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Office of  
Innovation and  
Improvement  
Washington, DC  
20202-5970



# [ APPLICATION FOR GRANTS UNDER THE CHARTER SCHOOLS PROGRAM GRANTS FOR STATE EDUCATIONAL AGENCIES ]

CFDA Number: **84.282A**

**Charter Schools Program Grants for  
State Educational Agencies**

Form Approved

OMB No. 1894-0006

Expiration Date: 11/30/2017

**Closing Date: July 16, 2015**

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# I. Introduction

## LETTER TO APPLICANT



### UNITED STATES DEPARTMENT OF EDUCATION

Office of Innovation and Improvement

Dear Applicant,

Thank you for your interest in applying for the FY 2015 Charter Schools Program (CSP) grants to State Educational Agencies (SEAs) competition. For FY 2015, Congress appropriated \$253 million to support the continued development of high-quality charter schools and dissemination of charter school best practices throughout the nation. Approximately \$116 million of these funds are dedicated to this grant competition.

The purpose of the CSP is to increase the national understanding of the charter school model and to expand the number of high-quality charter schools available to students across the nation. The CSP SEA program is a competitive grant program that enables SEAs to provide financial assistance, through subgrants to eligible applicants, for the planning, program design, and initial implementation of charter schools and to support the dissemination of information about, including successful practices in, charter schools.

Included in this application package are the instructions and forms needed to submit a CSP grants for SEAs application to the U.S. Department of Education. The CSP is authorized under Title V, Part B, Subpart 1 of the Elementary and Secondary Education Act of 1965 (ESEA) (20 U.S.C. 7221 – 7221j) and the Consolidated and Further Continuing Appropriations Act, 2015, (FY 2015 Appropriations Act), Pub. L. No. 113-235.

The CSP grants for SEAs competition incorporates changes to support the development of high-quality charter schools throughout the Nation, consistent with the final priorities, requirements, definitions, and selection criteria for this program, published in the Federal Register on June 15, 2015 (80 FR 34201) (the "2015 SEA NFP"). In addition, the FY 2015 Appropriations Act allows the use of CSP funds to support preschool education. Additional details regarding this provision are included in the Notice Inviting Applications, this Application Package, and the CSP Frequently Asked Questions.

Please note that U.S. Department of Education grant application deadlines are 4:30:00 pm. Washington, DC time. **Applications submitted late will not be accepted.** The Department is required to enforce the established deadline to ensure fairness to all applicants. We suggest that you submit your application several days before the deadline, and we strongly recommend that you do not wait until the last day to submit your application.

A CSP program officer is available to provide technical assistance to applicants. If you have any questions about the program after reviewing the application package, please call or e-mail Kathryn Meeley at (202) 453-6818, [Kathryn.Meeley@ed.gov](mailto:Kathryn.Meeley@ed.gov). For questions or problems in navigating the Grants.gov system, please call the Grants.gov helpdesk at **1-800-518-4726**.

Thank you for your interest in the Charter Schools Program. We appreciate your efforts in increasing the national understanding of the charter school model and expanding the number of high quality charter schools across the Nation.

Sincerely,

Stefan Huh  
Director, Charter Schools Program  
Office of Innovation and Improvement

400 MARYLAND AVE. SW, WASHINGTON, DC 20202

[www.ed.gov](http://www.ed.gov)

The Department of Education's mission is to promote student achievement and preparation for global competitiveness  
by fostering educational excellence and ensuring equal access.

## SUBMISSION PROCEDURES

### IMPORTANT – PLEASE READ FIRST

U.S. Department of Education

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

The deadline for submission of all CSP grants for SEAs applications through Grants.gov is July 16, 2015 at 4:30:00 P.M., Washington, DC time.

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

#### ATTENTION – Browser Support

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

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

The table below lists supported Web Browsers:

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

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

## ATTENTION – Adobe Forms and PDF Files Required

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

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

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

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

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

- a. **Obtain DUNS Number Same Day.** If requested by phone (1-866-705-5711) DUNS is provided immediately. If your organization does not have one, you will need to go to the Dun & Bradstreet website at <http://fedgov.dnb.com/webform> to obtain the number.
- b. **Register with SAM.** All applicants are advised to confirm that they have an active record with System for Award Management (SAM). If an applicant has an expired record, the applicant will need to activate its record in order to submit an application for the CSP grants for SEAs competition. Ensure that your organization is registered with the System for Award Management (SAM) at <https://www.sam.gov/portal/public/SAM/>. If your organization is not registered within the SAM, an **authorizing official** of your organization must register.
  - i. You can obtain a Data Universal Numbering System (DUNS) number from Dun and Bradstreet. A DUNS number can be created within **one-to-two business days**.
  - ii. If you are a corporate entity, agency, institution, or organization, you can obtain a Taxpayer Identification Number (TIN) from the Internal Revenue Service. If you are an individual, you can obtain a TIN from the Internal Revenue Service or the Social Security Administration. If you need a new TIN, please **allow 2-5 weeks** for your TIN to become active.
  - iii. The SAM registration process can take approximately seven business days, but may take upwards of several weeks, depending on the completeness and

accuracy of the data entered into the SAM database by an entity. Thus, if you think you might want to apply for Federal financial assistance under a program administered by the Department, please allow sufficient time to obtain and register your DUNS number and TIN. We strongly recommend that you register early.

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

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

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

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

For additional guidance on updating a registration, applicants are advised to visit the SAM.gov Web site.

- c. **Username & Password Same day.** Complete your AOR (Authorized Organization Representative) profile on Grants.gov and create your username and password. You will need to use your organization's DUNS Number to complete this step. <https://apply07.grants.gov/apply/OrcRegister>.
  - d. **AOR Authorization \*Same day.** The E-Business Point of Contact (E-Biz POC) at your organization must login to Grants.gov to confirm you as an Authorized Organization Representative (AOR). Please note that there can be more than one AOR for your organization. In some cases the E-Biz POC is also the AOR for an organization. **\*TIME DEPENDS ON RESPONSIVENESS OF YOUR E-BIZ POC.**
  - e. **TRACK AOR STATUS**  
At any time, you can track your AOR status by logging in with your username and password. Login as an Applicant (enter your username & password) using the following: [http://www.grants.gov/applicants/org\\_step6.jsp](http://www.grants.gov/applicants/org_step6.jsp).
- 2) **SUBMIT EARLY – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded.** The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully to Grants.gov before 4:30:00 p.m. Washington, DC time on the deadline date.

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

number on your application as the DUNS you registered with, Grants.gov will reject your application.

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

If the date/time received is later than 4:30:00 p.m. Washington, D.C. time, on the deadline date, your application is late. If your application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: <http://www.grants.gov/web/grants/applicants/grant-application-process/application-statuses.html>.

For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Error Messages document at <http://www.grants.gov/web/grants/support/technical-support/troubleshooting/encountering-error-messages.html>. If you discover your application is late or has been rejected, please see the instructions below.

Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

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

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

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

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

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

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

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

## Dial-Up Internet Connections

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

## MAC Users

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

## Attaching Files – Additional Tips

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

1. Ensure that you attach **.PDF files only** for any attachments to your application, and they must be in a **read-only, non-modifiable format**. PDF files are the only Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are not .PDF files or are password protected files will not be read.
2. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
3. When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded files must be less than 50 characters, contain no spaces, no special characters (example: -, &, \*, %, /, #, \) including periods (.), blank spaces and accent marks. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.
4. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

\*Please note that the Central Contractor Registry (CCR) was replaced by the System for Award Management (SAM) effective July 30, 2012.

## II. Program Background Information

### PROGRAM OVERVIEW

**Program Office:** Office of Innovation and Improvement (OII)

Charter Schools Program Grants for State Educational Agencies (SEAs)

**CFDA Number:** 84.282A (SEA Grant Program)

**Program Type:** Discretionary/Competitive Grants

**Also Known As:** Charter Schools, Public Charter Schools Program, CSP

**Program Description:** The purpose of the Charter Schools Program (CSP) is to increase the national understanding of the charter school model by (1) expanding the number of high-quality charter schools available to students across the Nation by providing financial assistance for the planning, program design, and initial implementation of charter schools, and (2) by evaluating the effects of charter schools, including their effects on students, student academic achievement, staff and parents.

Under the CSP grants for SEAs program, the Secretary awards grants to SEAs on a competitive basis to enable them to conduct charter school programs in their States. SEAs use their CSP funds to award subgrants to non-SEA eligible applicants in their State. For more information regarding non-SEA eligible applicants go to: <http://www2.ed.gov/programs/charternonsea/eligibility.html> .

The CSP SEA subgrants are used for two primary purposes: (1) planning, program design, and initial implementation of new charter schools; and (2) dissemination of information, including best practices, by charter schools open at least three consecutive years with demonstrated success in several areas, as specified by statute (see Authorizing Legislation).

For more information on eligible SEAs, go to <http://www2.ed.gov/programs/charter/eligibility.html>.

## AUTHORIZING LEGISLATION

Elementary and Secondary Education Act of 1965, *as amended*, Title V, Part B – Public Charter Schools  
Subpart 1 – Charter School Programs

### **SEC. 5201. PURPOSE.**

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It is the purpose of this subpart to increase national understanding of the charter schools model by —

- (1) providing financial assistance for the planning, program design, and initial implementation of charter schools;
- (2) evaluating the effects of such schools, including the effects on students, student academic achievement, staff, and parents;
- (3) expanding the number of high-quality charter schools available to students across the Nation; and
- (4) encouraging the States to provide support to charter schools for facilities financing in an amount more nearly commensurate to the amount the States have typically provided for traditional public schools.

### **SEC. 5202. PROGRAM AUTHORIZED.**

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(a) IN GENERAL- The Secretary may award grants to State educational agencies having applications approved pursuant to section 5203 to enable such agencies to conduct a charter school grant program in accordance with this subpart.

(b) SPECIAL RULE- If a State educational agency elects not to participate in the program authorized by this subpart or does not have an application approved under section 5203, the Secretary may award a grant to an eligible applicant that serves such State and has an application approved pursuant to section 5203(c).

(c) PROGRAM PERIODS-

(1) GRANTS TO STATES- Grants awarded to State educational agencies under this subpart shall be for a period of not more than 3 years.

(2) GRANTS TO ELIGIBLE APPLICANTS- Grants awarded by the Secretary to eligible applicants or subgrants awarded by State educational agencies to eligible applicants under this subpart shall be for a period of not more than 3 years, of which the eligible applicant may use —

(A) not more than 18 months for planning and program design;

(B) not more than 2 years for the initial implementation of a charter school; and

(C) not more than 2 years to carry out dissemination activities described in section 5204(f)(6)(B).

(d) LIMITATION- A charter school may not receive —

(1) more than one grant for activities described in subparagraphs (A) and (B) of subsection (c)(2); or

(2) more than one grant for activities under subparagraph (C) of subsection (c)(2).

(e) PRIORITY TREATMENT-

(1) IN GENERAL- In awarding grants under this subpart for fiscal year 2002 or any succeeding fiscal year from any funds appropriated under section 5211 (other than funds reserved to carry out section 5205(b)), the Secretary shall give priority to States to

the extent that the States meet the criteria described in paragraph (2) and one or more of the criteria described in subparagraph (A), (B), or (C) of paragraph (3).

(2) REVIEW AND EVALUATION PRIORITY CRITERIA- The criteria referred to in paragraph (1) are that the State provides for periodic review and evaluation by the authorized public chartering agency of each charter school, at least once every 5 years unless required more frequently by State law, to determine whether the charter school is meeting the terms of the school's charter, and is meeting or exceeding the student academic achievement requirements and goals for charter schools as set forth under State law or the school's charter.

(3) PRIORITY CRITERIA- The criteria referred to in paragraph (1) are the following:

(A) The State has demonstrated progress, in increasing the number of high-quality charter schools that are held accountable in the terms of the schools' charters for meeting clear and measurable objectives for the educational progress of the students attending the schools, in the period prior to the period for which a State educational agency or eligible applicant applies for a grant under this subpart.

(B) The State —

(i) provides for one authorized public chartering agency that is not a local educational agency, such as a State chartering board, for each individual or entity seeking to operate a charter school pursuant to such State law; or

(ii) in the case of a State in which local educational agencies are the only authorized public chartering agencies, allows for an appeals process for the denial of an application for a charter school.

(C) The State ensures that each charter school has a high degree of autonomy over the charter school's budgets and expenditures.

(f) AMOUNT CRITERIA- In determining the amount of a grant to be awarded under this subpart to a State educational agency, the Secretary shall take into consideration the number of charter schools that are operating, or are approved to open, in the State.

## **SEC. 5203. APPLICATIONS.**

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(a) APPLICATIONS FROM STATE AGENCIES- Each State educational agency desiring a grant from the Secretary under this subpart shall submit to the Secretary an application at such time, in such manner, and containing or accompanied by such information as the Secretary may require.

(b) CONTENTS OF A STATE EDUCATIONAL AGENCY APPLICATION- Each application submitted pursuant to subsection (a) shall —

(1) describe the objectives of the State educational agency's charter school grant program and a description of how such objectives will be fulfilled, including steps taken by the State educational agency to inform teachers, parents, and communities of the State educational agency's charter school grant program; and

(2) describe how the State educational agency —

(A) will inform each charter school in the State regarding —

(i) Federal funds that the charter school is eligible to receive; and

(ii) Federal programs in which the charter school may participate;

(B) will ensure that each charter school in the State receives the charter school's commensurate share of Federal education funds that are allocated by formula each year, including during the first year of operation of the charter school; and

(C) will disseminate best or promising practices of charter schools to each local educational agency in the State; and

(3) contain assurances that the State educational agency will require each eligible applicant desiring to receive a subgrant to submit an application to the State educational agency containing —

(A) a description of the educational program to be implemented by the proposed charter school, including —

(i) how the program will enable all students to meet challenging State student academic achievement standards;

(ii) the grade levels or ages of children to be served; and

(iii) the curriculum and instructional practices to be used;

(B) a description of how the charter school will be managed;

(C) a description of —

(i) the objectives of the charter school; and

(ii) the methods by which the charter school will determine its progress toward achieving those objectives;

(D) a description of the administrative relationship between the charter school and the authorized public chartering agency;

(E) a description of how parents and other members of the community will be involved in the planning, program design, and implementation of the charter school;

(F) a description of how the authorized public chartering agency will provide for continued operation of the school once the Federal grant has expired, if such agency determines that the school has met the objectives described in subparagraph (C)(i);

(G) a request and justification for waivers of any Federal statutory or regulatory provisions that the eligible applicant believes are necessary for the successful operation of the charter school, and a description of any State or local rules, generally applicable to public schools, that will be waived for, or otherwise not apply to, the school;

(H) a description of how the subgrant funds or grant funds, as appropriate, will be used, including a description of how such funds will be used in conjunction with other Federal programs administered by the Secretary;

(I) a description of how students in the community will be —

(i) informed about the charter school; and

(ii) given an equal opportunity to attend the charter school;

(J) an assurance that the eligible applicant will annually provide the Secretary and the State educational agency such information as may be required to determine if the charter school is making satisfactory progress toward achieving the objectives described in subparagraph (C)(i);

(K) an assurance that the eligible applicant will cooperate with the Secretary and the State educational agency in evaluating the program assisted under this subpart;

(L) a description of how a charter school that is considered a local educational agency under State law, or a local educational agency in which a charter school

is located, will comply with sections 613(a)(5) and 613(e)(1)(B) of the Individuals with Disabilities Education Act;

(M) if the eligible applicant desires to use subgrant funds for dissemination activities under section 5202(c)(2)(C), a description of those activities and how those activities will involve charter schools and other public schools, local educational agencies, developers, and potential developers; and

(N) such other information and assurances as the Secretary and the State educational agency may require.

(c) ELIGIBLE APPLICANT APPLICATION- Each eligible applicant desiring a grant pursuant to section 5202(b) shall submit an application to the Secretary at such time, in such manner, and accompanied by such information as the Secretary may reasonably require.

(d) CONTENTS OF ELIGIBLE APPLICANT APPLICATION- Each application submitted pursuant to subsection (c) shall contain —

(1) the information and assurances described in subparagraphs (A) through (N) of subsection (b)(3), except that for purposes of this subsection subparagraphs (J), (K), and (N) of such subsection shall be applied by striking and the State educational agency' each place such term appears;

(2) assurances that the State educational agency —

(A) will grant, or will obtain, waivers of State statutory or regulatory requirements; and

(B) will assist each subgrantee in the State in receiving a waiver under section 5204(e); and

(3) assurances that the eligible applicant has provided its authorized public chartering authority timely notice, and a copy, of the application, except that the State educational agency (or the Secretary, in the case of an application submitted to the Secretary) may waive the requirement of this paragraph in the case of an application for a precharter planning grant or subgrant if the authorized public chartering authority to which a charter school proposal will be submitted has not been determined at the time the grant or subgrant application is submitted.

## **SEC. 5204. ADMINISTRATION.**

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(a) SELECTION CRITERIA FOR STATE EDUCATIONAL AGENCIES- The Secretary shall award grants to State educational agencies under this subpart on the basis of the quality of the applications submitted under section 5203(b), after taking into consideration such factors as —

(1) the contribution that the charter schools grant program will make to assisting educationally disadvantaged and other students in meeting State academic content standards and State student academic achievement standards;

(2) the degree of flexibility afforded by the State educational agency to charter schools under the State's charter schools law;

(3) the ambitiousness of the objectives for the State charter school grant program;

(4) the quality of the strategy for assessing achievement of those objectives;

(5) the likelihood that the charter school grant program will meet those objectives and improve educational results for students;

(6) the number of high-quality charter schools created under this subpart in the State; and

(7) in the case of State educational agencies that propose to use grant funds to support dissemination activities under subsection (f)(6)(B), the quality of those activities and the likelihood that those activities will improve student academic achievement.

(b) SELECTION CRITERIA FOR ELIGIBLE APPLICANTS- The Secretary shall award grants to eligible applicants under this subpart on the basis of the quality of the applications submitted under section 5203(c), after taking into consideration such factors as —

- (1) the quality of the proposed curriculum and instructional practices;
- (2) the degree of flexibility afforded by the State educational agency and, if applicable, the local educational agency to the charter school;
- (3) the extent of community support for the application;
- (4) the ambitiousness of the objectives for the charter school;
- (5) the quality of the strategy for assessing achievement of those objectives;
- (6) the likelihood that the charter school will meet those objectives and improve educational results for students; and
- (7) in the case of an eligible applicant that proposes to use grant funds to support dissemination activities under subsection (f)(6)(B), the quality of those activities and the likelihood that those activities will improve student achievement.

(c) PEER REVIEW- The Secretary, and each State educational agency receiving a grant under this subpart, shall use a peer review process to review applications for assistance under this subpart.

(d) DIVERSITY OF PROJECTS- The Secretary and each State educational agency receiving a grant under this subpart, shall award grants and subgrants under this subpart in a manner that, to the extent possible, ensures that such grants and subgrants —

- (1) are distributed throughout different areas of the Nation and each State, including urban and rural areas; and
- (2) will assist charter schools representing a variety of educational approaches, such as approaches designed to reduce school size.

(e) WAIVERS- The Secretary may waive any statutory or regulatory requirement over which the Secretary exercises administrative authority except any such requirement relating to the elements of a charter school described in section 5210(1), if —

- (1) the waiver is requested in an approved application under this subpart; and
- (2) the Secretary determines that granting such a waiver will promote the purpose of this subpart.

(f) USE OF FUNDS-

(1) STATE EDUCATIONAL AGENCIES- Each State educational agency receiving a grant under this subpart shall use such grant funds to award subgrants to one or more eligible applicants in the State to enable such applicant to plan and implement a charter school in accordance with this subpart, except that the State educational agency may reserve not more than 10 percent of the grant funds to support dissemination activities described in paragraph (6).

(2) ELIGIBLE APPLICANTS- Each eligible applicant receiving funds from the Secretary or a State educational agency shall use such funds to plan and implement a charter school, or to disseminate information about the charter school and successful practices in the charter school, in accordance with this subpart.

(3) ALLOWABLE ACTIVITIES- An eligible applicant receiving a grant or subgrant under this subpart may use the grant or subgrant funds only for —

(A) post-award planning and design of the educational program, which may include-

(i) refinement of the desired educational results and of the methods for measuring progress toward achieving those results; and

(ii) professional development of teachers and other staff who will work in the charter school; and

(B) initial implementation of the charter school, which may include—

(i) informing the community about the school;

(ii) acquiring necessary equipment and educational materials and supplies;

(iii) acquiring or developing curriculum materials; and

(iv) other initial operational costs that cannot be met from State or local sources.

#### (4) ADMINISTRATIVE EXPENSES-

(A) STATE EDUCATIONAL AGENCY ADMINISTRATIVE EXPENSES- Each State educational agency receiving a grant pursuant to this subpart may reserve not more than 5 percent of such grant funds for administrative expenses associated with the charter school grant program assisted under this subpart.

(B) LOCAL ADMINISTRATIVE EXPENSES- A local educational agency may not deduct funds for administrative fees or expenses from a subgrant awarded to an eligible applicant, unless the eligible applicant enters voluntarily into a mutually agreed upon arrangement for administrative services with the relevant local educational agency. Absent such approval, the local educational agency shall distribute all such subgrant funds to the eligible applicant without delay.

(5) REVOLVING LOAN FUNDS- Each State educational agency receiving a grant pursuant to this subpart may reserve not more than 10 percent of the grant funds for the establishment of a revolving loan fund. Such fund may be used to make loans to eligible applicants that have received a subgrant under this subpart, under such terms as may be determined by the State educational agency, for the initial operation of the charter school grant program of the eligible applicant until such time as the recipient begins receiving ongoing operational support from State or local financing sources.

#### (6) DISSEMINATION-

(A) IN GENERAL- A charter school may apply for funds under this subpart, whether or not the charter school has applied for or received funds under this subpart for planning, program design, or implementation, to carry out the activities described in subparagraph (B) if the charter school has been in operation for at least 3 consecutive years and has demonstrated overall success, including—

(i) substantial progress in improving student academic achievement;

(ii) high levels of parent satisfaction; and

(iii) the management and leadership necessary to overcome initial start-up problems and establish a thriving, financially viable charter school.

(B) ACTIVITIES- A charter school described in subparagraph (A) may use funds reserved under paragraph (1) to assist other schools in adapting the charter school's program (or certain aspects of the charter school's program), or to disseminate information about the charter school, through such activities as—

(i) assisting other individuals with the planning and start-up of one or more new public schools, including charter schools, that are independent of the assisting charter school and the assisting charter school's developers, and that agree to be held to at least as high a level of accountability as the assisting charter school;

(ii) developing partnerships with other public schools, including charter schools, designed to improve student academic achievement in each of the schools participating in the partnership;

(iii) developing curriculum materials, assessments, and other materials that promote increased student achievement and are based on successful practices within the assisting charter school; and

(iv) conducting evaluations and developing materials that document the successful practices of the assisting charter school and that are designed to improve student performance in other schools.

(g) TRIBALLY CONTROLLED SCHOOLS- Each State that receives a grant under this subpart and designates a tribally controlled school as a charter school shall not consider payments to a school under the Tribally Controlled Schools Act of 1988 (25 U.S.C. 2507) in determining—

(1) the eligibility of the school to receive any other Federal, State, or local aid; or

(2) the amount of such aid.

## **SEC. 5205. NATIONAL ACTIVITIES.**

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(a) IN GENERAL- The Secretary shall reserve for each fiscal year the greater of 5 percent or \$5,000,000 of the amount appropriated to carry out this subpart, except that in no fiscal year shall the total amount so reserved exceed \$8,000,000, to carry out the following activities:

(1) To provide charter schools, either directly or through State educational agencies, with —

(A) information regarding —

(i) Federal funds that charter schools are eligible to receive; and

(ii) other Federal programs in which charter schools may participate; and

(B) assistance in applying for Federal education funds that are allocated by formula, including assistance with filing deadlines and submission of applications.

(2) To provide for other evaluations or studies that include the evaluation of the impact of charter schools on student academic achievement, including information regarding —

(A) students attending charter schools reported on the basis of race, age, disability, gender, limited English proficiency, and previous enrollment in public school; and

(B) the professional qualifications of teachers within a charter school and the turnover of the teaching force.

(3) To provide —

(A) information to applicants for assistance under this subpart;

(B) assistance to applicants for assistance under this subpart with the preparation of applications under section 5203;

(C) assistance in the planning and startup of charter schools;

(D) training and technical assistance to existing charter schools; and

(E) for the dissemination to other public schools of best or promising practices in charter schools.

(4) To provide (including through the use of one or more contracts that use a competitive bidding process) for the collection of information regarding the financial resources available to charter schools, including access to private capital, and to widely disseminate to charter schools any such relevant information and model descriptions of successful programs.

(5) To carry out evaluations of, technical assistance for, and information dissemination regarding, the per-pupil facilities aid programs. In carrying out the evaluations, the Secretary may carry out one or more evaluations of State programs assisted under this subsection, which shall, at a minimum, address —

(A) how, and the extent to which, the programs promote educational equity and excellence; and

(B) the extent to which charter schools supported through the programs are —

(i) held accountable to the public;

(ii) effective in improving public education; and

(iii) open and accessible to all students.

(b) PER-PUPIL FACILITIES AID PROGRAMS-

(1) DEFINITION OF PER-PUPIL FACILITIES AID PROGRAM- In this subsection, the term per-pupil facilities aid program' means a program in which a State makes payments, on a per-pupil basis, to charter schools to provide the schools with financing —

(A) that is dedicated solely for funding charter school facilities; or

(B) a portion of which is dedicated for funding charter school facilities.

(2) GRANTS-

(A) IN GENERAL- From the amount made available to carry out this subsection under paragraphs (2) and (3)(B) of section 5211(b) for any fiscal year, the Secretary shall make grants, on a competitive basis, to States to pay for the Federal share of the cost of establishing or enhancing, and administering per-pupil facilities aid programs.

(B) PERIOD- The Secretary shall award grants under this subsection for periods of not more than 5 years.

(C) FEDERAL SHARE- The Federal share of the cost described in subparagraph (A) for a per-pupil facilities aid program shall be not more than —

(i) 90 percent of the cost, for the first fiscal year for which the program receives assistance under this subsection;

(ii) 80 percent in the second such year;

(iii) 60 percent in the third such year;

(iv) 40 percent in the fourth such year; and

(v) 20 percent in the fifth such year.

(3) USE OF FUNDS-

(A) IN GENERAL- A State that receives a grant under this subsection shall use the funds made available through the grant to establish or enhance, and administer, a per-pupil facilities aid program for charter schools in the State.

(B) EVALUATIONS; TECHNICAL ASSISTANCE; DISSEMINATION- From the amount made available to a State through a grant under this subsection for a fiscal year, the State may reserve not more than 5 percent to carry out evaluations, to provide technical assistance, and to disseminate information.

(C) SUPPLEMENT, NOT SUPPLANT- Funds made available under this subsection shall be used to supplement, and not supplant, State and local public funds expended to provide per pupil facilities aid programs, operations financing programs, or other programs, for charter schools.

(4) REQUIREMENTS-

(A) VOLUNTARY PARTICIPATION- No State may be required to participate in a program carried out under this subsection.

(B) STATE LAW- To be eligible to receive a grant under this subsection, a State shall establish or enhance, and administer, a per-pupil facilities aid program for charter schools in the State, that —

(i) is specified in State law; and

(ii) provides annual financing, on a per-pupil basis, for charter school facilities.

(5) APPLICATIONS- To be eligible to receive a grant under this subsection, a State shall submit an application to the Secretary at such time, in such manner, and containing such information as the Secretary may require.

(6) PRIORITIES- In making grants under this subsection, the Secretary shall give priority to States that meet the criteria described in paragraph (2), and subparagraphs (A), (B), and (C) of paragraph (3), of section 5202(e).

(c) RULE OF CONSTRUCTION- Nothing in this section shall be construed to require charter schools to collect any data described in subsection (a).

## **SEC. 5206. FEDERAL FORMULA ALLOCATION DURING FIRST YEAR AND FOR SUCCESSIVE ENROLLMENT EXPANSIONS.**

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(a) IN GENERAL- For purposes of the allocation to schools by the States or their agencies of funds under part A of title I, and any other Federal funds which the Secretary allocates to States on a formula basis, the Secretary and each State educational agency shall take such measures as are necessary to ensure that every charter school receives the Federal funding for which the charter school is eligible not later than 5 months after the charter school first opens, notwithstanding the fact that the identity and characteristics of the students enrolling in that charter school are not fully and completely determined until that charter school actually opens. The measures similarly shall ensure that every charter school expanding its enrollment in any subsequent year of operation receives the Federal funding for which the charter school is eligible not later than 5 months after such expansion.

(b) ADJUSTMENT AND LATE OPENINGS-

(1) IN GENERAL- The measures described in subsection (a) shall include provision for appropriate adjustments, through recovery of funds or reduction of payments for the succeeding year, in cases where payments made to a charter school on the basis of estimated or projected enrollment data exceed the amounts that the school is eligible to receive on the basis of actual or final enrollment data.

(2) RULE- For charter schools that first open after November 1 of any academic year, the State, in accordance with guidance provided by the Secretary and applicable Federal statutes and regulations, shall ensure that such charter schools that are eligible for the funds described in subsection (a) for such academic year have a full and fair opportunity to receive those funds during the charter schools' first year of operation.

## **SEC. 5207. SOLICITATION OF INPUT FROM CHARTER SCHOOL OPERATORS.**

To the extent practicable, the Secretary shall ensure that administrators, teachers, and other individuals directly involved in the operation of charter schools are consulted in the development of any rules or regulations required to implement this subpart, as well as in the development of any rules or regulations relevant to charter schools that are required to implement part A of title I, the Individuals with Disabilities Education Act, or any other program administered by the Secretary that provides education funds to charter schools or regulates the activities of charter schools.

## **SEC. 5208. RECORDS TRANSFER.**

State educational agencies and local educational agencies, to the extent practicable, shall ensure that a student's records and, if applicable, a student's individualized education program as defined in section 602(11) of the Individuals with Disabilities Education Act, are transferred to a charter school upon the transfer of the student to the charter school, and to another public school upon the transfer of the student from a charter school to another public school, in accordance with applicable State law.

## **SEC. 5209. PAPERWORK REDUCTION.**

To the extent practicable, the Secretary and each authorized public chartering agency shall ensure that implementation of this subpart results in a minimum of paperwork for any eligible applicant or charter school.

## **SEC. 5210. DEFINITIONS.**

In this subpart:

(1) CHARTER SCHOOL- The term charter school' means a public school that —

(A) in accordance with a specific State statute authorizing the granting of charters to schools, is exempt from significant State or local rules that inhibit the flexible operation and management of public schools, but not from any rules relating to the other requirements of this paragraph;

(B) is created by a developer as a public school, or is adapted by a developer from an existing public school, and is operated under public supervision and direction;

(C) operates in pursuit of a specific set of educational objectives determined by the school's developer and agreed to by the authorized public chartering agency;

(D) provides a program of elementary or secondary education, or both;

(E) is nonsectarian in its programs, admissions policies, employment practices, and all other operations, and is not affiliated with a sectarian school or religious institution;

(F) does not charge tuition;

(G) complies with the Age Discrimination Act of 1975, title VI of the Civil Rights Act of 1964, title IX of the Education Amendments of 1972, section 504 of the Rehabilitation Act of 1973, and part B of the Individuals with Disabilities Education Act;

(H) is a school to which parents choose to send their children, and that admits students on the basis of a lottery, if more students apply for admission than can be accommodated;

(I) agrees to comply with the same Federal and State audit requirements as do other elementary schools and secondary schools in the State, unless such requirements are specifically waived for the purpose of this program;

(J) meets all applicable Federal, State, and local health and safety requirements;

(K) operates in accordance with State law; and

(L) has a written performance contract with the authorized public chartering agency in the State that includes a description of how student performance will be measured in charter schools pursuant to State assessments that are required of other schools and pursuant to any other assessments mutually agreeable to the authorized public chartering agency and the charter school.

(2) DEVELOPER- The term developer' means an individual or group of individuals (including a public or private nonprofit organization), which may include teachers, administrators and other school staff, parents, or other members of the local community in which a charter school project will be carried out.

(3) ELIGIBLE APPLICANT- The term eligible applicant' means a developer that has —

(A) applied to an authorized public chartering authority to operate a charter school;  
and

(B) provided adequate and timely notice to that authority under section 5203(d)(3).

(4) AUTHORIZED PUBLIC CHARTERING AGENCY- The term authorized public chartering agency' means a State educational agency, local educational agency, or other public entity that has the authority pursuant to State law and approved by the Secretary to authorize or approve a charter school.

## III. Notice Inviting Applications

### COMPETITION HIGHLIGHTS

#### **Charter Schools Program Grants for State Educational Agencies Application (84.282A)**

**Application available:** June 15, 2015

**Webinar for potential applicants:** June 17, 2015

**Deadline for transmitting applications:** July 16, 2015

**Awards announced by:** September 30, 2015

#### **2015 Charter Schools Program Grants to State Educational Agencies Application**

The full text of the Notice Inviting Applications for the FY 2015 State Educational Agencies competition can be found on the [Federal Register](#) Web site at the following URLs:

<http://www.gpo.gov/fdsys/pkg/FR-2015-06-15/pdf/2015-14392.pdf> (PDF)

<https://www.federalregister.gov/articles/xml/201/514/392.xml> (Text)

#### **Eligibility:**

Eligible applicants are SEAs in States with a State statute specifically authorizing the establishment of charter schools.

#### **Electronic Submission:**

All CSP grants for SEA applications must be received on or before 4:30:00 pm Washington, DC time on **July 16, 2015**. Please note that U.S. Department of Education grant application deadline is **4:30:00 P.M., Washington, DC time**. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30:00 P.M., Washington, DC time, on the application deadline date. Late applications will not be accepted. The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date and time.

An applicant may check the status of its application(s), any time after submission, by using the "Track My Application" feature available from the upper navigation on the Grants.gov site. Applicants may also check the status of a submission by logging into their Grants.gov account using the Applicant Login. After logging in, an applicant should click on the "Check Application Status" link on the left-hand menu. **Applicants should be careful that they download the intended CSP grants for SEAs application package and that they submit their applications under the intended CSP grants for SEAs competition (84.282A).** Your application will be reviewed under the competition it was submitted under, and only applications that are successfully submitted by the established deadline will be peer reviewed.

#### **2015 CSP Grants for SEAs Application Package**

Please note that the CSP grants for SEAs Application Package is for applicants to download and use as guides only. Unless the applicant qualifies for an exception to the electronic submission requirement (see Electronic Submission Policy below), all CSP grants for SEAs applications must be submitted electronically via Grants.gov.

#### **Pre-Application Meeting: 2:00 p.m. – 4:00 p.m., Wednesday, June 17, 2015.**

The Department will hold a pre-application meeting via webinar for prospective applicants on June 17, 2015 from 2:00 p.m. – 4:00 p.m., Washington, D.C. time. To register for this meeting please go to: <https://educateevents.webex.com/educateevents/onstage/g.php?d=745218033&t=a>.

#### **Apply: All applications must be submitted electronically via [Grants.gov](#).**

To submit an application on the [Grants.gov](#) website, hover over the "Applicant" tab. Select the "Apply for Grants" option, then click on "Download a Grant Application Package." Type in the CFDA (84.282) or the Funding Opportunity Number (INSERT NUMBER HERE). Click "Download Package." For assistance with the use of the Grants.gov system, please contact the Grants.gov help desk, at (800)518-4726, or email [support@grants.gov](mailto:support@grants.gov).

## NEW ADDITIONS FOR FY 2015

This CSP NIA has made many modifications compared to previous competitions consistent with the 2015 SEA NFP, FY 2015 Appropriations Act and recent updates to the CSP Nonregulatory Guidance.

Highlights of the changes made to the FY 2015 Notice Inviting Application (NIA) include the following:

- I. The Department conducted rulemaking activities in advance of this competition and invited public comment on proposed priorities, requirements, definitions, and selection criteria on November 19, 2014 in the Federal Register (79 F.R. 68812-68821). A summary of comments received and the Department's responses can be found in the 2015 SEA NFP, which was published simultaneously with the NIA on June 15, 2015 in the Federal Register (80 F.R. 34201-34227). Both notices can be found at the following URLs:

**Notice of Proposed Priorities:** <http://www.gpo.gov/fdsys/pkg/FR-2014-11-19/pdf/2014-27264.pdf>

**Notice of Final Priorities:** <http://www.gpo.gov/fdsys/pkg/FR-2015-06-15/pdf/2015-14391.pdf>

- II. The FY 2015 Notice Inviting Applications identifies two Absolute Priorities established in the FY 2015 NFP. There are three Competitive Preference Priorities established in the FY 2015 NFP and from Statute.
  - o Absolute Priorities
    - Absolute Priority 1—Periodic Review and Evaluation
    - Absolute Priority 2—Charter School Oversight
  - o Competitive Preference Priority (Optional)
    - Competitive Preference Priority 1—High-Quality Authorizing and Monitoring Processes (up to 15 points)
    - Competitive Preference Priority 2—One Authorized Public Chartering Agency Other than an LEA, or an Appeals Process (zero or 5 points)
    - Competitive Preference Priority 3—SEAs that Have Never Received a CSP Grant (zero or 5 points)
- III. The FY 2015 NIA adds four additional Application Requirements established in the 2015 SEA NFP. Applicants must provide: their definition of Academically Poor-Performing Charter School; their definition of High-Quality Charter School; a logic model for their project; and their lottery and enrollment preferences.
- IV. The FY 2015 NIA adds four additional Definitions established in the 2015 SEA NFP: Academically Poor-Performing Charter School, Educationally Disadvantaged Students, High-Quality Charter School, and Significant Compliance Issues.
- V. All Selection Criteria for the FY 2015 NIA are newly established and consistent with the FY 2015 NFP.
- VI. The FY 2015 Appropriations Act included language authorizing the use of CSP grant funds to support preschool education in charter schools. Applicants proposing to use CSP funds to support preschool education in charter schools should review the note in Section II, Award Information of the NIA.
- VII. In January 2014, the Department updated the CSP Nonregulatory Guidance to clarify the circumstances under which charter schools receiving CSP funds may use weighted lotteries in admissions (Questions E-3 and E-3a). Applicants proposing to use weighted lotteries should review the updated CSP Nonregulatory Guidance at <http://www2.ed.gov/programs/charter/nonregulatory-guidance.html> prior to responding to Application Requirement vii, Lottery and Enrollment Preferences of the NIA.

## IV. Application Submission Procedures

### APPLICATION TIPS

- I. Register or maintain registration on SAM.gov. The SAM registration process can take approximately seven business days, but may take upwards of several weeks, depending on the completeness and accuracy of the data entered into the SAM database by an entity. Thus, if you think you might want to apply for Federal financial assistance under a program administered by the Department, please allow sufficient time to obtain and register your DUNS number and TIN. Once your SAM registration is active, you will need to allow 24 to 48 hours for the information to be available in Grants.gov and before you can submit an application through Grants.gov. Also note that you will need to update your registration annually. This may take three or more business days.
- II. Register early on Grants.gov. The registration process may take up to two weeks to complete. For additional information on the registration and submission process please review the resources available on the Grants.gov Website.
- III. Verify that the person assigned to submit the application has been designated as an Authorized Organization Representative (AOR). Track your AOR status (see page 6). You must be “active” in order to submit an application on behalf of the organization.
- IV. Review the submission for clarity. Applications will be read by multiple peer reviewers; therefore it is important to ensure that the application can be understood by someone who is unfamiliar with your project. It is highly recommended that an applicant clearly state which priority, requirement or selection criterion their application is responding to throughout their submission.
- V. Submit all files in .PDF format. While Grants.gov may accept other format types, the Department’s system, which receives the files from Grants.gov, will only accept .PDF files. Files submitted in formats other than .PDF may not convert in a legible manner and, in these instances, cannot be reviewed.
- VI. Submit early on Grants.gov. Applications must be finished uploading, and be validated by the Grants.gov system, by 4:30:00pm, Washington, DC, time on the deadline date. Validation indicates if the submission was successful and may take up to two days. If the submitted application is deemed invalid due to an error, applicants may correct the error and resubmit only if the 4:30:00pm Washington, DC time deadline has not passed. Applicants are encouraged to review the submission to be sure that the files transmitted correctly. Grants.gov may not catch all errors. Late submissions or modifications to the submitted application will not be accepted after the deadline.
- VII. Each application will be reviewed under the competition it was submitted under in the Grants.gov system, and only applications that are successfully submitted by the established deadline will be peer reviewed. Applicants should be careful that they download the intended CSP grants for SEAs application package (84.282A) and that they submit their applications under the intended CSP grants for SEAs competition.

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

\*For more information on grants.gov submission procedures and Tips for Applicants please refer back to the submission procedures located at the beginning of this document starting on page 4.

## DUNS NUMBER INSTRUCTIONS

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

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

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

[http://www.dnb.com/US/duns\\_update/index.html](http://www.dnb.com/US/duns_update/index.html)

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

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

Note: Electronic submission via Grants.gov must use the D-U-N-S number your organization used when it registered in the System for Award Management.

## ELECTRONIC SUBMISSION POLICY

### **Electronic Submission is Required**

As outlined in the Federal Register notice for this grant competition, applications must be submitted electronically. You must submit your application using the electronic application system designated in the Federal Register notice. (The notice will designate whether you will use e-Application or Grants.gov). You may not e-mail an electronic copy to us. We will reject your application if you submit it in paper format unless you qualify for one of the exceptions to the electronic submission requirement described below and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions.

Under mandatory submission, electronic applications must be received by 4:30:00 pm Washington, DC time on the application deadline date. **Under this new policy, Education does not allow for any last minute waiver requests from applications, which is a change from the previous policy for mandatory electronic submission. Consequently, we strongly encourage you to review the registration and submission procedures for the designated electronic application system right away. In addition, we strongly suggest that you do not wait until the deadline date to submit your application.**

### **Exception to Electronic Submission Requirement:**

You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, by mail or hand delivery, if you are unable to submit an application through the electronic application system designated in the Federal Register notice because –

- You do not have access to the Internet; or
  - You do not have the capacity to upload large documents to the system;
- and
- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date. (Please follow the fax instructions found in the Federal Register notice for this competition. Also, your paper application must be submitted in accordance with the mail or hand delivery instructions also described in the Federal Register notice for this grant competition.)

For detailed information on the electronic submission requirement for this competition, please refer to the Federal Register notice.

## 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.**

## V. Application Instructions

### ELECTRONIC APPLICATION FORMAT

All applicants interested in completing a CSP grants for SEAs application should first thoroughly review the NIA for FY 2015 published in the Federal Register on June 15, 2015 (80 FR 34228- 34238). The NIA will orient applicants to the CSP grants for SEAs program by providing the following information:

- Background information and purpose of the program;
- Absolute Priorities;
- Competitive Preference Priorities (optional);
- Program Requirements;
- Key definitions;
- Award Information;
- Eligibility Information;
- Selection Criteria and assigned points;
- Procedural and substantive requirements of the application process, and
- Instructions on how to electronically submit the application.

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

## COMPLETING AND SUBMITTING YOUR APPLICATION

A complete application consists of the following components:

### Required Forms (specific instructions are included on page 30 of this document):

- ED Standard Forms; and
- Assurances and Certifications

### Application Narrative (specific instructions are included on page 43 of this document):

The CSP grants for SEAs application will use the following Grants.gov Narrative Forms.

- Abstract Narrative Form;
  - The Abstract Narrative Form is where you will attach an abstract of the project that addresses how your application meets the purpose of the CSP as stated in the NIA.
  - **Applicants should limit the abstract narrative to 1 page.** The abstract narrative does not count toward the 60 page limit for the project narrative.
- Project Narrative Form;
  - The Project Narrative Form is where you will attach the responses to the Priorities, Selection Criteria, and Requirements in the FY 2015 NIA.
  - To facilitate the review of the application, please organize your Project Narrative in the following order and include a Table of Contents: Absolute Priorities, Competitive Priorities (optional), Selection Criteria, and Application Requirements.
  - **Applicants should limit the project narrative to 60 pages.** The Table of Contents does not count towards this limit.
- Budget Narrative Form;
  - The Budget Narrative Form is where you will attach a budget narrative, aligned with the budget included on the ED 524 form. Only one budget should be submitted to represent costs. Specific instructions are included on page 58 of this application package.
  - The budget narrative does not count toward the 60 page limit specified above.
- Other Attachments Form (upload appendices here)
  - The Other Attachments Form is where you will attach the application appendices. Specific Appendix instructions are included on page 61 of this document. Applicants should not include substantive, project-related information that they wish peer reviewers to consider anywhere in the application other than in the Project Narrative Form and Budget Narrative Form sections.
  - There are five (5) "Other Attachments" and should be named: Appendix A: Charter School Program Assurances; Appendix B: Resumes/Curriculum Vitae; Appendix C: Letters of Support; Appendix D: Proprietary Information; Appendix E: Additional Information.

### Addressing Your Questions

For additional questions, please contact:

Kathryn Meeley  
U.S. Department of Education  
400 Maryland Avenue, S.W., room 4W257  
Washington, D.C. 20202-5970

Telephone: (202)453-6818 or by email: [Kathryn.Meeley@ed.gov](mailto:Kathryn.Meeley@ed.gov).

Applicants may also visit the CSP website at [www.ed.gov/programs/charter/index.html](http://www.ed.gov/programs/charter/index.html). Applicants should keep in mind that the Department cannot provide guidance on specific proposals.

## FY 2015 APPLICATION CHECKLIST

Applicants may use this checklist once they have completed their CSP grants for SEAs application. The checklist contains all mandatory parts of the application.

### ED Standard Forms

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

### Assurances and Certifications

- GEPA Section 427
- Assurances – Non-Construction Programs (SF 424B)
- Grants.gov Lobby form (formerly ED 80-0013 form)

### Application Narrative

- Abstract Narrative Form
- Project Narrative Form
- Budget Narrative Form

### Other Attachments (see page 60)

- Appendix A: Charter Schools Program Assurances
- Appendix B: Resumes/Curriculum Vitae
- Appendix C: Letters of Support (if applicable)
- Appendix D: Proprietary Information (if applicable)
- Appendix E: Additional Information (if applicable)

## A. REQUIRED FORMS

### REQUIRED FORMS INSTRUCTIONS

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

- Application for Federal Assistance (SF 424);  
**NOTE:** Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although this form accepts attachments, the Department of Education will review only materials/files attached to the section labeled "Other Attachments Form."
- Department of Education Supplemental Information for SF 424;
- Department of Education Budget Summary Form (ED 524) Sections A & B (Section B is not required);
- Disclosure of Lobbying Activities (SF-LLL);
- General Education Provisions Act (GEPA) Requirements - Section 427;
- Assurances, Non-Construction Programs (SF 424B); and
- Grants.gov Lobbying form (formerly ED 80-0013 form).

The following pages provide a copy of the instructions for completing these forms. Electronic copies of the required forms can be found at the following address: <http://www2.ed.gov/fund/grant/apply/appforms/appforms.html> and in the Grants.gov application package.

## INSTRUCTIONS FOR APPLICATION FOR FEDERAL ASSISTANCE (SF-424)

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

Item	Entry:	Item:	Entry:
1.	<b>Type of Submission:</b> (Required) Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Pre-application</li> <li>• Application</li> <li>• Changed/Corrected Application – Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date.</li> </ul>	10.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the federal agency from which assistance is being requested with this application.
		11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	<b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the federal government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.</li> </ul> <p>A. Increase Award                      D. Decrease Duration            B. Decrease Award                    E. Other (specify)            C. Increase Duration</p>	12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	<b>Competition Identification Number/Title:</b> Enter the competition identification number and title of the competition under which assistance is requested, if applicable.
		14.	<b>Areas Affected By Project:</b> This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or the applicant's control number if applicable.		
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the federal agency, if any.	16.	<b>Congressional Districts Of:</b> 16a. (Required) Enter the applicant's congressional district. 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina's 103 district. If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.
5b.	<b>Federal Award Identifier:</b> For new applications, enter NA. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the state, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the state, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		
	<b>a. Legal Name:</b> (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.

	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	<b>Estimated Funding:</b> (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.																								
	<b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .	19.	<b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> (Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.																								
	<b>d. Address:</b> Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).	20.	<b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.																								
	<b>e. Organizational Unit:</b> Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.	21.	<b>Authorized Representative:</b> To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)																								
	<b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.																										
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.																										
	<table border="0"> <tr> <td>A. State Government</td> <td>M. Nonprofit</td> </tr> <tr> <td>B. County Government</td> <td>N. Private Institution of Higher Education</td> </tr> <tr> <td>C. City or Township Government</td> <td>O. Individual</td> </tr> <tr> <td>D. Special District Government</td> <td>P. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td>E. Regional Organization</td> <td>Q. Small Business</td> </tr> <tr> <td>F. U.S. Territory or Possession</td> <td>R. Hispanic-serving Institution</td> </tr> <tr> <td>G. Independent School District</td> <td>S. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td>H. Public/State Controlled Institution of Higher Education</td> <td>T. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td>I. Indian/Native American Tribal Government (Federally Recognized)</td> <td>U. Alaska Native and Native Hawaiian Serving Institutions</td> </tr> <tr> <td>J. Indian/Native American Tribal Government (Other than Federally Recognized)</td> <td>V. Non-US Entity</td> </tr> <tr> <td>K. Indian/Native American Tribally Designated Organization</td> <td>W. Other (specify)</td> </tr> <tr> <td>L. Public/Indian Housing Authority</td> <td></td> </tr> </table>	A. State Government	M. Nonprofit	B. County Government	N. Private Institution of Higher Education	C. City or Township Government	O. Individual	D. Special District Government	P. For-Profit Organization (Other than Small Business)	E. Regional Organization	Q. Small Business	F. U.S. Territory or Possession	R. Hispanic-serving Institution	G. Independent School District	S. Historically Black Colleges and Universities (HBCUs)	H. Public/State Controlled Institution of Higher Education	T. Tribally Controlled Colleges and Universities (TCCUs)	I. Indian/Native American Tribal Government (Federally Recognized)	U. Alaska Native and Native Hawaiian Serving Institutions	J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Non-US Entity	K. Indian/Native American Tribally Designated Organization	W. Other (specify)	L. Public/Indian Housing Authority			
A. State Government	M. Nonprofit																										
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L. Public/Indian Housing Authority																											

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

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

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

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

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

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

**I. Definitions and Exemptions**

**A. Definitions.**

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

**—Research**

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

**—Human Subject**

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

**B. Exemptions:**

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

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects’ responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects’ financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving***

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

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

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

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

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

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

If the applicant marked “Yes” for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

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

If you marked “Yes” for item 3 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

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

If you marked “No” for item 3 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

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

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

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

consent or the requirement for documentation of consent.

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

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

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

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

***Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site:  
<http://www.ed.gov/about/offices/list/OCFO/humansub.html>***

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

## INSTRUCTIONS FOR THE SF-424

### INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

**1. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.

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

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

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

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

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

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

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

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

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

**Paperwork Burden Statement.** According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12<sup>th</sup> Street, S.W. Room 7076, Washington, D.C. 20202-4260.

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

## General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. You may access the Education Department General Administrative Regulations, 34 CFR 74 – 86 and 97-99, on ED’s website at:

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

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

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

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

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

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

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

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

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

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

- a) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after ED issues a grant award notification; and
- b) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.

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

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

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

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

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

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

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

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

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

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

requirement or provided as a voluntary cost-sharing or matching commitment, you must include:

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

[Please review ED’s general cost sharing and matching regulations, which include specific limitations, in 34 CFR 74.23, applicable to non-governmental entities, and 80.24, applicable to governments, and the applicable Office of Management and Budget (OMB) cost principles for your entity type regarding donations, capital assets, depreciation and use allowances. OMB cost principle circulars are available on OMB’s website at: <http://www.whitehouse.gov/omb/circulars/index.html>]

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

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

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

5. Provide other explanations or comments you deem necessary.

## INSTRUCTIONS FOR DISCLOSURE OF LOBBYING ACTIVITIES (SF-LLL)

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

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

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

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## ASSURANCES AND CERTIFICATIONS INSTRUCTIONS

### GENERAL EDUCATION PROVISIONS ACT (GEPA) SECTION 427

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

Section 427 requires each applicant to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally-assisted program for students, teachers, and other program beneficiaries with special needs.

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

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

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

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

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

- **Barrier**—Low-income parents cannot participate in grant activities held in the evening at a local school because they lack babysitting and transportation.  
**Solution**—Grant money will be spent to carry out a detailed plan (explained within the applicant's GEPA statement) to help the parents overcome their babysitting and transportation difficulties.
- **Barrier**—Sight impaired students cannot benefit from reading tutors paid for with grant money because the students are unable to use the books available during the tutoring sessions.  
**Solution**—Grant money will pay for materials in Braille.

## ASSURANCES- NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

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

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

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

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276a-7), the Copeland Act

(40 U.S.C. §276c and 18 U.S.C. §874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §4801 et seq.) which prohibits the use of

lead- based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

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

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### Certification for Contracts, Grants, Loans and Cooperative Agreements.

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

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal Loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.
- (2) If any funds other Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, 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 or any agency, a member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, “Disclosure of Lobbying Activities,” in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

## B. APPLICATION NARRATIVE INSTRUCTIONS

### INSTRUCTIONS FOR PROJECT NARRATIVE

Applicants applying for CSP grant funds must address the absolute priorities, application requirements, and the selection criteria. In addition, they may respond to one or all of the competitive preference priorities. An applicant may choose to respond to the application requirement in the context of its responses to the selection criteria but should note its location accordingly.

#### **Priorities**

The FY 2015 CSP grants for SEAs NIA includes two Absolute Priorities and three Competitive Preference Priorities. Applicants are required to respond to both Absolute Priorities in the project narrative. The two Absolute Priorities are explained in detail in the NIA.

#### **Selection Criteria**

The Project Narrative should describe the project that an applicant would carry out if funded and include the eligible applicant's response to the Selection Criteria since the application will be evaluated and scored against these criteria. The maximum possible score for each criterion is indicated in the NIA.

#### **Requirements**

The FY 2015 CSP grants for SEAs NIA includes numerous application requirements. Applicants are required to respond to all application requirements within the project narrative. These Application Requirements are explained in detail in the NIA.

#### **Formatting**

A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides. Page numbers and an identifier may be within the 1" margin. Double-space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, and references. Use a font size that is either 12-point or larger or no smaller than 10 pitch. Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.

#### **Page Limits**

Eligible applicants should limit the Project Narrative to **60 pages**. Please provide any charts, graphs, citations, or examples in the project narrative. Refer to the Federal Register Notice for additional application submission requirements. The Table of Contents and attachments do not count against the page limit.

To facilitate the review of the application, please organize your Project Narrative in the following order and include a Table of Contents.

- **Absolute Priorities**
- **Competitive Priorities (optional)**
- **Selection Criteria**
- **Application Requirements**

## FY 2015 ABSOLUTE PRIORITIES AND COMPETITIVE PREFERENCE PRIORITIES

The FY 2015 Competition identifies two Absolute Priorities and three Competitive Preference Priorities.

### **Absolute Priorities**

***Absolute Priority 1--Periodic Review and Evaluation:*** To meet this priority, the applicant must demonstrate that the State provides for periodic review and evaluation by the authorized public chartering agency of each charter school at least once every five years, unless required more frequently by State law, and takes steps to ensure that such reviews take place. The review and evaluation must serve to determine whether the charter school is meeting the terms of the school's charter and meeting or exceeding the student academic achievement requirements and goals for charter schools as set forth in the school's charter or under State law, a State regulation, or a State policy, provided that the student academic achievement requirements and goals for charter schools established by that policy meet or exceed those set forth under applicable State law or State regulation. This periodic review and evaluation must include an opportunity for the authorized public chartering agency to take appropriate action or impose meaningful consequences on the charter school, if necessary.

***Absolute Priority 2--Charter School Oversight:*** To meet this priority, an application must demonstrate that State law, regulations, or other policies in the State where the applicant is located require the following:

- a) That each charter school in the State –
  - 1) Operates under a legally binding charter or performance contract between itself and the school's authorized public chartering agency that describes the rights and responsibilities of the school and the public chartering agency;
  - 2) Conducts annual, timely, and independent audits of the school's financial statements that are filed with the school's authorized public chartering agency; and
  - 3) Demonstrates improved student academic achievement; and
- b) That all authorized public chartering agencies in the State use increases in student academic achievement for all groups of students described in section 1111(b)(2)(C)(v) of the Elementary and Secondary Education Act of 1965, as amended (ESEA) (20 U.S.C. 6311(b)(2)(C)(v)) as one of the most important factors when determining whether to renew or revoke a school's charter.

### **Competitive Preference Priorities (Optional)**

***Competitive Preference Priority 1--High-Quality Authorizing and Monitoring Processes (up to 15 points):*** To meet this priority, an applicant must demonstrate that all authorized public chartering agencies in the State use one or more of the following:

- a) Frameworks and processes to evaluate the performance of charter schools on a regular basis that include –
  - 1) Rigorous academic and operational performance expectations (including performance expectations related to financial management and equitable treatment of all students and applicants);
  - 2) Performance objectives for each school aligned to those expectations;
  - 3) Clear criteria for renewing the charter of a school based on an objective body of evidence, including evidence that the charter school has (a) met the performance objectives outlined in the charter or performance contract; (b) demonstrated

- organizational and fiscal viability; and (c) demonstrated fidelity to the terms of the charter or performance contract and applicable law;
- 4) Clear criteria for revoking the charter of a school if there is violation of law or public trust regarding student safety or public funds, or evidence of poor student academic achievement; and
  - 5) Annual reporting by authorized public chartering agencies to each of their authorized charter schools that summarizes the individual school's performance and compliance, based on this framework, and identifies any areas that need improvement.
- b) Clear and specific standards and formalized processes that measure and benchmark the performance of the authorized public chartering agency or agencies, including the performance of its portfolio of charter schools, and provide for the annual dissemination of information on such performance;
  - c) Authorizing processes that establish clear criteria for evaluating charter applications and include a multi-tiered clearance or review of a charter school, including a final review immediately before the school opens for its first operational year; or
  - d) Authorizing processes that include differentiated review of charter petitions to assess whether, and the extent to which, the charter school developer has been successful (as determined by the authorized public chartering agency) in establishing and operating one or more high-quality charter schools.

***Competitive Preference Priority 2--One Authorized Public Chartering Agency Other than a Local Educational Agency (LEA), or an Appeals Process (0 or 5 points).*** To meet this priority, the applicant must demonstrate the State—

- a) Provides for one authorized public chartering agency that is not an LEA, such as a State chartering board, for each individual or entity seeking to operate a charter school pursuant to State law; or
- b) In the case of a State in which LEAs are the only authorized public chartering agencies, allows for an appeals process for the denial of an application for a charter school.

**Note:** In order to meet this priority under paragraph (b) above, the entity hearing the appeal must have the authority to approve the charter application over the objections of the LEA.

***Competitive Preference Priority 3--SEAs that Have Never Received a CSP Grant (0 or 5 points):*** To meet this priority, an applicant must be an eligible SEA applicant that has never received a CSP grant.

## FY 2015 SELECTION CRITERIA

*The selection criteria for this completion are from the notice of final priorities, requirements, definitions, and selection criteria published in the Federal Register on June 15, 2015 (80 FR 34201-34227).*

*The selection criteria for applicants submitting applications under CFDA number 84.282A are listed below. The Notes following the selection criteria are guidance to help applicants in preparing their applications and are not required by statute or regulation. However, we encourage applicants to consider those Notes in responding to the selection criteria.*

- a) State-Level Strategy. (15 points)** The Secretary considers the quality of the State-level strategy for using charter schools to improve educational outcomes for students throughout the State. In determining the quality of the State-level strategy, the Secretary considers the following factors:
- 1) The extent to which the SEA's CSP activities, including the subgrant program, are integrated into the State's overall strategy for improving student academic achievement and attainment (including high school graduation rates and college and other postsecondary education enrollment rates) and closing achievement and attainment gaps, and complement or leverage other statewide education reform efforts;
  - 2) The extent to which funding equity for charter schools (including equitable funding for charter school facilities) is incorporated into the SEA's State-level strategy; and
  - 3) The extent to which the State encourages local strategies for improving student academic achievement and attainment that involve charter schools, including but not limited to the following:
    - i. Collaboration, including the sharing of data and promising instructional and other practices, between charter schools and other public schools or providers of early learning and development programs or alternative education programs; and
    - ii. The creation of charter schools that would serve as viable options for students who currently attend, or would otherwise attend, the State's lowest-performing schools.
- b) Policy Context for Charter Schools. (5 points)** The Secretary considers the policy context for charter schools under the proposed project. In determining the policy context for charter schools under the proposed project, the Secretary considers the following factors:
- 1) The degree of flexibility afforded to charter schools under the State's charter school law, including:
    - i. The extent to which charter schools in the State are exempt from State or local rules that inhibit the flexible operation and management of public schools; and
    - ii. The extent to which charter schools in the State have a high degree of autonomy, including autonomy over the charter school's budget, expenditures, staffing, procurement, and curriculum;
  - 2) The quality of the SEA's processes for:
    - i. Annually informing each charter school in the State about Federal funds the charter school is eligible to receive and Federal programs in which the charter school may participate; and

- ii. Annually ensuring that each charter school in the State receives, in a timely fashion, the school's commensurate share of Federal funds that are allocated by formula each year, particularly during the first year of operation of the school and during a year in which the school's enrollment expands significantly; and
- 3) The quality of the SEA's plan to ensure that charter schools that are considered to be LEAs under State law and LEAs in which charter schools are located will comply with sections 613(a)(5) and 613(e)(1)(B) of IDEA (20 U.S.C. 1400, et seq.), the Age Discrimination Act of 1975 (42 U.S.C. 6101, et seq.), title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d, et seq.), title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), and section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794).

**c) Past Performance (10 points).** The Secretary considers the past performance of charter schools in a State that enacted a charter school law for the first time five or more years before submission of its application. In determining the past performance of charter schools in such a State, the Secretary considers the following factors:

- 1) The extent to which there has been a demonstrated increase, for each of the past five years, in the number and percentage of high-quality charter schools (as defined in this notice) in the State;
- 2) The extent to which there has been a demonstrated reduction, for each of the past five years, in the number and percentage of academically poor-performing charter schools (as defined in this notice) in the State; and
- 3) Whether, and the extent to which, the academic achievement and academic attainment (including high school graduation rates and college and other postsecondary education enrollment rates) of charter school students equal or exceed the academic achievement and academic attainment of similar students in other public schools in the State over the past five years.

**Note: The Secretary does not consider selection criterion (c) Past Performance in evaluating the application submitted by an SEA in a State that enacted a charter school law for the first time fewer than five years before submission. Accordingly, such an SEA should not address this criterion in its application. To enable the Secretary to determine whether to consider criterion (c), an SEA should provide in its application the date when its State first enacted a charter school law and relevant supporting documentation.**

**d) Quality of Plan to Support Educationally Disadvantaged Students (15 points).** The Secretary considers the quality of the SEA's plan to support educationally disadvantaged students. In determining the quality of the plan to support educationally disadvantaged students, the Secretary considers the following factors:

- 1) The extent to which the SEA's charter school subgrant program would—
  - i. Assist students, particularly educationally disadvantaged students, in meeting and exceeding State academic content standards and State student achievement standards; and
  - ii. Reduce or eliminate achievement gaps for educationally disadvantaged students;
- 2) The quality of the SEA's plan to ensure that charter schools attract, recruit, admit, enroll, serve, and retain educationally disadvantaged students equitably, meaningfully, and, with regard to educationally disadvantaged students who are students with disabilities or English learners, in a manner consistent with, as appropriate, the IDEA

(regarding students with disabilities) and civil rights laws, in particular, section 504 of the Rehabilitation Act of 1973, as amended, and title VI of the Civil Rights Act of 1964;

- 3) The extent to which the SEA will encourage innovations in charter schools, such as models, policies, supports, or structures, that are designed to improve the academic achievement of educationally disadvantaged students; and
- 4) The quality of the SEA's plan for monitoring all charter schools to ensure compliance with Federal and State laws, particularly laws related to educational equity, nondiscrimination, and access to public schools for educationally disadvantaged students.

e) ***Vision for Growth and Accountability. (10 points)*** The Secretary determines the quality of the statewide vision, including the role of the SEA, for charter school growth and accountability. In determining the quality of the statewide vision, the Secretary considers the following factors:

- 1) The quality of the SEA's systems for collecting, analyzing, and publicly reporting data on charter school performance, including data on student academic achievement, attainment (including high school graduation rates and college and other postsecondary education enrollment rates), retention, and discipline for all students and disaggregated by student subgroup;
- 2) The ambitiousness, quality of vision, and feasibility of the SEA's plan (including key actions) to support the creation of high-quality charter schools during the project period, including a reasonable estimate of the number of high-quality charter schools in the State at both the beginning and the end of the project period; and
- 3) The ambitiousness, quality of vision, and feasibility of the SEA's plan (including key actions) to support the closure of academically poor-performing charter schools in the State (i.e., through revocation, non-renewal, or voluntary termination of a charter) during the project period.

**Note: In the context of closing academically poor-performing charter schools, we remind applicants of the importance of ensuring adherence to applicable laws, policies, and procedures that govern the closure of a charter school, the disposition of its assets, and the transfer of its students and student records.**

f) ***Dissemination of Information and Best Practices (10 points)***. The Secretary considers the quality of the SEA's plan to disseminate information about charter schools and best or promising practices of successful charter schools to each LEA in the State as well as to charter schools, other public schools, and charter school developers (20 U.S.C. 7221b(b)(2)(C) and 7221(c)(f)(6)). If an SEA proposes to use a portion of its grant funds for dissemination subgrants under section 5204(f)(6)(B) of the ESEA (20 U.S.C. 7221c(f)(6)(B)), the SEA should incorporate these subgrants into the overall plan for dissemination. In determining the quality of the SEA's plan to disseminate information about charter schools and best or promising practices of successful charter schools, the Secretary considers the following factors:

- 1) The extent to which the SEA will serve as a leader in the State for identifying and disseminating information and research (which may include, but is not limited to, providing technical assistance) about best or promising practices in successful charter schools, including how the SEA will use measures of efficacy and data in identifying such practices and assessing the impact of its dissemination activities;
- 2) The quality of the SEA's plan for disseminating information and research on best or promising practices used by, and the benefits of, charter schools that effectively

incorporate student body diversity, including racial and ethnic diversity and diversity with respect to educationally disadvantaged students, consistent with applicable law;

- 3) The quality of the SEA's plan for disseminating information and research on best or promising practices in charter schools related to student discipline and school climate; and
- 4) For an SEA that proposes to use a portion of its grant funds to award dissemination subgrants under section 5204(f)(6)(B) of the ESEA (20 U.S.C. 7221a(f)(6)(B)), the quality of the subgrant award process and the likelihood that such dissemination activities will increase the number of high-quality charter schools in the State and contribute to improved student academic achievement.

**g) *Oversight of Authorized Public Chartering Agencies (15 points)*.** The Secretary considers the quality of the SEA's plan (including any use of grant administrative or other funds) to monitor, evaluate, assist, and hold accountable authorized public chartering agencies. In determining the quality of the SEA's plan to provide oversight to authorized public chartering agencies, the Secretary considers how well the SEA's plan will ensure that authorized public chartering agencies are –

- 1) Seeking and approving charter school petitions from developers that have the capacity to create charter schools that can become high-quality charter schools;
- 2) Approving charter school petitions with design elements that incorporate evidence-based school models and practices, including, but not limited to, school models and practices that focus on racial and ethnic diversity in student bodies and diversity in student bodies with respect to educationally disadvantaged students, consistent with applicable law;
- 3) Establishing measureable academic and operational performance expectations for all charter schools (including alternative charter schools, virtual charter schools, and charter schools that include pre-kindergarten, if such schools exist in the State) that are consistent with the definition of high-quality charter school as defined in this notice;
- 4) Monitoring their charter schools on at least an annual basis, including conducting an in-depth review of each charter school at least once every five years, to ensure that charter schools are meeting the terms of their charter or performance contracts and complying with applicable State and Federal laws;
- 5) Using increases in student academic achievement as one of the most important factors in renewal decisions; basing renewal decisions on a comprehensive set of criteria, which are set forth in the charter or performance contract; and revoking, not renewing, or encouraging the voluntary termination of charters held by academically poor-performing charter schools;
- 6) Providing, on an annual basis, public reports on the performance of their portfolios of charter schools, including the performance of each individual charter school with respect to meeting the terms of, and expectations set forth in, the school's charter or performance contract;
- 7) Supporting charter school autonomy while holding charter schools accountable for results and meeting the terms of their charters or performance contracts; and
- 8) Ensuring the continued accountability of charter schools during any transition to new State assessments or accountability systems, including those based on college- and career-ready standards.

**h) Management Plan and Theory of Action (10 points).** The Secretary considers the quality of the management plan and the project's theory of action. In determining the quality of the management plan and the project's theory of action, the Secretary considers the following factors:

- 1) The quality, including the cohesiveness and strength of reasoning, of the logic model (as defined in 34 CFR 77.1(c)), and the extent to which it addresses the role of the grant in promoting the State-level strategy for using charter schools to improve educational outcomes for students through CSP subgrants for planning, program design, and initial implementation; optional dissemination subgrants; optional revolving loan funds; and other strategies;
- 2) The extent to which the SEA's project-specific performance measures, including any measures required by the Department, support the logic model; and
- 3) The adequacy of the management plan to—
  - i. Achieve the objectives of the proposed project on time and within budget, including the existence of clearly defined responsibilities, timelines, and milestones for accomplishing project tasks; and
  - ii. Address any compliance issues or findings related to the CSP that are identified in an audit or other monitoring review.

**Note:** The Secretary encourages the applicant to propose a comprehensive management plan and theory of action for assessing the achievement of the objectives, including developing performance measures and performance targets for its proposed grant project that are consistent with those objectives. The applicant should clearly identify the project-specific performance measures and performance targets in its plan and should review the logic model application requirement and performance measures section of this notice for information on the requirements for developing those performance measures and performance targets consistent with the objectives of the proposed project. The applicant may choose to include a discussion of the project-specific performance measures and targets it develops in response to the logic model requirement when addressing this criterion.

**i) Project Design. (10 points)** The Secretary considers the quality of the design of the SEA's charter school subgrant program, including the extent to which the project design furthers the SEA's overall strategy for increasing the number of high-quality charter schools in the State and improving student academic achievement. In determining the quality of the project design, the Secretary considers the following factors:

- 1) The quality of the SEA's process for awarding subgrants for planning, program design, and initial implementation, and, if applicable, for dissemination, including:
  - i. The subgrant application and peer review process, timelines for these processes, and how the SEA intends to ensure that subgrants will be awarded to eligible applicants demonstrating the capacity to create high-quality charter schools; and
  - ii. A reasonable year-by-year estimate, with supporting evidence, of (a) the number of subgrants the SEA expects to award during the project period and the average size of those subgrants, including an explanation of any assumptions upon which the estimates are based; and (b) if the SEA has previously received a CSP grant, the percentage of eligible applicants that were awarded subgrants and how this percentage related to the overall quality of the applicant pool;

- 2) The process for monitoring CSP subgrantees;
- 3) How the SEA will create a portfolio of subgrantees that focuses on areas of need within the State, such as increasing student body diversity or maintaining a high level of student body diversity, and how this focus aligns with the State-Level Strategy;
- 4) The steps the SEA will take to inform teachers, parents, and communities of the SEA's charter school subgrant program; and
- 5) A description of any requested waivers of statutory or regulatory provisions over which the Secretary exercises administrative authority and the extent to which those waivers will, if granted, further the objectives of the project.

## APPLICATION REQUIREMENTS

*These application requirements are from the notice of final priorities, requirements, definitions, and selection criteria for this competition published in the Federal Register on June 15, 2015 (80 FR 34201-34227) and Statute. An applicant may choose to respond the application requirements in the context of its responses to the selection criteria when applicable but should note where their response can be found in response to each application requirement.*

- i. **Academically poor-performing charter school:** Provide one of the following:
  - a. Written certification that, for purposes of the CSP grant, the SEA uses the definition of academically poor-performing charter school provided in this notice; or
  - b. If the State proposes to use an alternative definition of academically poor-performing charter school in accordance with paragraph (b) of the definition of the term in this notice, (1) the specific definition the State proposes to use; and (2) a written explanation of how the proposed definition is at least as rigorous as the standard in paragraph (a) of the definition of academically poor-performing charter school set forth in the Definitions section of this notice.
- ii. **Disseminating best practices:** Describe how the SEA will disseminate best or promising practices of charter schools to each LEA in the State, as requested in selection criterion (f) Dissemination of Information and Best Practices;
- iii. **Federal funds:** As requested in selection criterion (b) Policy Context for Charter Schools, describe how the SEA –
  - a. Will inform each charter school in the State about Federal funds the charter school is eligible to receive and Federal programs in which the charter school may participate; and
  - b. Will ensure that each charter school in the State receives the school’s commensurate share of Federal education funds that are allocated by formula each year, including during the first year of operation of the school and a year in which the school’s enrollment expands significantly;
- iv. **High-quality charter school:** Provide one of the following:
  - a. Written certification that, for purposes of the CSP grant, the SEA uses the definition of high-quality charter school provided in this notice; or
  - b. If the State proposes to use an alternative definition of high-quality charter school in accordance with paragraph (b) of the definition of the term in this notice, (1) the specific definition the State proposes to use; and (2) a written explanation of how the proposed definition is at least as rigorous as the standard in paragraph (a) of the definition of high-quality charter school set forth in the Definitions section of this notice.
- v. **IDEA Compliance:** Describe how charter schools that are considered to be LEAs under State law, and LEAs in which charter schools are located, will comply with sections 613(a)(5) and 613(e)(1)(B) of the Individuals with Disabilities Education Act (IDEA) (20 U.S.C. 1400, et seq.).
- vi. **Logic model:** Provide a complete logic model (as defined in 34 CFR 77.1) for the project. The logic model must address the role of the grant in promoting the State-level strategy for expanding the number of high-quality charter schools through startup subgrants, optional dissemination subgrants, optional revolving loan funds, and other strategies.

**Note:** The applicant should review section VI part 4, Performance Measures of the NIA for information on the requirements for developing project-specific performance measures and targets consistent with the objectives of the proposed project. Program performance measures, which are also discussed in section VI part 4, Performance Measures of the NIA, should be included within this logic model. The applicant also should review the information that the Secretary considers under Selection Criterion (h) Management Plan and Theory of Action.

For technical assistance in developing effective performance measures, applicants are encouraged to review information provided by the Department's Regional Educational Laboratories (RELs). The RELs seek to build the capacity of States and school districts to incorporate data and research into education decision-making. Each REL provides research support and technical assistance to its region but makes learning opportunities available to educators everywhere. For example, the REL Northeast and Islands has created the following resource on logic models: [//relpacific.mcrel.org/resources/elm-app](http://relpacific.mcrel.org/resources/elm-app).

- vii. **Lottery and enrollment preferences:** Describe (1) how lotteries for admission to charter schools will be conducted in the State, including any student enrollment preferences or exemptions from the lottery that charter schools are required or expressly permitted by the State to employ; and (2) any mechanisms that exist for the SEA or authorized public chartering agency to review, monitor, or approve such lotteries or student enrollment preferences or exemptions from the lottery. In addition, the SEA must provide an assurance that it will require each applicant for a CSP subgrant to include in its application descriptions of its recruitment and admissions policies and practices, including a description of the proposed lottery and any enrollment preferences or exemptions from the lottery the charter school employs or plans to employ, and how those enrollment preferences or exemptions are consistent with State law and the CSP authorizing statute (for information related to admissions and lotteries under the CSP, please see section E of the CSP Nonregulatory Guidance (January 2014) at [www2.ed.gov/programs/charter/nonregulatory-guidance.html](http://www2.ed.gov/programs/charter/nonregulatory-guidance.html)).

**Note:** All charter schools receiving CSP funds, as outlined in section 5210 of the Elementary and Secondary Education Act of 1965, as amended (ESEA), must comply with various non-discrimination laws, including the Age Discrimination Act of 1975, title VI of the Civil Rights Act of 1964, title IX of the Education Amendments Act of 1972, section 504 of the Rehabilitation Act of 1973, part B of the Individuals with Disabilities Act, and applicable State laws.

With respect to opening and operating a single-sex charter school, the applicant should ensure that charter schools in its State comply with the Equal Protection Clause of the U.S. Constitution (as interpreted in *United States v. Virginia*, 518 U.S. 515 (1996) and other cases) and Title IX of the Education Amendments of 1970 (20 U.S.C. 1681 et seq.) and its regulations, including 34 CFR 106.34(c).

- viii. **Objectives:** Describe the objectives of the SEA's charter school grant program, as requested in selection criterion (h) Management Plan and Theory of Action, and how these objectives will be fulfilled, including steps taken by the SEA to inform teachers, parents, and communities of the SEA's charter school grant program;
- ix. **Revolving loan fund:** If an SEA elects to reserve a portion of its grant funds (no more than 10 percent) to establish a revolving loan fund, describe how the revolving loan fund would operate;
- x. **Waivers:** If an SEA desires the Secretary to consider waivers under the authority of the CSP, include a request and justification for any waiver of statutory or regulatory provisions that the SEA believes is necessary for the successful operation of charter schools in the State, as requested in selection criterion (i) Project Design.

## GRANTEE REPORTING AND PERFORMANCE MEASURES

### Reporting:

At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as specified by the Secretary in 34 CFR 75.118. For specific requirements on grantee reporting, please refer to the ED Performance Report Form ED 524B at:

<http://www.ed.gov/fund/grat/apply/appforms/appforms.html>.

### Performance Measures:

(a) Program Performance Measures (GPRA). The goal of the CSP is to support the creation and development of a large number of high-quality charter schools that are free from State or local rules that inhibit flexible operation, are held accountable for enabling students to reach challenging State performance standards, and are open to all students. The Secretary has set two performance indicators to measure this goal:

- i. The number of charter schools in operation around the Nation;
- ii. The percentage of fourth-and-eighth grade charter school students who are achieving at or above the proficient level on State examinations in mathematics and reading/language arts.

Additionally, the Secretary has established the following measure to examine the efficiency of the CSP:

- iii. Federal cost per student in implementing a successful school (defined as a school in operation for three or more years).

All grantees will be expected to submit an annual performance report documenting their contribution in assisting the Department in meeting these performance measures.

(b) Project-Specific Performance Measures. Applicants must propose project-specific performance measures and performance targets consistent with the objectives of the proposed project. Applications must provide the following information as directed under 34 CFR 75.110(b) and (c):

- (1) Performance measures. How each proposed performance measure would accurately measure the performance of the project and how the proposed performance measure would be consistent with the performance measures established for the program funding the competition.
- (2) Baseline data. (i) Why each proposed baseline is valid; or (ii) If the applicant has determined that there are no established baseline data for a particular performance measure, an explanation of why there is no established baseline and of how and when, during the project period, the applicant would establish a valid baseline for the performance measure.
- (3) Performance targets. Why each proposed performance target is ambitious, yet achievable, compared to the baseline for the performance measure and when, during the project period, the applicant would meet the performance target(s).

**Note:** The Secretary encourages applicants to consider developing project-specific performance measures and targets tied to their grant activities as well as to student academic achievement during the grant period. The project-specific performance measures should be sufficient to gauge the progress throughout the grant period, show results by the end of the grant period, and be included in the **logic model** as outlined in the Application Requirements section of the FY 2015 NIA.

(4) Data Collection. The applicant must also describe in the application: (i) the data collection and reporting methods the applicant would use and why those methods are likely to yield reliable, valid, and meaningful performance data, and (ii) the applicant's capacity to collect and report reliable, valid, and meaningful performance data, as evidenced by high-quality data collection, analysis, and reporting in other projects or research.

Note: If the applicant does not have experience with collection and reporting of performance data through other projects or research, the applicant should provide other evidence of capacity to successfully carry out data collection and reporting for their proposed project. All grantees must submit an annual performance report with information that is responsive to these performance measures. ***If you will be unable to report on a measure annually it should not be identified as a project-specific performance measure.***

Note: For technical assistance in developing effective performance measures, applicants are encouraged to review information provided by the Department's Regional Educational Laboratories (RELs). The RELs seek to build the capacity of States and school districts to incorporate data and research into education decision-making. Each REL provides research support and technical assistance to its region but makes learning opportunities available to educators everywhere. For example, the REL Northeast and Islands has created the following resource on logic models: [//relpacific.mcrel.org/resources/elm-app](http://relpacific.mcrel.org/resources/elm-app).

For additional guidance on creating strong application objectives and performance measures, please review the following sections in the FY 2015 NIA: section VI part 4, Performance Measures, logic model requirement, and Selection Criterion (h) Management Plan and Theory of Action.

## SUGGESTED POINT RANGES FOR RATING APPLICANT RESPONSES TO THE SELECTION CRITERIA

*\*\*This document will be provided to peer reviewers to assist in the reviewing and scoring of the eligible applicant's response to the Selection Criteria. It is included here for the applicants' reference.*

All applicants are required to respond to each of the Selection Criteria published in the Notice Inviting Applications published in the Federal Register on June 15, 2015 (80 FR 34228 - 34238). Please assess applications based on the Selection Criteria. No outside factors, such as personal knowledge of past performance, or subjective judgments about what an application should contain may be considered. Please note that within each Selection Criterion no one factor is worth more points than the other. The application should be a comprehensive design for the proposed intervention and desired outcomes. Therefore, it is imperative that reviewers read the application in its entirety to determine the overall quality of the proposed project and the quality of the applicant's response to each Selection Criterion.

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

Maximum Point Value	Quality of Applicant's Response				
	Not Addressed	Poorly Developed	Adequately Developed	Well-Developed	Fully Developed
5	0	1-2	3	4	5
10	0	1-4	5-7	8-9	10
15	0	1-5	6-10	11-14	15

## INSTRUCTIONS FOR BUDGET NARRATIVE

Before preparing the budget narrative, **applicants should review the Federal Register notice inviting applications**, the instructions for ED 524 Section C, Budget Narrative and the program statute for specific guidance and requirements. Note that applications will be evaluated according to the specific selection criteria specified in the Federal Register notice. **Attachments must be in .PDF format.**

The Budget Narrative Form should include the eligible applicant's itemized budget breakdown, and justification by project year, aligned with the budget included on the ED 524 form.

Applicants must complete ED 524 (in the standard forms section) for all budget years of the proposed project. Applicants must also provide a budget narrative that describes their proposed multiyear project activities and the costs associated with those activities as well as all costs associated with carrying out the proposed project. Section 75.112(b) of EDGAR requires applicants to present "a narrative that describes how and when, in each budget period of the project, the applicant plans to meet each objective of the project." EDGAR may be accessed at:

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

The budget should include only costs that are allowable, reasonable, and necessary for carrying out the objectives of the grant project. Rules about allowable costs are set out in 2 CFR Part 200<sup>1</sup>, as adopted by the Department at 2 CFR Part 3474.<sup>2</sup>

For each line item of Sections A (federal costs) of the Budget Form (ED 524), provide detailed costs (in dollars) accompanied by a narrative justification to support your request.

**Note: There is no matching requirement under this program. If an applicant shows funding in Section B, they must meet this voluntary match if awarded.**

Please check all figures and combined totals in the budget narrative, and compare the amounts with those reflected on the ED 524.

**Funding Restrictions.** Grantees under this program:

- i. Must use grant funds for:
  - a. Post-award planning and design of the educational program, which may include: (i) refinement of the desired educational results and of the methods for measuring progress toward achieving those results; and (ii) professional development of teachers and other staff who will work in the charter school; and
  - b. Initial implementation of the charter school, which may include: (i) informing the community about the school; (ii) acquiring necessary equipment and educational materials and supplies; (iii) acquiring or developing curriculum materials; and (iv) other initial operational costs that cannot be met from State or local sources.
- ii. May reserve not more than 5 percent of such grant funds for administrative expenses associated with the charter school grant program.
- iii. May reserve not more than 10 percent of the grant funds for the establishment of a revolving loan fund. Such fund may be used to make loans to eligible applicants that have received a subgrant, under such terms as may be determined by the SEA, for the initial operation of the charter school grant program of the eligible applicant until such time as the recipient begins receiving ongoing operational support from State or local financing sources.
- iv. May reserve not more than 10 percent of the grant funds to support dissemination activities such as –

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<sup>1</sup> [http://www.ecfr.gov/cgi-bin/text-idx?SID=a00c8ef91d397f640d8c236871fe5eef&tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?SID=a00c8ef91d397f640d8c236871fe5eef&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)

<sup>2</sup> <http://www.ecfr.gov/cgi-bin/text-idx?SID=a00c8ef91d397f640d8c236871fe5eef&node=pt2.1.3474&rgn=div5>

- a. Assisting other individuals with the planning and start-up of one or more new public schools, including charter schools, that are independent of the assisting charter school and the assisting charter school's developers, and that agree to be held to at least as high a level of accountability as the assisting charter school;
  - b. Developing partnerships with other public schools, including charter schools, designed to improve student academic achievement in each of the schools participating in the partnership;
  - c. Developing curriculum materials, assessments, and other materials that promote increased student achievement and are based on successful practices within the assisting charter school; and
  - d. Conducting evaluations and developing materials that document the successful practices of the assisting charter school and that are designed to improve student performance in other schools.
- v. Must attend a two-day meeting for project directors at a location in the continental U.S. during each year of the project. Applicants are encouraged to include the cost of attending this meeting in their proposed budget.

**Note:** The FY 2015 Appropriations Act authorizes the use of CSP funds “for grants that support preschool education in charter schools.” Accordingly, an application submitted under this competition may propose to use CSP funds to support preschool education in charter schools. For guidance on how charter schools may use CSP funds to support preschool education in charter schools, please see the Department’s nonregulatory guidance, entitled *Charter Schools Program Guidance on the Use of Funds to Support Preschool Education*, released in November 2014, at [www2.ed.gov/programs/charter/csppreschoolfaqs.doc](http://www2.ed.gov/programs/charter/csppreschoolfaqs.doc).

### Instructions for Completing the Budget Narrative

Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Section A of the ED 524 (and Section B, if applicable). Provide other budget explanations or comments deemed necessary.

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

Fringe Benefits (Line 2): If applicable to this program, provide the rate and base on which fringe benefits are calculated and identify the staff who are receiving the benefits. Leave this line blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect costs.

Travel (Line 3): Indicate the travel costs of employees and participants only. Provide a breakdown of the costs associated with each trip and justification for the costs. In addition, eligible applicants should include costs for at least one project staff person (project director) to attend an annual 2-day project directors meeting in Washington, DC.

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

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

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

Construction (Line 7): Not applicable.

Other (Line 8): Indicate all direct costs not covered on lines 1-6. This includes a breakdown of number of subgrants per year as well as the amount of each award or range, if applicable, per year. In addition, this line also could include costs such as space rental, required fees, training, and communication and printing costs. *Do not include costs that are included in the indirect cost rate.*

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

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

**NOTE:** If you have questions about obtaining an approved Indirect Cost Rate or applying your Indirect Cost Rate, you may contact a cost negotiator using the information provided at the following URL: <http://www2.ed.gov/about/offices/list/ocfo/fipao/icgreps.html>. If you have further questions about Indirect Cost rates, please refer to 2 CFR 200.56.

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

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

*Please note that a budget justification should be provided for both Federal costs and Non-Federal costs (if applicable).*

## OTHER ATTACHMENTS/APPENDIX

Applicants should **attach all appendices to the Other Attachments Form**. For each appendix, applicants are asked to save files as a .PDF, label each file with the Appendix name (e.g., Appendix A – Charter School Program Assurances) and upload the file to the Other Attachments Form. The Other Attachments Form can support up to ten attachments, therefore please merge appendices into one document as necessary.

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

- Appendix A:** **Charter School Program Assurances:** Include a signed copy of the Charter School Program Assurances – State Educational Agencies included on page 62 of this document.
- Appendix B:** **Resumes/Curriculum Vitae:** Provide resumes/curriculum vitae for the project director as well as any key personnel identified in the application.
- Appendix C:** **Letters of Support:** If applicable, provide letters of support for the project.
- Appendix D:** **Proprietary Information:** Applicant’s list of proprietary information found in the application, if applicable. Applicants should identify the specific information and page numbers in the application where it can be found.
- Appendix E:** **Additional Information:** Provide any additional information needed and label Appendix E: Additional Information when uploading.

## CHARTER SCHOOLS PROGRAM ASSURANCES – STATE EDUCATIONAL AGENCIES

Pursuant to Section 5203(b)(3) of the Elementary and Secondary Education Act of 1965, as amended (ESEA); Title III of the Consolidated and Further Continuing Appropriations Act, 2015; and sections 200.302(a) and 200.331(d) of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, a State educational agency (SEA) application for a grant under the CSP must contain the following assurances.

As the duly authorized representative of the applicant, I certify to the following:

- 1) The applicant will require each eligible applicant desiring to receive a subgrant to submit an application to the SEA containing:
  - A. A description of the educational program to be implemented by the proposed charter school, including (i) how the program will enable all students to meet challenging State student academic achievement standards; (ii) the grade levels or ages of children to be served; and (iii) the curriculum and instructional practices to be used;
  - B. A description of how the charter school will be managed;
  - C. A description of (i) the objectives of the charter school; and (ii) the methods by which the charter school will determine its progress toward achieving those objectives;
  - D. A description of the administrative relationship between the charter school and the authorized public chartering agency;
  - E. A description of how parents and other members of the community will be involved in the planning, program design and implementation of the charter school;
  - F. A description of how the authorized public chartering agency will provide for continued operation of the school once the Federal grant has expired, if such agency determines that the school has met its objectives;
  - G. A request and justification for waivers of any Federal statutory or regulatory provisions that the eligible applicant believes are necessary for the successful operation of the charter school, and a description of any State or local rules, generally applicable to public schools, that the applicant proposes to be waived, or otherwise not apply to, the school;
  - H. A description of how the subgrant funds will be used, including a description of how such funds will be used in conjunction with other Federal programs administered by the U.S. Secretary of Education;
  - I. A description of how students in the community will be (i) informed about the charter school; and (ii) given an equal opportunity to attend the charter school;
  - J. An assurance that the eligible applicant will annually provide the Secretary and the SEA such information as may be required to determine if the charter school is making satisfactory progress toward achieving the objectives described in subparagraph (C)(i);
  - K. An assurance that the applicant will cooperate with the Secretary and the SEA in evaluating the program assisted under this subpart;
  - L. A description of how a charter school that is considered a local educational agency under State law, or a local educational agency in which a charter school is located, will comply with sections 613(a)(5) and 613(e)(1)(B) of the Individuals with Disabilities Education Act;

M. If the eligible applicant desires to use subgrant funds for dissemination activities under section 5202(c)(2)(C), a description of those activities and how those activities will involve charter schools and other public schools, local educational agencies, developers, and potential developers; and

N. Such other information and assurances as the Secretary and SEA may require.

2) The applicant will –

- A. Use the grant funds to award subgrants to one or more eligible applicants in the State to enable the applicant to plan and implement a charter school in accordance with this program; and
- B. Use a peer review process to review applications for subgrants.

3) State law, regulations, or other policies in the State where the applicant is located require that –

- A. Each authorized charter school in the State operate under a legally binding charter or performance contract between itself and the school’s authorized public chartering agency that describes the obligations and responsibilities of the school and the public chartering agency; conduct annual, timely, and independent audits of the school’s financial statements that are filed with the school’s authorized public chartering agency; and demonstrate improved student academic achievement; and
- B. Authorized public chartering agencies use increases in student academic achievement for all groups of students described in section 1111(b)(2)(C)(v) of the ESEA as one of the most important factors when determining to renew or revoke a school’s charter.

4) The applicant will monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved.

5) The applicant and each subrecipient will use financial management systems, including records documenting compliance with Federal statutes, regulations, and the terms and conditions of the Federal award, that are sufficient to permit the preparation of reports required by general and program-specific terms and conditions; and the tracing of funds to a level of expenditures adequate to establish that such funds have been used according to the Federal statutes, regulations, and the terms and conditions of the Federal award.

\_\_\_\_\_  
NAME OF AUTHORIZED OFFICIAL

\_\_\_\_\_  
TITLE

\_\_\_\_\_  
SIGNATURE OF AUTHORIZED OFFICIAL

\_\_\_\_\_  
DATE

\_\_\_\_\_  
APPLICANT ORGANIZATION

\_\_\_\_\_  
DATE SUBMITTED

## VI. Additional Information

### EXECUTIVE ORDER 12372

#### Intergovernmental Review of Federal Programs

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

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

[http://www.whitehouse.gov/omb/grants\\_spoc](http://www.whitehouse.gov/omb/grants_spoc)

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372—CFDA#84.282A. U.S. Department of Education, room 7E200, 400 Maryland Avenue, S.W., Washington, D.C. 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.*

### PAPERWORK BURDEN STATEMENT

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1894-0006. The time required to complete this information collection is estimated to average 60 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: 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: Charter Schools Program, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington D.C. 20202-5970.