET) April 4, 2022. March 29, 2022, is the last day** to obtain a new DUNS Number from Dun and Bradstreet for registering an entity or getting a UEI. After April 4, 2022, entities will go to SAM.gov, not Dun and Bradstreet, to obtain their UEI. **April 1, 2022, at 8:00 p.m. is the last day and time** you can **use** a DUNS Number to get a UEI or register an entity in SAM.gov.
- To register in SAM.gov, click on the “Get Started” link under the “Register Your Entity...” heading in SAM.gov. Grantees, and other entities wanting to do business with the U.S. Department of Education (e.g., entities applying for a grant), that are not already registered in SAM.gov must complete the “**Register Entity**” registration option and **NOT** the “Get a Unique Entity ID” option. The “Get a Unique Entity ID” option, which is not a full registration, is only available to entities for reporting purposes. Failing to complete the “Register Entity” option may result in funding and other delays.
- Your organization will continue to use its DUNS for registration and reporting until 8:00 p.m. April 1, 2022. After that time, your organization will no longer use the DUNS for this purpose and that number will not be maintained in any IAE systems (i.e., SAM.gov, FPDS, eSRS, FSRS, FAPIS, and CPARS). Beginning April 4, 2022, your organization will only use the UEI in IAE systems.
- Save all work in progress in SAM.gov **before 8:00 PM (ET) on April 1, 2022**, to ensure it will be available on April 4, 2022. No later than 9:00 AM on April 4, 2022, SAM.gov will be back online. When SAM.gov comes back online on April 4, 2022, the site will no longer display DUNS numbers and will only display UEIs. Additionally, DUNS numbers will no longer be displayed in any other IAE systems or accepted for



entity registration. The UEI will be the identifier of record on April 4, 2022.

- The transition to using UEIs does not impact your entity's registration expiration date or when you need to renew. Once assigned, the UEI number will never expire; however, entity registrations do expire annually and require annual renewal. Please ensure that your organization renews its registration prior to the expiration date. The expiration date is listed in your entity record in SAM.gov.
- Subrecipients under entities doing business with the Federal Government that are currently registered in SAM.gov have been assigned their UEI.
- From now until March 29, 2022, subrecipients under entities doing business with the Federal Government that are not already registered in SAM.gov must obtain and/or use a DUNS to register their entity on SAM.gov. On and after April 4, subrecipients can register in SAM.gov and will be assigned their UEI. At that time, subrecipients will no longer be able to obtain or use a DUNS for subrecipient registration or reporting.

## II. Where to get help:

The Federal Service Desk, available at [FSD.gov](https://www.fsd.gov), is the help desk that has been established for all IAE

systems. FSD.gov includes resources that address the UEI transition and these resources are available at: [Help Resources](#). There are resources available for grantees, subrecipients, contractors, subcontractors, Federal employees who use SAM.gov, and for individuals who search for entities on SAM.gov. The following are available resources that are particularly helpful:

- FAQs that are organized by how an individual uses SAM.gov based on their roles and responsibilities ([UEI Transition FAQs](#)).
- An interactive PDF tool that walks individuals through how they are affected by the transition, so they can be confident they have accurate information ([Interactive PDF Tool – UEI Transition](#)) If you have questions about UEIs or the UEI transition that are not answered in the FAQs or in other resources available at [FSD.gov](https://www.fsd.gov), you may contact the FSD.gov by calling, or by choosing the “Create an Incident” or engaging in a “Live Chat.” You may also send the question directly to the General Services Administration at: [entityvalidation@gsa.gov](mailto:entityvalidation@gsa.gov).

For other questions related to your grant, please contact your ED program contact listed in box 3 of your Grant Award Notification, or as identified in any other applicable documentation provided by ED.