

|  |  |  |
| --- | --- | --- |
| Magnet Schools  Assistance Program  Grant  Application | | FY 2017 |
| **CLOSING DATE 04/11/2017**  U.S. Department of Education  Office of Innovation and Improvement Washington, DC 20202-5970 | CFDA Number: 84.165A  Form Approved  OMB No. 1855-0011  **Expiration Date: 08-31-2019** | |

TABLE OF CONTENTS

[I. LETTER TO THE APPLICANT 3](#_Toc468829396)

[II. NOTICE INVITING APPLICATIONS 4](#_Toc468829397)

[III. THE APPLICATION PROCESS 5](#_Toc468829398)

[Application Checklist 7](#_Toc468829399)

[Instructions for ED Abstract Narrative 8](#_Toc468829400)

[Instructions for Application/Project Narrative 8](#_Toc468829401)

[Instructions for Budget Narrative 11](#_Toc468829402)

[Instructions for Other Documents & Attachments 12](#_Toc468829403)

[IV. DESEGREGATION PLAN INFORMATION FORMS 14](#_Toc468829404)

[Type of Desegregation Plan 14](#_Toc468829405)

[Instructions for Enrollment Data 15](#_Toc468829406)

[V. STANDARD FORMS, ASSURANCES, AND CERTIFICATIONS 17](#_Toc468829407)

[Application for Federal Assistance SF-424 18](#_Toc468829408)

[Instructions for SF-424 21](#_Toc468829409)

[Supplemental Information for the SF-424](#_Toc468829410) 24

[Supplemental Information Instructions for the SF-424 26](#_Toc468829410)

[Definitions for Supplemental Information for the SF-424 28](#_Toc468829411)

[ED SF 524 Budget Form 31](#_Toc468829412)

[Instructions for ED 524 Budget Form 33](#_Toc468829413)

[Magnet Schools Assistance Program Assurances 34](#_Toc468829414)

[Certification Regarding Lobbying 35](#_Toc468829415)

[Disclosure of Lobbying Activities](#_Toc468829415) 36

[Instructions for Completion of SF-LLL 37](#_Toc468829418)

[Survey Ensuring Equal Opportunity for Applicants 39](#_Toc468829419)

[Instructions for Survey on Ensuring Equal Opportunity for Applicants 40](#_Toc468829420)

[GEPA Statement 41](#_Toc468829421)

[Assurances – Non-Construction Programs 42](#_Toc468829422)

[VI. Submitting Your Completed Application 44](#_Toc468829423)

[Grants.gov Submission Procedures and Tips for Applicants 44](#_Toc468829424)

[D-U-N-S Number Instructions 52](#_Toc468829425)

[VII. ADDITIONAL INFORMATION 53](#_Toc468829426)

[Executive Order 12372 53](#_Toc468829427)

[Paperwork Burden Statement 53](#_Toc468829428)

# LETTER TO THE APPLICANT

Dear Applicant:

Thank you for your interest in the Magnet Schools Assistance Program (MSAP), administered by the Office of Innovation and Improvement, Parental Options and Improvement Programs of the U.S. Department of Education (Department). The MSAP, authorized under the Elementary and Secondary Education Act of 1965 (ESEA), as amended, provides funding to local educational agencies interested in supporting the development and implementation of magnet schools to reduce, eliminate or prevent minority group isolation, to assist in the achievement of systemic reforms, and to provide all students with the opportunity to meet challenging academic content and student academic achievement standards.

Please take the time to thoroughly review the Notice Inviting Applications (NIA) for FY 2017 published in the Federal Register, especially the selection criteria, competitive preference priorities, and all of the application instructions. An application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the program (EDGAR §75.216 (b) and (c)).

Using FY 2017 funds, the Department expects to award approximately $90,582,483 for new grants under this competition. We will award discretionary grants on a competitive basis for a project period of up to 60 months. Grants are expected to be awarded no later than September 30, 2017.

I invite you to take advantage of this opportunity to implement magnet schools that will promote high student academic achievement; promote diversity; reduce, eliminate, or prevent minority group isolation; and, promote a choice of curriculum delivery. Please visit our program website at <http://innovation.ed.gov/what-we-do/parental-options/magnet-school-assistance-program-msap/applicant-info-and-eligibility/> for more information. If you have any questions about the program after reviewing the application package, please contact Jennifer Todd by telephone at (202) 453-6984 or via e-mail at [jennifer.todd@ed.gov](mailto:jennifer.todd@ed.gov).

Sincerely,

Anna Hinton, PhD

Director

Parental Options and Improvement Programs

# Notice Inviting Applications

Notice Inviting Applications for New Awards for Fiscal Year (FY) 2017

Catalog of Federal Domestic Assistance (CFDA) Number: 84.165A.

Magnet Schools Assistance Program

Applications Available: December 13, 2016

Deadline for Notice of Intent to Apply: January 9, 2017

Deadline for Transmittal of Applications: April 11, 2017

**The full text of the Magnet Schools Assistance Program Notice Inviting Applications can be found on the Federal Register Website.**

# The Application Process

The following is a brief overview of the application process for the Magnet Schools Assistance Program (MSAP):

**Getting Started**

All interested applicants should first thoroughly review the Notice Inviting Applications (NIA) for FY 2017 published in the Federal Register. The NIA will orient applicants with the MSAP by providing the following information:

* Background information and purpose of the program;
* Eligibility requirements;
* Competitive Preference Priorities;
* Selection Criteria and assigned points;
* 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.

**Pre-Application Webinar Information**

The Department intends to provide technical assistance to interested applicants. Detailed information regarding this webinar/these webinars will be provided on the program website. A recording of each webinar will be available on the website following the session(s).

**Completing and Submitting Your Application**

A complete application consists of the following components:

* Abstract Narrative;
* Project Narrative;
* Budget Narrative;
* Appendices; and
* Required Forms:
  + Standard Forms,
  + Assurances and Certifications, and
  + MSAP Forms

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

All **MSAP** applicationsmust be received on or before **April 11, 2017**.

It is **mandatory** for applicants to use Grants.gov. We strongly encourage you to familiarize yourself with and register for the for the Grants.gov system *and* submit early. Only applications submitted in a timely manner using Grants.gov will be considered for funding. Late applications will not be accepted. The Department is required to enforce the established deadline to ensure fairness to all applications.

We strongly recommend that you do not wait until the last day to submit your application.The time it takes to upload the narratives for your application will vary depending on a number of factors including the size of the files and the speed of your Internet connection. If you try to submit your application after 4:30 p.m. ET on the deadline date, the Grants.gov system will not accept it.

Please note that U.S. Department of Education grant application deadlines are 4:30 p.m. ET. No changes or additions to an application will be accepted after the deadline date and time.

## Application Checklist

Use the checklist that follows as a guide to ensure that your application is complete and includes all of the necessary forms and information.

🗌 A project abstract (no more than one page in length)

🗌 Application for Federal Assistance Form (SF-424)

🗌 ED Supplement to the SF-424

🗌 Budget forms (ED Form 524)

🗌 Itemized budget and other budget information

🗌 A table of contents for the program narrative

🗌 Program narrative addressing Competitive Preference Priority 1: Need for Assistance, Competitive Preference Priority 4: Increasing Racial Integration and Socioeconomic Diversity, and the MSAP selection criteria.

🗌 Desegregation plan, appropriate Tables and other information

🗌 Desegregation Plan Information Form and Attachments

🗌 Enrollment Data Tables

🗌 Tables 1 and 2—LEA-Level Enrollment Data and Year of Implementation for Existing Magnet Schools included in the Project

🗌 Table 3—Magnet School Enrollment Data

🗌 Table 4—Feeder School Enrollment Data

🗌 Additional Tables

🗌 Table 5—Selection of Students-Competitive Preference 3

🗌 Table 6—New or Revised Magnet Schools Projects-Competitive Preference 2

🗌 Assurances and Certifications

🗌 Magnet Schools Assistance Program Assurances

🗌 Standard Assurances for Non-Construction Programs (SF-424B)

🗌 Grants.gov Lobbying Form

🗌 Other information

🗌 Required response to Section 427 of GEPA

🗌 SF LLL Disclosure of Lobbying Activity

🗌 Resumes of key personnel

🗌 Letters of support (optional)

🗌 Written agreement between parties to a joint application (if applicable)

## Instructions for ED Abstract Narrative

The abstract is to be attached to the “ED Abstract Attachment Form” in the application package in Grants.gov.

The abstract narrative must not exceed one page and should use language that will be understood by a range of audiences. For all projects, include the project title (if applicable), major project goals and objectives, the names of the magnet schools that will participate in the project, a brief description of the special curricular programs (e.g., Math and Science, Montessori, Performing Arts, etc.) that each magnet school will implement, and the number of students expected to participate in each magnet school program.

## Instructions for Application/Project Narrative

Project Narrative Attachment Form (found in the Grants.gov application package) – This is where applicants will attach their narrative responses to the selection criteria and the following competitive preference priorities:

* Competitive Preference Priority 1—Need for Assistance
* Competitive Preference Priority 4—Increasing Racial Integration and Socioeconomic Diversity

This part of the application constitutes the portion of the application that is subject to the suggested page limit described in the Federal Register notice inviting applications for this competition.

To facilitate the review of the your Magnet Schools Assistance Program application, we recommend that you address the competitive preference priority for “Need for Assistance”, the competitive preference priority for “Increasing Racial Integration and Socioeconomic Diversity”, and then the selection criteria published in the application notice in the order in which they appear in the Federal Register notice inviting applications for this competition.

You will provide data needed to respond to the other two competitive preference priorities—“Selection of Students” in Table 5 and “New and Revised Magnet Schools” in Table 6. The information needed to respond to these priorities is not subject to the suggested page limit that applies to the application/project narrative part of the application.

Notes

Competitive Preference Priority 2—Revised or New Magnet Schools Projects

You are encouraged to carry out a new evidence-based (as defined in the notice) magnet school program or significantly revise an existing magnet school program using evidence-based methods and practices*,* as available, or replicate an existing magnet school program that has a demonstrated record of success in increasing student academic achievement and reducing isolation of minority groups.

The proposal should specify the intervention(s) in the study or studies that you plan to implement, the findings within the citations that you are requesting to be considered as evidence based, including page number(s) of specific tables if applicable. The Department will not consider a study citation or citations that you fail to clearly identify for review. **No more than two studies** may be submitted under this part.

In addition to referencing the study citation or citations in the application narrative, **you must include a copy of the full study or studies in the Appendix**. References to the citation or citations or the provision of publically accessible links that lead to the study or studies are not, in and of themselves, sufficient. If the Department determines that an applicant has provided insufficient information, the applicant will not have an opportunity to provide additional information at a later time.

Instructions for Submitting Evidence

As a guide, we offer the following example for submitting evidence. It is suggested that you address the three following pieces (citation, citation outcome(s), and relevance to proposed project) in your response to satisfy this CPP:

Citation. Provide the full citation for each study you are putting forth for consideration. If the study has been reviewed by the WWC, please include the rating it received.

Example:

*Bettinger, E.P., & Baker, R. (2011). The effects of student coaching in college: An evaluation of a randomized experiment in student mentoring. Stanford, CA: Stanford University School of Education.*

*Meets WWC Group Design Standards without Reservations.*

Citation Outcome(s). Describe: 1) the outcomes in the study presented and how those outcomes are statistically significant; and 2) how the outcomes in the evidence relate to the outcomes in your project.

Example:

*This study found that students assigned to receive coaching and mentoring were significantly more likely than students in the comparison group to remain enrolled at their institutions.*

*The proposed project will create an institutional mentoring and support structure that trains the professional staff and faculty coaches on how and when to effectively communicate with students who are at risk for withdrawing from or failing out of school.*

Relevance to Proposed Project. Briefly describe the intervention used in the study presented as evidence. How does the evidence relate to your proposed project? Will your proposed project measure the same outcomes? What link is there between the study presented and your proposed intervention and/or study? If applicable, explain how the population in your proposed project is similar to that used in the cited study.

Example:

*The intervention in the study is a form of college mentoring called student coaching. Students were randomly assigned an individual coach who helped students throughout the first year of college. Coaches helped with a number of issues, including prioritizing studies and identifying barriers and ways to overcome them. Coaches were encouraged to contact their assignees by either phone, email, text messaging, or social networking sites.*

*Our project will train professional staff and faculty coaches on the most effective way(s) to communicate with their mentees, suggest topics for mentors to talk to their mentees, and be aware of signals to prevent withdrawal or academic failure.*

*The full study sample consisted of 13,555 students. The number of students examined for purposes of retention was 2,694. Sample characteristics for just these students are not presented; thus, the following characteristics are for the full sample of students in the study: control had a mean of 49% females, intervention group had a mean of 50% females and the average age for control students was 30.5, for intervention students it was 30.6.*

*Alpha Beta Community College has 7,000 new students every year with a retention/completion rate of 55%. Our student body has 48% males and 52% females.  ABCC student body has an average age of 28.5 years.*

See What Works Clearinghouse (WWC) Procedures and Standards Handbook (Version 3.0, March 2014) (<http://ies.ed.gov/ncee/wwc/DocumentSum.aspx?sid=19>).

The Secretary has established five performance measures to assess progress toward meeting the purpose of the MSAP. Three are annual measures and two are long-term measures.

The three annual performance measures are:

(1) The number and percentage of magnet schools receiving assistance whose student enrollment reduces, eliminates, or prevents minority group isolation.

(2) The percentage increase of students from major racial and ethnic groups in magnet schools receiving assistance who score proficient or above on State assessments in reading/language arts as compared to previous year’s data.

(3) The percentage increase of students from major racial and ethnic groups in magnet schools receiving assistance who score proficient or above on State assessments in mathematics as compared to previous year’s data.

The two long-term performance measures are:

(4) The percentage of magnet schools that received assistance that are still operating magnet school programs three years after Federal funding ends.

(5) The percentage of magnet schools that received assistance that meet the State’s annual measurable objectives and, for high schools, graduation rate targets at least three years after Federal funding ends.

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 Grant Performance Report (ED 524-B Form) at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

## Instructions for Budget Narrative

The Budget Narrative Attachment Form in the Grants.gov application package is where applicants attach budget information.

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.

If applicable to this program, provide the rate and base on which fringe benefits are calculated.

Additionally, in providing explanations and comments, applicants should identify planning costs, which are subject to limitations under Section 4408 of the MSAP Statute. Specifically, planning costs are limited to 50% of the amount awarded for the first year of the project; 15% for the second year of the project; and 15% for the third year of the project. Planning costs would include, for example, any cost incurred in the first year of a project for a magnet school that would not begin to implement its program until the second year of the project. Applicants are reminded that evaluation costs and professional development costs are not considered to be planning costs.

If you are requesting reimbursement for indirect costs on line 10, specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on 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. Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied. Provide other explanations or comments you deem necessary.

## Instructions for Other Documents & Attachments

All other documents needed for your application include the desegregation plan information, Tables 1 through 6 that provide information about various aspects of your project, including the enrollment data required by §280.20(f) in the Magnet Schools Assistance Program regulations, resumes, letters of support, and so forth. Tables 1-6 are located on the MSAP website at <http://innovation.ed.gov/what-we-do/parental-options/magnet-school-assistance-program-msap/applicant-info-and-eligibility/>. Please download the forms, complete the forms, “save as” the table number, and upload the completed forms as an attachment to the rest of the application in Grants.gov.

**Desegregation Plan Information Form**

Check the appropriate box to indicate whether the applicant is implementing a required plan or a voluntary plan. The applicant must also attach copies of the appropriate documents based on the type of desegregation plan that the applicant is implementing.

**Tables 1 – 4—Enrollment Data**

These tables provide current and projected enrollment data for the applicant, the magnet schools included in the project and schools from which students would be drawn (feeder schools). Specific instructions for this set of tables are included with the tables. A separate copy of Table 3 will be needed for each magnet school included in the project. A separate copy of Table 4 will be needed for each feeder school included in the project.

**Table 5—Selection of Students-Competitive Preference 3**

Provide data for each magnet school included in the project. Specific instructions for this table are included with the table.

Complete a separate Table 5 for each school in the proposed project.

**Table 6—New or Revised Magnet Schools Projects-Competitive Preference 2**

Provide data for each magnet school identified in Tables 1 – 5. Specific instructions for this table are included with the table.

The questions are designed to help applicants identify if the schools included in the proposed project are considered new or revised programs, and if considered revised, the significance of the revision.

Complete a separate Table 6 for each school in the proposed project.

**Resumes**

Provide individual resumes for the proposed project directors and other key personnel described in project narrative. Provide brief resumes or, for positions that would be filled after a grant is awarded, job descriptions that include relevant qualifications for the individual(s) that the district would seek to recruit for those positions. Each resume should be limited to no more than three pages in length.

**Letters of Support (Optional)**

**Joint Application Information (if necessary)**

If the application is a joint application between two or more local educational agencies to implement an inter-district magnet schools plan, the application must provide the information described in 34 CFR 75.128 concerning the agency that will be designated as the applicant and the agreement between members of the group.

**Assurances**

In addition to the standard assurances contained elsewhere in the application package, a Magnet Schools Assistance Program application requires the inclusion of a signed copy of the Magnet Schools Assistance Program assurances. Download this form from the application package, sign, and upload the signed form to the narrative section tab titled- Magnet Schools Assistance Program Assurances.

# DESEGREGATION PLAN INFORMATION FORMS

|  |  |
| --- | --- |
| Type of Desegregation Plan ***(Check One & Attach the Appropriate Documents)*** | |
| 🞏 A Required Plan: A plan that is (1) implemented pursuant to a final order of a court of the United States, or a court of any State, or any other state agency or official of competent jurisdiction and (2) the order requires the desegregation of minority group segregated children or faculty in the elementary and secondary schools of that agency or those agencies.  Attach the Following Documents   * A copy of the court or agency order that demonstrated that the magnet school(s) for which assistance is sought under the grant are a part of the approved plan. * Note: If the applicant is implementing a previously approved plan that does not include the magnet school(s) for which assistance is requested, the plan must be modified to include the new magnet school(s). The applicant must obtain approval of the new magnet schools, or any other modification to its desegregation plan, from the court, agency or official that originally approved the plan. The date by which proof of approval of any desegregation plan modification must be submitted to the US Department of Education is identified in the closing date notice.   Any **required desegregation plan modification** should be received by May 19, 20017, and should be sent to:  Jennifer Todd  U.S. Department of Education  Office of Innovation & Improvement  400 Maryland Avenue SW, 4W201  Washington, DC 20202-5970 | 🞎 A Voluntary Plan: A plan to reduce, eliminate or prevent minority group isolation that is being implemented (or would be implemented if assistance under the Magnet Schools Assistance Program is made available) on either a voluntary basis or as required under Title VI of the Civil Rights Act of 1964.    Attach the Following Documents   * A copy of the plan * A copy of the school board resolution adopting and implementing the plan, or agreeing to adopt and implement the plan upon the award of assistance. |

|  |
| --- |
| Instructions for Enrollment Data |
| **These instructions apply to Tables 1-4. The tables are displayed in a suggested format, and applicants may provide the data in a different format if they choose to do so. However submitted, this data is needed for each magnet school included in the project. The tables that are included in this application guide packet are for demonstration only. The official enrollment data tables are located on the Magnet Schools Assistance Program website at** [**http://innovation.ed.gov/what-we-do/parental-options/magnet-school-assistance-program-msap/applicant-info-and-eligibility/**](http://innovation.ed.gov/what-we-do/parental-options/magnet-school-assistance-program-msap/applicant-info-and-eligibility/)**. You will need to download each PDF table, complete the table, “save as” the appropriate table name, and upload each table with your application in Grants.gov.** |
| **Enrollment Data for the Local Educational Agency (LEA) – Table 1**  Provide actual enrollment data as of October 1, 2016 (or the closest date to October 1, 2016 when the LEA’s enrollment data was collected) for the grade levels (e.g., PK-8, as applicable) affected by the project that shows the enrollment disaggregated by race and ethnicity of students in the LEA’s schools. If the application is a joint application, provide data for the schools of each participating LEA.  Provide enrollment data for the grade levels affected by the magnet project that shows the projected number of students as of October 1, 2017 (Project Yr. 1: School Yr. 2017-2018), October 1, 2018 (Project Yr. 2: School Yr. 2018-2019), October 1, 2019 (Project Yr. 3: School Yr. 2019-2020), October 1, 2020 (Project Yr. 4: School Yr. 2020-2021), and October 1, 2021 (Project Yr. 5: School Yr. 2021-2022).  If the project includes any magnet schools that are existing magnet schools (i.e., schools that already implement a magnet program whether or not the magnet school or program has been previously supported with MSAP funds), identify the school year in which the school began implementation of a magnet program. Appropriately identify the status (i.e., new, revised, etc.) of all proposed schools.  **Enrollment Data for the Magnet Schools Included in the Project – Table 3**  Provide actual enrollment data as of October 1, 2016 (or the closest date to October 1, 2016 when the LEA’s enrollment data was collected) by grade that shows the number of students disaggregated by race and ethnicity enrolled in each magnet school.  (Special Note: If a school has no enrollment for the 2016-2017 school year, for example because it is a new school, provide an estimate of the enrollment that the school would have had for the 2016-2017 school year if it had operated as a regular school, consistent with the applicant’s policy for assigning students to regular non-magnet schools.)  Provide projected enrollment data by grade for each magnet school that shows the projected number of students disaggregated by race and ethnicity as of October 1, 2017 (Project Yr. 1: School Yr. 2017-2018), October 1, 2018 (Project Yr. 2: School Yr. 2018-2019), October 1, 2019 (Project Yr. 3: School Yr. 2019-2020), October 1, 2020 (Project Yr. 4: School Yr. 2020-2021), and October 1, 2021 (Project Yr. 5: School Yr. 2021-2022). Projected enrollment data should show what each magnet school’s enrollment would be expected to be if the magnet program is successfully implemented.  **Enrollment Data for Feeder Schools – Table 4**  (Note: The Magnet Schools Assistance Program defines “feeder schools” as the schools from which students are drawn, that is the schools at the same grade level as the magnet school that students would have attended if they did not attend the magnet school.)  Provide actual enrollment data as of October 1, 2016 (or the closest date to October 1, 2016 when the LEA’s enrollment data was collected) for each feeder school that shows the number of students disaggregated by race and ethnicity enrolled in those schools and identifies the magnet school(s) associated with each feeder school. If the application is a joint application, provide separate data for the feeder schools from each participating LEA.  Provide projected enrollment data for the feeder schools identified above that shows the projected number of students as of October 1, 2017 (Project Yr. 1: the 2017-2018 School Yr.), October 1, 2018 (Project Yr. 2: the 2018-2019 School Yr.), October 1, 2019 (Project Yr. 3: the 2019-2020 School Yr.), October 1, 2020 (Project Yr. 4: the 2020-2021 School Yr.), and October 1, 2021 (Project Yr. 5: the 2021-2022 School Yr.). Projected enrollment data should show what enrollment of feeder schools would be expected to be if the magnet program is successfully implemented.  If the application is a joint application, provide separate data for the schools of each participating LEA. |

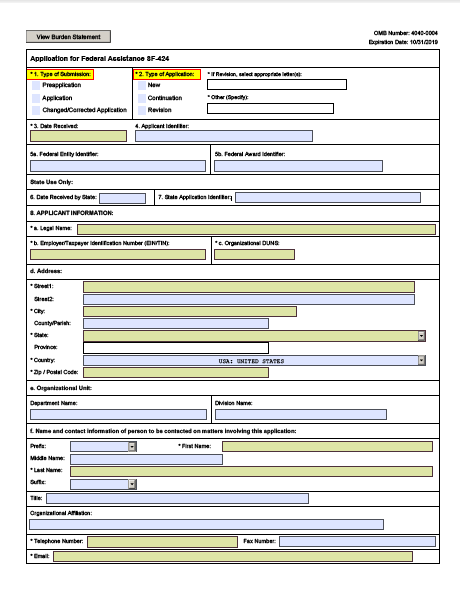
# STANDARD FORMS, ASSURANCES, AND CERTIFICATIONS

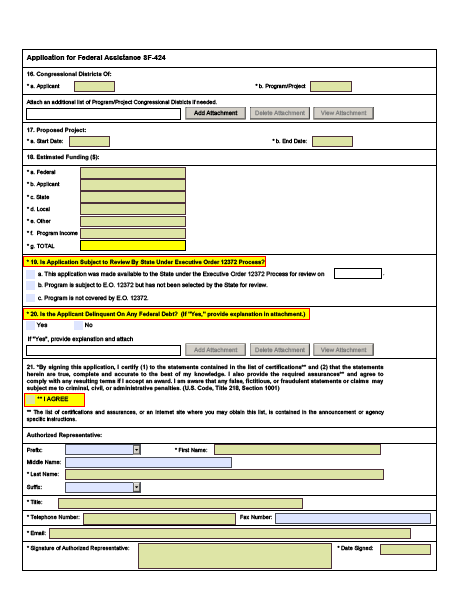
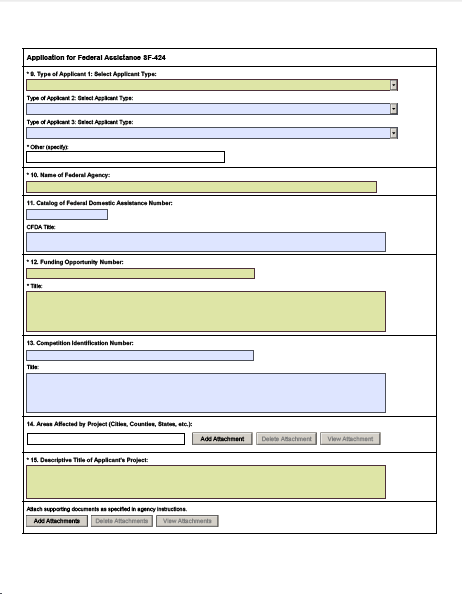
The standard forms used for the Magnet Schools Assistance Program grant competition are:

* Application Form for Federal Assistance (SF 424 and Supporting Documents)
* ED Supplemental Form for SF 424
* Budget Information, Non-Construction Programs (ED 524, Sections A, B, and C)
* Standard Assurances, Non-Construction Programs (SF 424B)
* Certification Regarding Lobby (Grants.gov)
* Disclosure of Lobbying Activities (SF-LLL)
* General Education Provisions Act (GEPA) Requirements – Section 427

These forms are located at <http://www2.ed.gov/fund/grant/apply/appforms/appforms.html>.

## Application for Federal Assistance SF-424





## Instructions for SF-424

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

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Item | Entry: | | Item: | Entry: |
| 1. | **Type of Submission:** (Required) Select one type of submission in accordance with agency instructions.  • Pre-application  • Application  • Changed/Corrected Application – Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date. | | 10. | **Name Of Federal Agency**: (Required) Enter the name of the federal agency from which assistance is being requested with this application. |
| 11. | **Catalog Of Federal Domestic Assistance Number/Title:**  Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable. |
| 2. | **Type of Application**: (Required) Select one type of application in accordance with agency instructions.  • New – An application that is being submitted to an agency for the first time.  • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.  • Revision - Any change in the federal government’s financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.  A. Increase Award D. Decrease Duration  B. Decrease Award E. Other (specify)  C. Increase Duration | | 12. | **Funding Opportunity Number/Title:** (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement. |
| 13. | **Competition Identification Number/Title:** Enter the competition identification number and title of the competition under which assistance is requested, if applicable. |
| 14. | **Areas Affected By Project:** This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed. |
| 3. | **Date Received:** Leave this field blank. This date will be assigned by the Federal agency. | | 15. | **Descriptive Title of Applicant’s Project:** (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project. |
| 4. | **Applicant Identifier:** Enter the entity identifier assigned by the Federal agency, if any, or the applicant’s control number if applicable. | |  |  |
| 5a. | **Federal Entity Identifier**: Enter the number assigned to your organization by the federal agency, if any. | | 16. | **Congressional Districts Of**: 16a. (Required) Enter the applicant’s congressional district. 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina’s 103 district. If all congressional districts in a state are affected, enter “all” for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed. |
| 5b. | **Federal Award Identifier**: For new applications, enter NA. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions. | |
| 6. | **Date Received by State:** Leave this field blank. This date will be assigned by the state, if applicable. | |
| 7. | **State Application Identifier:** Leave this field blank. This identifier will be assigned by the state, if applicable. | |
| 8. | **Applicant Information**: Enter the following in accordance with agency instructions: | |
|  | **a. Legal Name**: (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting [www.Grants.gov](http://www.Grants.gov). | | 17. | **Proposed Project Start and End Dates**: (Required) Enter the proposed start date and end date of the project. |
| **b. Employer/Taxpayer Number (EIN/TIN):** (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444. | | 18. | **Estimated Funding:** (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. |
|  | **c. Organizational DUNS**: (Required) Enter the organization’s DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting [www.Grants.gov](http://www.Grants.gov). | | 19. | **Is Application Subject to Review by State Under Executive Order 12372 Process?** (Required**)** Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If “a.” is selected, enter the date the application was submitted to the State. |
| **d. Address**: Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US). | | 20. | **Is the Applicant Delinquent on any Federal Debt?**  (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment. |
|  | **e. Organizational Unit:** Enter the name of the primary organizational unit, department or division that will undertake the assistance activity. | | 21. | **Authorized Representative**: To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body’s authorization for you to sign this application as the official representative must be on file in the applicant’s office. (Certain federal agencies may require that this authorization be submitted as part of the application.) |
| **f. Name and contact information of person to be contacted on matters involving this application:** Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number. | |
| 9. | Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions. | |  |  |
| A.     State Government  B.     County Government  C.     City or Township Government  D.     Special District Government  E.     Regional Organization  F.     U.S. Territory or Possession  G.    Independent School District  H.     Public/State Controlled Institution of Higher Education  I.      Indian/Native American Tribal Government (Federally Recognized)  J.     Indian/Native American Tribal Government (Other than Federally Recognized)  K.     Indian/Native American Tribally Designated Organization  L.     Public/Indian Housing Authority | M.    Nonprofit  N.     Private Institution of Higher Education  O.    Individual  P.     For-Profit Organization (Other than Small Business)  Q.    Small Business  R.     Hispanic-serving Institution  S.     Historically Black Colleges and Universities (HBCUs)  T.     Tribally Controlled Colleges and Universities (TCCUs)  U.     Alaska Native and Native Hawaiian Serving Institutions  V.     Non-US Entity  W.    Other (specify) |  |

## Supplemental Information for the SF-424

**U.S. Department of Education**

**1. Project Director:**

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

Address:

\* Street1:

Street2:

\* City:

County:

\* State: \* Zip Code: Country:

\* Phone Number (give area code): Fax Number (give area code):

\* Email Address:

**2. Novice Applicant:**

Are you are a novice applicant as defined in the regulations in 34 CFR 75.225 (and included in the definitions page in the attached instructions)?

Yes No

**3. Human Subjects Research:**

a. Are any research activities involving human subjects planned at any time during the proposed Project Period?

Yes No

b. Are ALL the research activities proposed designated to be exempt from the regulations?

Yes Provide Exemption(s) # (s): ⁪ 1 ⁪ 2 ⁪ 3 ⁪ 4 ⁪ 5 ⁪ 6



No Provide Assurance #(s), if available:



c. If applicable, please attach your “Exempt Research” or “Nonexempt Research” narrative to this form as indicated in the definitions page in the attached instructions.

OMB Number: 1894-0007

Expiration Date: 8/31/2017

## Supplemental Information Instructions for the 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. Items marked with an asterisk (\*) are mandatory.

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

This novice applicant information will be used by ED to: 1) determine the amount and type of technical assistance that a novice might need, if funded, and 2) determine novice applicant eligibility in discretionary grant competitions that give special consideration to novice applications. Certain ED discretionary grant programs give special consideration to novice applications, either by establishing a special competition for novice applicants or by giving competitive preference to novice applicants under the procedures in 34 CFR 75.105(c)(2). If special consideration is being given to novice applications under a particular discretionary grant competition, the application notice for the competition published in the Federal Register will specify this information

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

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

**3a. 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 U.S. Department of Education Supplemental Information for SF-424.”)

**3b. 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. Check 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 U.S. Department of Education Supplemental Information for the SF-424.”

**3b. 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 attached page entitled “Definitions for U.S. Department of Education Supplemental Information for the SF-424.”

**3b. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide Assurance (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. **(A list of current FWAs is available at:**[**http://ohrp.cit.nih.gov/search/search.aspx?styp=bsc**](http://ohrp.cit.nih.gov/search/search.aspx?styp=bsc)**)** 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.

**3c.** If applicable, please attach your “Exempt Research” or “Nonexempt Research” narrative to your submission of the U.S Department of Education Supplemental Information for the SF-424 form as instructed in item II, “Instructions for Exempt and Nonexempt Human Subjects Research Narratives” in the attached page entitled “Definitions for U.S. Department of Education Supplemental Information for the SF-424.”

**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.

**No covered human subjects research can be conducted until the study has ED clearance for protection of human subjects in research.**

**Public Burden Statement:**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 20 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. The obligation to respond to this collection is required to obtain or retain benefit (20 USC 3474 General Education Provisions Act). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1894-0007. Note: Please do not return the completed ED SF 424 Supplemental Form to this address.

## Definitions for Supplemental Information for the SF-424

**Definitions:**

**Novice Applicant (See 34 CFR 75.225)**

For discretionary grant programs, 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. 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* ***directly or indirectly*** *linked to that individual), 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. ***If an educational practice is being introduced to the site and is not widely used for similar populations, it is not covered by this exemption****.*

(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**.  *[This exemption applies only to retrospective studies using data collected before the initiation of the research.]***

(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. ***[The standards of this exemption are rarely met because it was designed to apply only to specific research conducted by the Social Security Administration and some Federal welfare benefits 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.b. of the U.S. Department of Education Supplemental Information for the SF 424, the applicant must attach a human subjects “exempt research” or “nonexempt research” narrative to the U.S. Department of Education Supplemental Information for the SF-424 form. 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.b. and designated exemption numbers(s), attach the “exempt research” narrative to the U.S. Department of Education Supplemental Information for the SF-424. 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.b. you must attach the “nonexempt research” narrative to the U.S. Department of Education Supplemental Information for the SF-424. 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.

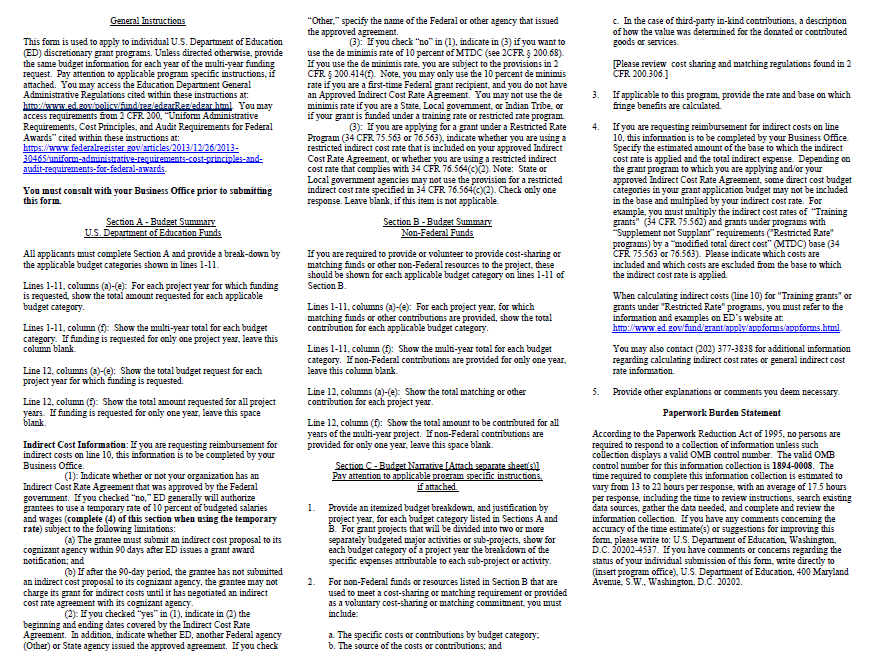
***Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4331, telephone: (202) 245-8090, 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***](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 SF-424 in the upper right corner of the form (if applicable).

|  | U.S. DEPARTMENT OF EDUCATION  BUDGET INFORMATION NON-CONSTRUCTION PROGRAMS | | | | | | ED SF 524 Budget Form OMB Control Number: 1894-0008  Expiration Date: 06/30/2017 | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Name of Institution/Organization | | | | Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form. | | | | |
| **SECTION A - BUDGET SUMMARY U.S. DEPARTMENT OF EDUCATION FUNDS** | | | | | | | | |
| Budget Categories | | Project Year 1  (a) | Project Year 2  (b) | Project Year 3  (c) | Project Year 4  (d) | Project Year 5  (e) | | Total  (f) |
| 1. Personnel | |  |  |  |  |  | |  |
| 2. Fringe Benefits | |  |  |  |  |  | |  |
| 3. Travel | |  |  |  |  |  | |  |
| 4. Equipment | |  |  |  |  |  | |  |
| 5. Supplies | |  |  |  |  |  | |  |
| 6. Contractual | |  |  |  |  |  | |  |
| 7. Construction | |  |  |  |  |  | |  |
| 8. Other | |  |  |  |  |  | |  |
| 9. Total Direct Costs (lines 1-8) | |  |  |  |  |  | |  |
| 10. Indirect Costs\* | |  |  |  |  |  | |  |
| 11. Training Stipends | |  |  |  |  |  | |  |
| 12. Total Costs (lines 9-11) | |  |  |  |  |  | |  |
| **\*Indirect Cost Information *(To Be Completed by Your Business Office*):**  If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:   1. Do you have an Indirect Cost Rate Agreement approved by the Federal government? \_\_\_\_Yes \_\_\_\_No. 2. If yes, please provide the following information:   Period Covered by the Indirect Cost Rate Agreement: From: \_\_\_/\_\_\_/\_\_\_\_\_\_ To: \_\_\_/\_\_\_/\_\_\_\_\_\_ (mm/dd/yyyy)  Approving Federal agency: \_\_\_\_ED \_\_\_\_Other (please specify): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ The Indirect Cost Rate is \_\_\_\_\_\_\_\_\_%   1. If this is your first Federal grant, and you do not have an approved indirect cost rate agreement, are not a State, Local government or Indian Tribe, and are not funded under a training rate program or a restricted rate program, do you want to use the de minimis rate of 10% of MTDC? \_\_\_\_Yes \_\_\_\_No. If yes, you must comply with the requirements of 2 CFR § 200.414(f). 2. If you do not have an approved indirect cost rate agreement, do you want to use the temporary rate of 10% of budgeted salaries and wages? \_\_\_\_Yes \_\_\_\_No. If yes, you must submit a proposed indirect cost rate agreement within 90 days after the date your grant is awarded, as required by 34 CFR § 75.560. 3. For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:   \_\_\_ Is included in your approved Indirect Cost Rate Agreement? Or \_\_\_ Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is \_\_\_\_\_\_\_\_\_% | | | | | | | | |
|  | | | | | | | | |

| Name of Institution/Organization | | | Applicants requesting funding for only one year should complete the column under  "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form. | | | |
| --- | --- | --- | --- | --- | --- | --- |
| **SECTION B - BUDGET SUMMARY**  **NON-FEDERAL FUNDS** | | | | | | |
| Budget Categories | Project Year 1  (a) | Project Year 2  (b) | Project Year 3  (c) | Project Year 4  (d) | Project Year 5  (e) | Total  (f) |
|  |  |  |  |  |  |  |
| 1. Personnel |  |  |  |  |  |  |
| 2. Fringe Benefits |  |  |  |  |  |  |
| 3. Travel |  |  |  |  |  |  |
| 4. Equipment |  |  |  |  |  |  |
| 5. Supplies |  |  |  |  |  |  |
| 6. Contractual |  |  |  |  |  |  |
| 7. Construction |  |  |  |  |  |  |
| 8. Other |  |  |  |  |  |  |
| 9. Total Direct Costs  (Lines 1-8) |  |  |  |  |  |  |
| 10. Indirect Costs |  |  |  |  |  |  |
| 11. Training Stipends |  |  |  |  |  |  |
| 12. Total Costs  (Lines 9-11) |  |  |  |  |  |  |
| **SECTION C – BUDGET NARRATIVE** (see instructions) | | | | | | |

## Instructions for ED 524 Budget Form



## Magnet Schools Assistance Program Assurances

In accordance with section 5305(b)(2) of the ESEA, the applicant hereby assures and certifies that it will──

(A) use grant funds under this part for the purposes specified in section 5301(b);

(B) employ highly qualified teachers in the courses of instruction assisted under this part;

(C) not engage in discrimination based on race, religion, color, national origin, sex, or disability in the hiring, promotion, or assignment of employees of the applicant or other personnel for whom the applicant has any administrative responsibility;

(D) not engage in discrimination based on race, religion, color, national origin, sex, or disability in the assignment of students to schools, or to courses of instruction within the schools, of such applicant, except to carry out the approved plan;

(E) not engage in discrimination based on race, religion, color, national origin, sex, or disability in designing or operating extracurricular activities for students;

(F) carry out a high-quality education program that will encourage greater parental decision-making and involvement; and

(G) give students residing in the local attendance area of the proposed magnet school program equitable consideration for placement in the program, consistent with desegregation guidelines and the capacity of the applicant to accommodate the students.

\* \* \* \* \* \* \* \* \* \* \* \*

If the applicant has an approved desegregation plan, the applicant hereby assures and certifies that it is implementing that desegregation plan as approved.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_

Signature of Authorized Date

Representative

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, ''Disclosure of Lobbying Activities,'' in accordance with its instructions.

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

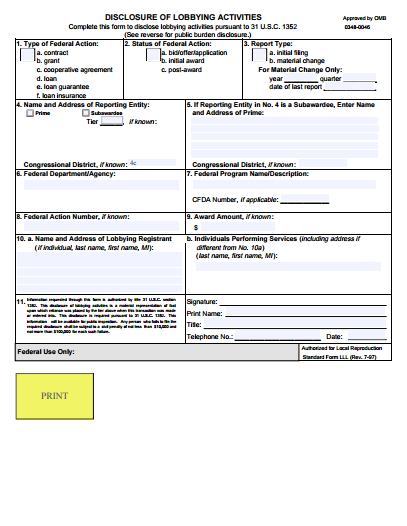
## Certification Regarding Lobbying

Statement for Loan Guarantees and Loan Insurance

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

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

## Disclosure of Lobbying Activities



## 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 follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5. If the organization filing the report in item 4 checks “Subawardee,” then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.

6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., “RFP-DE-90-001.”

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 2050

## Survey Ensuring Equal Opportunity for Applicants

**Purpose:** The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information provided on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

Instructions for Submitting the Survey: If you are applying using a hard copy application, please place the completed survey in an envelope labeled “Applicant Survey.” Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

Applicant’s (Organization’s) Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Applicant’s D-U-N-S Number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Federal Program: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ CFDA Number:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Has the applicant ever received a grant or contract from the Federal government?

Yes No

2. Is the applicant a faith-based organization?

Yes No

3. Is the applicant a secular organization?

Yes No

4. Does the applicant have 501(c)(3) status?

Yes No

5. Is the applicant a local affiliate of a national organization?

Yes No

6. How many full-time equivalent employees does the applicant have? *(Check only one box).*

3 or Fewer 15-50

4-5 51-100

6-14 over 100

7. What is the size of the applicant’s annual budget? *(Check only one box.)*

Less Than $150,000

$150,000 - $299,999

$300,000 - $499,999

$500,000 - $999,999

$1,000,000 - $4,999,999

$5,000,000 or more

## Instructions for Survey on Ensuring Equal Opportunity for Applicants

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

1. Self-explanatory.
2. Self-identify.
3. Self-identify.

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

5. Self-explanatory.

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

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

**Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number.  Public reporting burden for this collection of information is estimated to average 120 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.  The obligation to respond to this collection is required to obtain or retain benefit (Section 14007 of the American Recovery and Reinvestment Act of 2009 (ARRA)) and voluntary. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number **1855-0021**. Note: Please do not return the completed 1855-0021 MSAP application to this address.

OMB Control No. 1894-0005 (Exp. 03/31/2017)

## GEPA Statement

**NOTICE TO ALL APPLICANTS**

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

**To Whom Does This Provision Apply?**

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

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

**What Does This Provision Require?**

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

**Estimated Burden Statement for GEPA Requirements**

**According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Public Law 103-382. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email** [**ICDocketMgr@ed.gov**](mailto:ICDocketMgr@ed.gov) **and reference the OMB Control Number 1894-0005.**

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

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

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

(1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

(2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.

(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

(4) An applicant that proposes a project to increase school safety might describe the special efforts it will take to address concern of lesbian, gay, bisexual, and transgender students, and efforts to reach out to and involve the families of LGBT students

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

## Assurances – Non-Construction Programs

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

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

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

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

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

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

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

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

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

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

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

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. ''1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. ''276a to 276a-7), the Copeland Act (40 U.S.C. '276c and 18 U.S.C. ''874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. '' 327-333), regarding labor standards for federally assisted construction subagreements.

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

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

12 Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. ''1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

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

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

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

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

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

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

|  |  |  |
| --- | --- | --- |
| SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL | TITLE | |
| APPLICANT ORGANIZATION | | DATE SUBMITTED |

**Standard Form 424B (Rev. 7-97) Back**

**OMB Approval No. 0348-0040**

# Submitting Your Completed Application

**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 MSAP applications through Grants.gov is**

**April 11, 2017 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](http://www.grants.gov/web/grants/support/technical-support/software/adobe-reader-compatibility.html). 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 of the MSAP competition.

**Registration in Brief (allow 4 weeks for completion of all steps)**

* 1. [**Obtain DUNS Number**](http://grants.gov/applicants/org_step1.jsp)**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.
  2. **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 MSAP 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.
     1. 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**.
     2. 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.
     3. 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.

* 1. [**Username & Password**](http://grants.gov/applicants/org_step3.jsp)**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>.
  2. [**AOR Authorization**](http://grants.gov/applicants/org_step5.jsp)**\*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.**
  3. [**TRACK AOR STATUS**](http://grants.gov/applicants/org_step6.jsp)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>.

1. **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.**

1. **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.

**Application Tips**

1. 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.
2. 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.
3. Verify that the person assigned to submit the application has been designated as an Authorized Organization Representative (AOR). Track your AOR status. You must be “active” in order to submit an application on behalf of the organization.
4. 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.
5. 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.
6. 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.
7. 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.
8. **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. Please review the email carefully to ensure that you submitted the application under the intended competition.

## D-U-N-S Number Instructions

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

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

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

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

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

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

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

|  |
| --- |
| 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 Points of Contact at:

<http://www.whitehouse.gov/omb/grants/spoc.html>

## Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 40 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Elementary and Secondary Education Act, Title V Part C). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [icdocketmgr@ed.gov](mailto:icdocketmgr@ed.gov) and reference the OMB Control Number 1855-0011. Note: Please do not return the completed MSAP application to this address.