



## **Action Plan Implementation Grant Application Guidelines**

The Center for Education and Career Innovation (CECI) was established by Governor Mike Pence via an Executive Order in August 2013. Its mission is to advance the learning outcomes for Hoosier students and adult workers by: (1) aligning statewide efforts to connect the education and workforce training pipeline with the needs of Indiana's employers, and (2) supporting the expansion of innovative and highly effective education and career development initiatives.

CECI combines the operational support for four state entities that include: the Indiana Career Council, Indiana Works Councils, Education Roundtable, and the State Board of Education (SBOE). CECI's guiding principles include:

- Supporting integrated service delivery that is student- and adult worker-centric, and is focused on defined outcomes.
- Ensuring Indiana's educators are given the necessary freedom, support and flexibility to succeed in the classroom, and are rewarded for their successes.
- Fostering, identifying and scaling the most innovative and effective education and workforce models, tools and resources.
- Holding students, adult workers, educators, schools, higher education institutions and workforce programs accountable for their progress through rigorous, fair and transparent accountability systems.
- Eliminating silos and aligning resource allocation efforts in collaboration with public and private sector partners, providers and employers.

The Indiana Works Councils and CECI announce the availability of \$825,000, \$75,000 per region, in funding as matching grants to private investments for the Action Plan Implementation Grant. The purpose of this grant application is to support the implementation and execution of each region's Regional Action Plan. Action plans are currently being developed to help guide the work of each Regional Works Council and to create actionable items and measurable outcomes, specifically in the areas of CTE Awareness, Sector Partnerships, and Curriculum Development. It is expected that a very large percentage of the grant funds will be used on administrative costs (e.g. staff to support implementation of the plan, supplies and materials, and/or consultant fees).

In addition to grant funding, CECI is in the process of securing the services of the Center of Excellence in Leadership of Learning (CELL) to provide technical assistance to Regional Works Councils. Once finalized, grant recipients will receive technical assistance from CELL, with special attention paid to developing local interagency partnerships, sector partnership development, educational pathway development, and the development of communication strategies for the dissemination of Pathways and Sector Partnerships. This technical assistance will be made available to all grant recipients and will be tailored to the individual needs and goals of each region.

## ***Section I: Eligible Applicants***

Grant proposals must be developed and approved by an Indiana Regional Works Council. Please see Appendix A: “Definitions” for a list of entities that may serve as fiscal agents. The Indiana Regional Works Council will submit the grant proposal to CECI. A review team will analyze all grant proposals. The review team may consult with industry, business, employer, and/or workforce training experts.

## ***Section II: Fiscal Requirements***

Grants will be available for 24 consecutive months during which grantees may request reimbursement on a quarterly basis.

The deadline to submit grant proposals is January 15, 2015. Grants will require a 1:1 ratio of grant funding to private investment match, meaning that the grantee will receive \$1 in grant funding, not to exceed \$75,000, for each \$1 of private investment matching funds.

Grants will run on the following approximate timeline:

| <b>Event</b>                          | <b>Timeline</b>  |
|---------------------------------------|------------------|
| Proposals Due                         | January 15, 2015 |
| Announcement of Awards                | February 1, 2015 |
| Funding Available                     | March 1, 2015    |
| First Status Report and Invoice Due   | April 15, 2015   |
| Second Status Report and Invoice Due  | July 15, 2015    |
| Third Status Report and Invoice Due   | October 15, 2015 |
| Fourth Status Report and Invoice Due  | January 15, 2016 |
| Fifth Status Report and Invoice Due   | April 15, 2017   |
| Sixth Status Report and Invoice Due   | July 15, 2016    |
| Seventh Status Report and Invoice Due | October 15, 2016 |
| Final Status Report and Invoice Due   | January 15, 2017 |

### ***Payment and Status Reports***

Grantees must submit quarterly status reports and fiscal invoices, via email and/or postal mail, to CECI. Each status report must include the following: (1) name, title, and annual salary for any staff member supported by grant dollars, (2) a financial statement, (3) report on performance measures, and (4) update on the implementation of the action plan. Invoices will not be processed without a status report. If a status report and/or invoice is not received by the due date listed in the grant timeline, reimbursement requests may be held until a status report is received.

### ***Requests for Reimbursement***

Grantees must submit requests for reimbursement utilizing the attached invoice (Appendix B). Reimbursements may be submitted on a quarterly basis (utilizing the timetable above) and will not



be processed without a status report. CECI will process requests for reimbursement as quickly as possible. Reimbursements may take up to 45 days.

#### *Fiscal Agents, Grant Contract and Conditions of Payment*

Grants awarded must be received by a fiscal agent which is registered as a business entity with the Indiana Secretary of State. To check status or request registration please visit the Secretary of State's website at <http://www.in.gov/sos/business/2426.htm> or call 317-232-6531. Fiscal agents must also be an active registered vendor with the Auditor of State's Office. Please provide an active Vendor Identification Number or you may request a new or updated registration by completing a W-9 and State Form 47551(Appendix C). Please refer to Appendix A for a list of eligible fiscal agents.

Before grant funding will be awarded, the Grantee must agree to the terms provided within the grant contract. All services provided by the Grantee under this Contract must be performed to the State's reasonable satisfaction, as determined at the discretion of the undersigned State representative and in accordance with all applicable federal, state, local laws, ordinances, rules and regulations. The State shall not be required to pay for work found to be unsatisfactory, inconsistent with this Contract or performed in violation of any federal, state or local statute, ordinance, rule or regulation.

Unless the grant agreement provides otherwise, all interest earned on grant funds during the grant period must be expended by the grant recipient during the grant period, but only for purposes authorized by the grant. Any grant funds or interest earned on grant funds not expended or obligated at the end of the grant period and any interest earned on grant funds after the grant period has expired, must be returned to the state within 45 days following the end of the grant period.

### ***Section III: Narrative Requirements***

The purpose of this grant is to support the successful implementation of the Regional Action Plan.

All submissions must be in Microsoft Word format. **No other format will be accepted.**

Applicants must respond to each question in order and in the format required. Each answer should be numbered to reflect the section and question it answers. Answers should be as specific as possible.

#### **A. Activities Supporting Implementation of Regional Action Plan**

##### **60 Points**

Grants will provide support of efforts of Regional Work Councils to implement Regional Action Plans. Activities from Regional Action Plans should be focused on one of the three principal areas: CTE Awareness, Sector Partnerships, and/or Curriculum Development.

Grantees must answer the following questions in their proposal:

1. What activities will be supported using grant funds?
2. How will activities be supported?
  - i. If staff are to be hired, please provide title, salary, and benefit information for the proposed position. Please also provide a summary of the day-to-day duties of the staff, including how staff will interact with employers, educators, and council members.



- ii. If consultants are to be hired, please provide a summary of the projects and/or deliverables to be completed by the consultant(s).
- iii. If the Council plans to use any portion of the grant on implementation activities that do not involve staff, please provide a description of what goods and services will be funded with grant funds.

## **B. Performance Measures, Metrics, and Evaluation**

### **30 Points**

A CECI guiding principle is to hold students, adult workers, educators, schools, higher education institutions, and workforce programs accountable for their progress through rigorous, fair, and transparent accountability systems. Grantees must answer the following questions as part of their proposal.

1. What are the goals and proposed outcomes for the regional action plan?
2. What outcome based measures will the grantee utilize to evaluate how well each outcome is achieved?
3. What metrics will be used to gauge efficiency?
4. How will success be defined?
5. If staff and/or consultants are hired using grant funding, what metrics will be used to evaluate their success?

## **C. Budget Narrative**

### **10 Points**

1. Please detail all costs outlined on the budget form.
2. Please explain in detail how the private funds will be utilized to support the implementation of the regional action plan.
3. If staff and/or consultants are to be hired using any portion of grant funds, please provide the following information:
  - i. Salary and fringe benefit costs (staff)
  - ii. Fees and/or other expenses (consultants)

## ***Section IV: Submission Requirements***

### **A. Application Format**

Applications must be typed, single spaced in size 11 font on 8 ½” by 11” paper with all pages sequentially numbered and the Regional Works Council number at the top of every page. The narrative for Section III may be no longer than 10 pages, including any answer tables used. Applicants must respond to each question in order and in the format required. Each answer should be numbered to reflect the section and question it answers.

Required forms do not count against the page limitation and are not required to have page numbers. The first page must be Form 1 – Grant Application Cover Sheet. A Grant Application Checklist is provided. Please submit all application documents in the order listed on the Grant Application Checklist.

Please note, only applications submitted in Microsoft Word format will be considered.

### **B. Submission Requirements**



All grant proposals are to be submitted to CECI by an Indiana Regional Works Council who has worked closely with the fiscal agent to develop the proposal. Applicants must address all requirements and *one original hardcopy application* must be **received** at the Center for Education and Career Innovation by the proposal due date. Please note that CECI must receive applications by this deadline, i.e. this is not the postmark date. CECI will not accept faxed copies. **Only applications submitted in Microsoft Word format will be considered.** Applications should be sent to:

Center for Education and Career Innovation  
Attn: Jason Barrett  
143 W. Market St., Suite 500  
Indianapolis, IN 46204

*In addition to a hard copy, electronic copies* of the narrative and budget forms in Microsoft Word must be submitted via email to Jason Barrett at [jbarrett@ceci.in.gov](mailto:jbarrett@ceci.in.gov) with the subject "Region #: Action Plan Implementation Grant"

A confirmation email will be sent once both the electronic and hardcopy versions of the application are received. Use the Grant Application Checklist to check that all components have been submitted.

#### **C. Technical Assistance**

Questions about this grant opportunity may be addressed to Jason Barrett, Program Specialist, Indiana Works Council, at [jbarrett@ceci.in.gov](mailto:jbarrett@ceci.in.gov) or 317-233-4085.



## **Application Checklist**

- ☐ Form 1: Grant Application Cover Sheet
- ☐ Form 2: Budget Detail Sheet (Grant Funds)
- ☐ Form 3: Budget Detail Sheet (Private Match Funds)
- ☐ Grant Narrative
- ☐ W-9 and State Form 47551

## **List of Appendices**

- ☐ Appendix A: Definitions
- ☐ Appendix B: Invoice
- ☐ Appendix C: W-9 and State Form 47551

## Form 1: Grant Application Cover Sheet

Works Council Region: \_\_\_\_\_

Chairperson of Region: \_\_\_\_\_

Signature of Chairperson: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: IN Zip+4: \_\_\_\_\_

### Fiscal Agent

Name of Organization: \_\_\_\_\_

Employer Identification Number (EIN): \_\_\_\_\_

Contact

Person: \_\_\_\_\_

Title: \_\_\_\_\_

Phone: \_\_\_\_\_

Date: \_\_\_\_\_

Fax: \_\_\_\_\_

Email Address: \_\_\_\_\_

Signature of Fiscal Agent: \_\_\_\_\_

### Project Director *(person responsible for conducting daily grant operations)*

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

Title: \_\_\_\_\_

Phone: \_\_\_\_\_

Date: \_\_\_\_\_

Fax: \_\_\_\_\_

Email Address: \_\_\_\_\_

### Any Additional Contact Information

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

Title: \_\_\_\_\_

Phone: \_\_\_\_\_

Date: \_\_\_\_\_

Fax: \_\_\_\_\_

Email Address: \_\_\_\_\_

Total Grant Funding Amount Requested: \$

Total Private Investment Matching Funds: \$

Total Amount of Application (Grant Funding + Private Investment) \$

## Form 2: Application Budget Detail Sheet (Grant Funds)

Note: **Please enter only the total grant dollars requested for each category.** When entering dollar amounts, round off to the nearest dollar. Submit details explaining the expenditures by category below.

| Explanation of Expenditure                        | Amount Requested<br>(in grant funding only) |
|---|---|
| Salary Expenses                                   | \$  |
| Benefits and other Salary-Related Expenses        | \$  |
| Indirect Costs (maximum of 5.7% of grant funding) | \$  |
| Travel Costs:                                     | \$  |
| Other Costs:                                      | \$  |
| <b>TOTAL GRANT FUNDS REQUESTED</b>                | \$  |



### Form 3: Application Budget Detail Sheet (Private Match Funds)

Note: **Please enter only the total private matching dollars for each category.** When entering dollar amounts, round off to the nearest dollar. Submit details explaining the expenditures by category below.

| <b>Explanation of Private Investment</b>       | <b>Amount of Private Investment Matching Funds</b> |
|--|--|
| Salary Expenses                                | \$   |
| Benefits and other Salary-Related Expenses     | \$   |
| Indirect Costs:                                | \$   |
| Travel Costs:                                  | \$   |
| Other Costs:                                   | \$   |
| <b>TOTAL PRIVATE INVESTMENT MATCHING FUNDS</b> | <b>\$</b>  |

## **Appendix A: Definitions**

The definition of “private investment” includes:

- Individual funds
- Business or corporate funds
- Non-profit organization or foundation funds

The definition of “private investments” does NOT include:

- Local government funds
- State government funds
- Federal government funds

The term “private match” includes:

- Cash
- Equipment or facilities
- Personnel time and expertise

The term “matching” means a ratio between “private investments” and state innovative career and technical education curriculum development funds. The cost for all matching investments must be clearly articulated within the program budget.

Allowable fiscal agents include:

- Private entity/corporation
- Non-profit organization; 501(c)(3)
- School district
- Local Education Authority (LEA)

Allowable expenses include:

- Salary and benefits for staff
- Consultancy fees
- Travel
- Administrative Costs

Indirect costs associated with administering grant projects may be paid using grant funding totaling not more than 5.7% of the total awarded amount.

Expenses not expressly stated as allowable may also be classified as allowable. It will be at the discretion of the review committee to make final determinations on allowable costs.

