

Archived Information

Application Instructions for Grants under the School Leadership Program



Fiscal Year

2010

U.S. Department of Education
Office of Innovation and Improvement
Washington, DC 20202-5970

CFDA Number:
84.363A
OMB No. 1894-0006

Closing Date: April 6, 2010

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1894-0006. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street, S.W. Room 7076, Washington, D.C. 20202-4260.

Intent to Apply

Each potential applicant is strongly encouraged to submit a brief e-mail to us indicating that it intends to submit an application. The e-mail notification should be sent no later than March 8, 2010 to SchoolLeadershipMatters@ed.gov . Applicants that fail to provide this e-mail notification may still apply for funding.

Table of Contents

Paperwork Burden Statement	2
Letter to the Applicant.....	4
Notice Inviting Applications for the School Leadership Program CFDA: 84.363A	6
School Leadership Program Statute	7
Definitions.....	7
Grantee Reporting and Performance Measures	9
Other Program Requirements	10
School Leadership Program Questions & Answers.....	15
General Application Instructions	21
e-Application Submission Procedures and Tips for Applicants	26
Application Checklist.....	31
Executive Order 12372 Intergovernmental Review of Federal Programs	33
ED Forms, Assurances, and Clearances	34

Letter to the Applicant

February 5, 2010

Dear Applicant:

Thank you for your interest in applying for a grant under the School Leadership Program (SLP). Included in this application instruction booklet are the program application, instructions, and forms needed to submit a complete application package to the U.S. Department of Education Office of Innovation and Improvement. Your interest in applying for a grant under this program reflects an interest in the preparation and development of school leaders. We cannot begin to stress how essential an effective school leader is to the success of the school. We know that the demands of a principal are many, as such the preparation and support they receive is critical to their performance. A principal has to have the capacity to develop and manage talent, serve as an instructional leader as well as a building manager, and engender a culture of academic excellence. Our goal is to ensure that schools are led by individuals who are well prepared to meet the increasingly tough demands of the principalship. Funds assist high-need local education agencies (LEAs) develop, or enhance innovative programs that recruit, train, and provide support for individuals currently serving as principals (including assistant principals) and/or seeking to become principals.

During this competition cycle we are encouraging projects that propose to develop and support principals to turn around “persistently lowest achieving schools”. Three invitational priorities are included to encourage applicants to develop or enhance projects that will address the needs of their lowest achieving schools. **Applicants are not required to respond to the invitational priorities.** The invitational priorities include:

- Projects that develop and implement, enhance or expand innovative programs to build the capacity of principals (including assistant principals) to lead and demonstrate teaching and learning gains in “persistently lowest-achieving schools”.
- Projects that demonstrate evidence of the LEA’s commitment to identify, implement, and support school conditions that facilitate efforts by the principals (including assistant principals) prepared by this program to improve “persistently lowest achieving schools”.

- Projects that collect and use student achievement data to assess the effect of principals (including assistant principals) prepared through this program on student learning and for continuous program improvement.

Applications will be scored on the selection criteria in the application. Please review the entire application package carefully before preparing and submitting your application. Note that the SLP staff will host a pre-application meeting on February 19, 2010, in Washington, DC. Further information pertaining to the meeting can be found in the Federal Register.

If you desire other information concerning this program or the application process, please contact me in writing at the U.S. Department of Education, Office of Innovation and Improvement, School Leadership Program, 400 Maryland Avenue, SW, Room 4W210, Washington, DC 20202. You may also contact me at 202-205-5009, or by email at SchoolLeadershipMatters@ed.gov.

Again thank you for your interest in this program and your commitment to helping our nation's schools recruit and retain talented and qualified school leaders.

Sincerely,

Beatriz Ceja

School Leadership Program

"There are virtually no documented instances of troubled schools being turned around in the absence of intervention by talented leaders. While other factors within the school also contribute to such turnarounds, leadership is the catalyst." (Anderson, Leithwood, Louis, & Wahlstrom, 2004)

Notice Inviting Applications for the School Leadership Program

CFDA: 84.363A

Office of Innovation and Improvement; Overview Information:
School Leadership Grant Program; Notice inviting applications for new awards for fiscal year (FY) 2010.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.363A.

Dates:

Applications Available: February 9, 2010.

Deadline for Notice of Intent to Apply: March 8, 2010.

Dates of Pre-Application Meetings: February 19, 2010.

Deadline for Transmittal of Applications: April 6, 2010.

Deadline for Intergovernmental Review: June 7, 2010.

Full text of the announcement can be found at the following link:

<http://www2.ed.gov/legislation/FedRegister/announcements/2010-1/020510b.pdf>

School Leadership Program Statute

Title II, Part A, Subpart 5—National Activities- Elementary and Secondary Education Act (ESEA)

SEC. 2151 NATIONAL ACTIVITIES OF DEMONSTRATED EFFECTIVENESS

(b) SCHOOL LEADERSHIP-

(1) IN GENERAL- The Secretary is authorized to establish and carry out a national principal recruitment program to assist high-need local educational agencies in recruiting and training principals (including assistant principals) through such activities as —

- (A) providing financial incentives to aspiring new principals;
- (B) providing stipends to principals who mentor new principals;
- (C) carrying out professional development programs in instructional leadership and management; and
- (D) providing incentives that are appropriate for teachers or individuals from other fields who want to become principals and that are effective in retaining new principals.

(2) GRANTS- If the Secretary uses sums made available under section 2103(b) to carry out paragraph (1), the Secretary shall carry out such paragraph by making grants, on a competitive basis, to —

- (A) high-need local educational agencies;
- (B) consortia of high-need local educational agencies; and
- (C) partnerships of high-need local educational agencies, nonprofit organizations, and institutions of higher education.

(Note: Nonprofit may include community- and faith-based organizations.)

Title II, Part A (ESEA) – Definition of High-Need Local Educational Agency

Definitions

HIGH-NEED LOCAL EDUCATIONAL AGENCY- The term high-need local educational agency means a local educational agency —

- (A) (i) that serves not fewer than 10,000 children from families with incomes below the poverty line; or
- (ii) for which not less than 20 percent of the children served by the agency are from families with incomes below the poverty line; and
- (B)(i) for which there is a high percentage of teachers not teaching in the academic subjects or grade levels that the teachers were trained to teach; or
- (ii) for which there is a high percentage of teachers with emergency, provisional, or temporary certification or licensing.

PERSISTENTLY LOWEST-ACHIEVING SCHOOL- For the purpose of the invitational priorities, the definition of a persistently lowest-achieving school has been adapted from the Department's Race to the Top grant. A persistently low-achieving school is determined by the State,

1. any Title 1 school in improvement, corrective action, or restructuring that is among the lowest achieving five percent of Title 1 schools in improvement, corrective action, or restructuring or the five lowest performing Title 1 schools whichever is greater; or
2. is a high school that has had a graduation rate that is less than 60 percent or a secondary school that is eligible for but does not receive Title 1 funds that is among the lowest-achieving five percent of secondary schools or any secondary school that is eligible for, but does not receive, Title 1 funds, that is among the lowest-achieving five percent of secondary schools or lowest-achieving five secondary schools in the state whichever number is greater.

Grantee Reporting and Performance Measures

Reporting:

At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as specified by the Secretary in 34 CFR 75. 118.

Performance Measures:

The Secretary has established two performance measures for assessing the effectiveness of the School Leadership Program:

1. the percentage of participants who become certified principals or assistant principals who are then placed and retained in schools in high-need LEA's, and
2. the percentage of principals or assistant principals who participate in professional development activities and show an increase in their pre-post scores on a standardized measure of principal skills and who are retained in their positions in schools in high-need LEA's for at least two years. Grantees will be expected to provide data on each component of the two measures.

Other Program Requirements

High- Need LEA Requirements (See Section III: “Eligibility Information” in the Notice Inviting Applications for New Awards.)

Each entity that receives a School Leadership Program grant must be, or work in partnership with a high-need LEA/s. In order that the Department may ensure that all participating LEA’s meet the statutory definition of “high-need,” each applicant must provide data confirming that each LEA that would benefit from the program meets this definition. The definition of a high-need LEA and an explanation of the data needed to meet this definition are explained in the Notice Inviting Applications for New Awards.

Under section 2102 (3) of the ESEA, each LEA must meet one of the two poverty components and one of the two teacher-quality components of the definition of “high-need.” An optional table for providing the required data and instructions for completing it is below.

Example

Note: This example assumes that the data on percent of poverty comes from the most currently available Census Bureau data. Hence, there is no need to provide a data source.

A1: Number of children from families with incomes below the poverty line (must be not less than 10,000).

A2: Percentage of children from families with incomes below the poverty line (must be at least 20%).

B1: A “high percentage” of the LEA’s teachers teaching out of field.

B2: A “high percentage” of the LEA’s teachers teaching with emergency, provisional, or temporary certification or licensing.

Name of LEA	# of Children		Poverty Rate		And	Percent of Teachers			
	A1	#	A2	%		B1	%	B2	%
District XYZ	√	24,543						√	6.2
District ABC			√	23.54				√	12.43
Data Source for B1:	(identify separately for ea. LEA)								
Data Source for B2:	Waiver data used by State for the State's HEA Teacher Preparation Report (2008)								

Applicants may use this table to identify partner LEA's and include it as an attachment

Name of LEA	# of Children		Poverty Rate		And	Percent of Teachers			
	A1	#	A2	%		B1	%	B2	%
Data Source for B1:									
Data Source for B2:									

Applicants may complete this table or use another format that includes the required data. Note: For component B1 and B2, applicants must provide the data source.

In addition, where applicants identify poverty rates or data (Component A1 or A2) that do not come from the most currently available Census Bureau data, applicants will need to identify the

source **AND** explain how these data meet the definition of high-need LEA. See further information available in the Notice Inviting Applications for New Awards.

Component A

A1: Provide data that demonstrate that each LEA serves not fewer than 10,000 children from families with incomes below the poverty line; OR

A2: Provide data that demonstrate that each LEA is one for which not less than 20 percent of the children served by the LEA are from families with incomes below the poverty line.

Data Source for A1 or A2:

The Department is not aware of any consistent available LEA data – other than data periodically gathered by the U.S. Census Bureau – that would show that an LEA serves the required number or percentage of children (individuals ages 5 through 17) from families below the poverty line (as defined in section 9101 (33) of the ESEA.) Therefore, absent a showing of alternative LEA data that reliably show the number of children from families with incomes below the poverty line that are served by the LEA, the Department would expect that the eligibility of an LEA as a “high-need LEA” under component A1 or A2 would be determined on the basis of the most recent U.S. Census Bureau data. U.S. Census Bureau data are available for all school districts with geographic boundaries that existed when the U.S. Census Bureau collected its information. Note: Data on the number or percentage of children receiving free and reduced lunch subsidies is NOT permissible since the number or percentage of these children does not reflect children from “families with incomes below the poverty line” as defined in section 9101 (33) of the ESEA. Any LEA that uses data that is not generated by the Census Bureau, such as charter schools and newly created LEAs will therefore also need to explain how the source of data used meets the statutory requirement. (See the Questions & Answers for special information for LEAs, such as charter schools, that have no geographic boundaries and so are not included in the Census Bureau tables) The link to the census data is:

Census Bureau Data: <http://www.census.gov/hhes/www/saipe/district.html> .

The Department also makes these data available at its web site at: <http://www.ed.gov/programs/lsl/eligibility.html>. Although the Department posted this listing specifically for the Improving Literacy through School Libraries program, these same data apply to the definition of “high-need LEA” used for purposes of eligibility under the School Leadership program.

Component B

Provide data that demonstrate that each participating LEA has a “high percentage” of teachers--

B1: Teaching out of field; OR

B2: With emergency, provisional, or temporary certification or licensing.

Data Source for B1 or B2:

B1: With regard to component B1 of the definition of “high-need LEA,” the Department interprets the phrase “a high percentage of teachers not teaching in the academic subjects or grade levels that the teachers were trained to teach” as being equivalent to “a high percentage of teachers teaching out of field.” The Department expects that LEAs that rely on component B1 of the definition will demonstrate that they have a high percentage of teachers teaching out of field. The Department is not aware of any specific data or percentage that would demonstrate a “high percentage” of teachers teaching out of field. Accordingly, the Department will review this aspect of an LEA’s proposed eligibility on a case-by-case basis.

B2: For component B2 of the definition of “high-need LEA,” the data that LEAs likely will find most readily available on the percentage of teachers with emergency, provisional, or temporary certification or licensing are the data they provide to their State for inclusion in the reports on the quality of teacher preparation that the State provides to the Department in October of each year as required by section 207 of the Higher Education Act of 1965, as amended, (HEA). In these reports, States provide the percentage of teachers in their LEAs teaching on waivers of State certification, both on a statewide basis and in high poverty LEAs. As reflected in the State reports the Department most recently received in October 2008, the national average percentage of teachers on waivers in high poverty LEAs is 1.3 percent. Consistent with the methodology the Department used in the FY 2008 competition under the Transition to Teaching program, in which participating LEAs were similarly required to be “high-need LEAs” (as defined in section 2103 (3) of the ESEA), the Department would expect that an LEA with over 1.3 percent of its teachers having emergency, provisional, or temporary certification or licensing (i.e., teachers on waivers) has a “high percentage” of its teachers in this category. We expect that an LEA that is not relying on the data it provides to the State for the purposes of reporting required by section 207 of HEA will provide other evidence

that demonstrates that it meets the eligibility requirement under component B2 of the statutory definition of “high-need LEA.”

School Leadership Program Questions & Answers

GENERAL APPLICATION INFORMATION

1. Must I notify the Department of my intent to apply?

We strongly encourage each potential applicant to submit a short e-mail note to us indicating that it intends to submit an application. This will give the Department a better understanding of the number of entities that intend to apply under this program, and allow for a more efficient process for reviewing grant applications. The e-mail should not include information regarding the content of the proposed application, only the applicant's intent to submit it. We request that this e-mail notification be sent no later than March 8, 2010 to the following address: SchoolLeadershipMatters@ed.gov . Applicants that fail to provide this e-mail notification may still apply for funding.

2. How will the Department select applications to be funded?

Applications will be evaluated by a three-person technical review panel and scored according to the program's selection criteria contained in the Notice Inviting Applications for New Awards for Fiscal Year (FY) 2010, as published in the Federal Register on February 5, 2010. Applicants are strongly encouraged to review these criteria carefully and to develop responses that fully and clearly address each criterion. An applicant can earn up to 100 points for responses to the selection criteria.

3. Where in the application would an applicant address the invitational priorities?

Applicants choosing to respond to the invitational priorities should do so in the appropriate section. Please note, that responding to the invitational priorities will not give an applicant any additional points.

Note: The Invitational Priorities are described in February 5, 2010, *Federal Register*, Notice Inviting New Awards for the School Leadership Program, Section I. Funding Opportunity Description

ELIGIBILITY

4. Who is eligible to receive a School Leadership grant?

An eligible entity is a—

- High-need LEA;
- Consortia of high-need LEAs; and
- Partnerships comprised of one or more high-need LEA, and a nonprofit organization and /or an institutions of education.

See Section III. Eligibility Information, in the Notice Inviting Applications for New Awards for the definition of high-need LEA.

5. Are Charter Schools eligible to apply for funding under the School Leadership program?

Yes, if the charter school operates as an LEA. In this regard:

- Charter schools that operate as LEAs. Applicants should include in their applications confirmation that they have LEA status in their State. To determine if the charter school (LEA) is a high-need LEA, please note the following:

The Department will determine whether a charter school LEA meets the definition of “high-need” on a case-by case basis. Therefore, an applicant that is a charter school-LEA, or part of a partnership that includes one, should provide the best data it can that it has the equivalent of 20% of its students from families with incomes below the poverty line (based on Census Bureau or other data that corresponds to the Office of Management and Budget definition of poverty lines – NOT data on eligibility for free and reduced lunch subsidies).

- Charter schools administered by high-need LEAs. A charter school that is not confirmed as being an LEA in its State may not apply for program funding. However, a charter school may benefit from the School Leadership program if it is administered by a high-need LEA that has been identified as a recipient of program services.

- Charter Schools organized as nonprofits. A charter school LEA that is organized as a nonprofit organization (including community and faith-based organizations) may apply in that capacity if it is doing so as part of a partnership with one or more high-need LEAs. (Since the program statute anticipates that School Leadership program services will be provided only in schools that are or are operated by, high-need LEAs, to be eligible to receive School Leadership program services, this charter school would also still have to meet the definition of a high-need LEA.)

PROGRAM ACTIVITIES

6. What program activities does the School Leadership Program authorize?

Activities may include:

- Providing financial incentives to aspiring new principals;
- Providing stipends to principals who mentor new principals;
- Carrying out professional development programs in instructional leadership and management; and
- Providing incentives that are appropriate for teachers or individuals from other fields who want to become principals and that are effective in retaining new principals.

7. Must an applicant's project, if funded, provide equitable professional development to principals and assistant principals in private schools?

Yes. Section 9501 of the ESEA, regarding the equitable participation of private school children, teachers, and other educational personnel, applies to this program. Among other things, this means that any LEA receiving financial assistance under the School Leadership program must, after timely and meaningful consultation with officials of private schools located in the areas served by participating high-need LEAs, provide to staff of those private schools professional development that is equitable to professional development provided with program funds to public school principals and assistant principals (or other public school staff whom the project serves).

To meet its responsibilities for timely and meaningful consultation, applicants must consult with appropriate private school officials during the design and development of the program application on issues such as (a) how the school leadership needs will be identified, (b) what services will be offered, (c) how, where, and by whom the services

will be provided, (d) how the services will be assessed and how the results of the assessment will be used to improve those services,(e) the size and scope of the equitable services to be provided to the eligible private school staff and the amount of funds available for those services and (f) how and when the applicant, if selected for a grant, will make decisions about the delivery of services, including a thorough consideration and analysis of the views of the private school officials on the provision of contract services through potential third-party providers.

In providing equitable services, grantees must make expenditures for services that benefit private school staff that are equal, taking into account the numbers and educational needs of the children attending those private schools, to the expenditures for participating public school children.

BUDGET

8. Must applicants describe their proposed multiyear project activities and provide a multiyear budget?

Yes. The Education Department General Administrative Regulations (EDGAR) (section 34 C.F.R. 75.112(b); 34 CFR 75.112(b)) requires that applications include “a narrative that describes how and when, in each budget period of the project, the applicant plans to meet each objective of the project.” For funded projects, the Department will use this information both for purposes of monitoring and providing assistance, and for determining if a grantee has made substantial progress toward meeting the objectives in the approved application and thereby, under section 75.253(a)(2) of EDGAR, deserves a continuation award.

Applicants for new awards also must provide a detailed proposed budget and budget narrative using ED form SF 524 for all budget years of the proposed project, not just the first year. Before awarding a grant for the initial budget year, the Department will determine the size of award a grant recipient will receive for each year of the project (assuming availability of appropriations and that its receipt of a continuation award for future years is warranted). See sections 75.117, 75.232 and 75.253 of EDGAR.

9. What information should applicants consider in planning their use of School Leadership program funds?

As applicants build their proposed budgets, they should be aware that all costs must conform to requirements in EDGAR and the applicable cost principles in Office of Management and Budget Circulars: A-21 for institutions of higher education, A-87 for State and local agencies, and A-122 for non-profit organizations. Among other things, these cost principles contain basic rules that all costs charged to federal grants must be “necessary and reasonable” for the purposes of carrying out authorized grant activities, as well as specific principles that apply to individual categories of potential costs.

10. Is there a restriction on the amount of indirect costs that may be charged to a School Leadership program grant?

Yes. Indirect costs may not exceed the amount determined on the basis of the applicant’s approved negotiated indirect cost rate. See section 75.560-75.562 and 75.564 of EDGAR. In addition, if the project is an educational training project as described in section 75.562(a) of EDGAR, calculation of indirect costs must be based on an indirect cost rate that is no more than 8%.

Beyond this, applicants may wish to consider whether their overall applications will be stronger if they maximize the amount of direct program services that their projects will be able to provide by voluntarily limiting the amount of indirect costs charged to federal School Leadership program funds. In this regard, while they are not required to do so, the Secretary encourages all applicants with higher negotiated indirect cost rates to consider limiting their indirect cost rate to no more than eight percent.

11. How do I obtain an indirect cost rate?

If your organization does not have an established indirect cost rate, you may negotiate one with the Department. Contact the Department’s Indirect Cost Group to begin the process. Its website, <http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>, contains contact information as well as specific information on indirect cost rates.

Program Staff Contact List

Beatriz Ceja	beatriz.ceja@ed.gov	202-205-5009
Natasha Garcia	natasha.garcia@ed.gov	202-205-3385

General Application Instructions

Carefully read the entire application package, the Federal Register notice and the authorizing legislation (page 20) before beginning to prepare an application. It is recommended that your electronic application be organized in the following manner and include the following parts in order to expedite the review process:

1. **Application Cover Sheet.** Use form SF 424 for electronically submitted applications and the ED Form 424 for paper copies. Reminder: all applicants submitting a paper copy must obtain a waiver two weeks prior to the deadline (for details see the [Federal Register](#) notice).
2. **Table of Contents.** Include a one-page table of contents with page references.
3. **Evidence of Eligibility.** An eligible application must propose a project that benefits one or more high-need LEAs. As defined in section 2102(3) of the ESEA, the term high-need LEA means an LEA--
 - (a) (1) that serves not fewer than 10,000 children from families with incomes below the poverty line, or
(2) for which not less than 20 percent of the children served by the LEA are from families with incomes below the poverty line; and
 - (b) For which there is
 - (1) a high percentage of teachers not teaching in the academic subjects or grade levels the teachers were trained to teach, or
 - (2) a high percentage of teachers with emergency, provisional, or temporary certification or licensing.
4. So that the Department may be able to confirm the eligibility of the LEAs that projects propose to serve, applicants must include information in their applications that demonstrates that each participating LEA in the project is a high-need LEA, as defined in section 2102(3) of the ESEA.
5. **Abstract.** Include the name and address of your organization and the name, phone number and e-mail address of the contact person for this project.

The abstract should not exceed one double-spaced page in 12 point font or larger and should use language that will be understood by a range of audiences. For all projects, include the project title (if applicable), goals and expected outcomes. Include population to be served, as appropriate.

6. **Narrative.** Applications should be concise and clearly written. You must limit the application narrative to no more than 50 pages single-sided, double-spaced pages, with one inch margins printed in 12-point font or larger or no smaller than 10 pitch (characters per inch). The page limitation does not include the application cover sheet (Application for Federal Assistance—SF 424), the budget section, including the narrative budget justification; the assurances and certifications; or the one-page abstract, the resumes, the bibliography or letters of support.

Before preparing the narrative, applicants should review the Federal Register notice, program statute, and the priorities for specific guidance or requirements. Note that applications will be evaluated according to the selection criteria specified in the Federal Register notice and in this package. We suggest you organize your narrative according to the selection criteria and invitational priorities (if applicable). Clear headings should be provided to indicate an applicant's response to the priorities.

7. **Budget.** Use the Budget Summary form (ED Form 524—included in this application package), or a suitable facsimile, to present a complete budget summary for each year of the project. Specific instructions for completing ED 524 immediately follow the form.
8. **Budget Narrative.** An applicant may request funding for five years. Please provide, for each year, a budget narrative that supports the expenditures listed on the Budget Summary Form (ED Form 524), using the same budget categories. Please include project staff travel funds for one trip to Washington, DC, each year of the project.

The grantee is subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 USC 7501-7507) and revised OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations." Remember to include the cost of this audit in your budget. For further information on this requirement, refer to Office of

Management and Budget Circular A-133, available on-line at:
<http://www.whitehouse.gov/omb/circulars/a133/a133.html>

9. **Assurances and Certifications.** If you are submitting electronically, we may request that you give us original signatures on these forms at a later date.

For non-electronic submissions, prepare and sign each of the following required forms, if applicable:

- Application Form for Federal Education Assistance (ED 424)
- ED Supplemental Form for SF 424
- ED Budget Information Non-Construction Program (ED 524)
- Assurance-Non construction Programs (SF 424B)
- Certifications Regarding Lobbying (formerly ED Form 80-0013)
- Disclosure of Lobbying Activities (SF-LLL)
- Survey on Ensuring Equal Opportunity for Applicants
- GEPA 427 Statement (Please see the section below on the GEPA 427)

The following form should be submitted if it applies to your project:

- SF-LLL—Disclosure of Lobbying Activities. If your organization pays an individual or organization to lobby for you (see instructions on this form for definition of “lobbying”), you must complete this form. Note, that according to Certifications Regarding Lobbying cited above, no funds from this grant may be used to pay for lobby activities.

10. **Appendices.** The appendix should include the resumes of key project personnel. It is recommended not to exceed 3 pages per resume for the Project Director and other key Personnel. The appendix can include supporting documentation as appropriate.

11. **Statement Under Section 427 of GEPA . ALL APPLICANTS MUST INCLUDE A STATEMENT IN THEIR APPLICATIONS TO ADDRESS THIS PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

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

This provision allows applicants discretion in developing the required description. The statute highlights six barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from 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 should provide a clear and succinct description of how you plan to address those barriers that are applicable in your circumstances.

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

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

The DUNS number used on the application must be the same number that the applicant's organization used to register with Grants.gov. If the numbers are not the same, Grants.gov will reject the application.

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. **For 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 Central Contractor Registry.

e-Application Submission Procedures and Tips for Applicants

ATTENTION

To facilitate your use of e-Application, this document includes important application preparation and 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. Please read and follow these step-by-step directions to create and submit your application.

Applicants using the Department of Education's e-Application system will need to register first to access an application package. Forms in an application package are completed on line and narratives are uploaded while logged into the system. Therefore, allow sufficient time to complete your application before the closing date. If you have not used e-Application in the past, you may want to walk through the Demo available on the e-Application homepage. If you encounter difficulties, you may also contact the e-Grants helpdesk on 1-888-336-8930. The following are steps you should follow to successfully complete an application with e-Application.

1. **Determine if your program is accepting electronic applications.** The Federal Register Notice of each program will indicate whether the program is accepting e-Applications as part of the Department's e-Application program. Here is a link to the Department's Federal Register notices:
<http://www.ed.gov/news/fedregister/announce/index.html>. Additional information on the Department's of Education's grant programs can be found at <http://www.ed.gov/about/offices/list/ocfo/grants/grants.html>.
2. **Register in e-Application to access the application package.** If you are a new user, you will need to register to use e-Application. From the e-Grants Portal Page <http://e-grants.ed.gov/>, click on the continue button and click the register button on the right side of the next page. Select the e-Application module and click the next button. Please provide the requested information. Your e-Grants password will be sent to the e-mail address you provide. Once you receive the e-mail, enter your username and password and click the login button.

If you already have a username and password for e-Grants, use them to login. If you have access to more than one e-Grants module, you will be directed to select which module you wish to enter. Keep in mind that this username and password will be used for all e-Grants modules. In order to update your registration for additional e-Grants modules, click the appropriate tab on the top of the screen and provide the requested information.

Note the following browser compatibility problems. The site is viewed best in Internet Explorer 5. We currently support IE 5, Netscape 6.2, Firefox 2.2 (along with later versions of IE, Netscape and Firefox). Please make sure that you have **Cookies** and **JavaScript** enabled in your browser.

3. **Add Application Package to your Start Page.** From your Start Page, click on the "Add" button to see the list of application packages. Click on a specific package link on the List of Application Packages to apply. The package will now appear on your Start Page. From this point forward, you will access your unique application from your Start Page (not the Packages Page).
4. **Begin the Application.** Click on the underlined Application Package Title on your Start Page. This brings you to a page where you will see all of the application's forms and narratives listed as underlined links.
5. **Fill out Forms.** Enter a form by clicking on the underlined form title in order to enter data. Remember to click the "Save" button at the bottom of the form and check the "Form Completed" box for each form as you complete it.
6. **Upload File(s) for Narrative Responses.** Click on an underlined narrative form title for the e-Application. Enter the title of the document, and click on the "Browse" button to locate your file. Remember to click the "Save" button after you upload the document and check the "Form Completed" box when you finish uploading your file(s). Please note for file uploads, we accept .doc, .rtf, and .pdf files only. If you are using Word 2007, please save your document in a lower version of Word before uploading into e-Application.
7. **Verify Information/Print Application.** Verify your information is complete and correct on all required forms and narratives. You have the option to print each form at any time by clicking on the print/view icon  next to the appropriate form. After submission of the forms and narratives, you have the option to print a complete e-Application package in PDF by clicking on the "Request Complete Package in PDF" on the e-Application

PR/Award page. A second window will open informing you that your request has been received and that you will be notified via email once it is available. This process can take anywhere from a few minutes to a few hours. Once you receive the email, click on the link in the text of the message and enter your username and password in the new window. This will open the PDF file from which you can view/print the entire package. In addition, a blank complete package in PDF will be accessible from the package page in e-Application.

8. **Submit your Application.** Only authorized individuals for your organization can submit an application. Please check with your certifying official or sponsored research office before submission. Click on the "Ready to submit" button at the bottom of your application. Enter and verify the Authorizing Representative information. Click the "Submit" button. You will receive an e-mail to confirm that your application was received, and it will include a unique application number. Please print and keep this e-mail for your records. [Reminder: applications must be submitted before 4:30:00 pm, Washington, D.C. time, on the deadline date for applications. e-Application will not accept your application if you try to submit it after 4:30:00 on the deadline date.]
9. **Fax the signed SF 424 Cover Page.** Write your unique application number (received in step 8) on the upper right corner of your printed SF 424 Cover Page, and fax it to the Application Control Center (202) 245-6272 within 3 business days of submitting your e-Application.

NOTE: For more detailed information on submitting an e-Application, please see the **User Guide**. In addition, please try practicing with our e-Application Demo site by clicking on the Demo button found on the upper left corner of the e-Application Home Page. Both the User Guide and Demo can be found at <http://e-grants.ed.gov>.

Other Submission Tips

1. **SUBMIT EARLY – 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 4:30:00 on the deadline date, the e-Application system will not accept it.

2. 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.)

3. 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.)

Attaching Files – Additional Tips

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

1. Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to a lower version of Word before uploading. Also, do not upload any password protected files to your application.
2. When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We

recommend you keep your file names to less than 50 characters. In addition, applicants should avoid including special characters in their file names (for example, %, *, /, etc.) Both of these conditions (lengthy file names and/or special characters including in the file names) could result in difficulties opening and processing a submitted application.

3. 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. Please note that each file attachment in e-Application has a file size limitation which is anywhere from 2 to 8 MB and the limitation will be indicated on the individual screen when you upload a file. For reference, however, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the size of your attachments before uploading them into e-Application.

Application Checklist

Please review your application to ensure you have completed the following sections:

- Title Page Form (ED 424) (if you are mailing or hand delivering the application, this form must have an original signature and date)
- Table of Contents
- Project Abstract
- Evidence of Eligibility
- Narrative that addresses:
 - Selection Criteria
- Budget Form (ED 524)
- Budget Narrative
- Appendices
 - Resumes of key personnel
 - Other (if applicable)
- Statement of Equitable Access (GEPA 427 Statement)
- Copy of Indirect Cost Rate Agreement
- ED Supplemental Information for SF 424
- Assurances and Certifications

e-Applications:

- Print the Title page (SF 424), have the Authorizing Representative sign it, place the PR/Award number in the upper right corner, and fax it to: 202-245-6272.

Mailed Applications (must request waiver), you should:

- Provide a copy of the written request for a waiver of the electronic transmission requirement. Remember this waiver must be submitted two weeks prior to the transmittal deadline date.

[] Provide one (1) original plus two (2) copies of the application. In order to provide reviewers with appropriate copies, we are asking that you voluntarily submit an additional three (3) copies.

[] Assurances and Certifications (with original signatures and dates)

- Assurances for Non-Construction Programs (SF424B)
- Lobbying Disclosure Form (SF LLL) (if applicable)
- Certification Regarding Lobbying (ED 80-0013)
- Survey on Ensuring Equal Opportunity for Applicants

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 the State Single Points of Contact at: <http://www.whitehouse.gov/omb/grants/spoc.html>.

ED Forms, Assurances, and Clearances

If you are submitting a paper application (see the Notice Inviting Application for New Awards for how to request permission to do so), you will also need to download the following required Federal forms:

- ED Form 424--Application for Federal Education Assistance (Form and Instructions)
- ED Form 524--Budget Information, Non-Construction Programs
- ED Form 524--Instructions
- Standard Form 424B--Assurances, Non-Construction Programs
- ED80-0013--Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements
- Standard Form LLL--Disclosure of Lobbying Activities
- Survey on Ensuring Equal Opportunity for Applicants

You may obtain these forms at:

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