Instructions for Completing the Application and Forms

The McNair application consists of the following four parts:

Part I: Application for Federal Assistance (SF 424), and
Department of Education Supplemental Information for SF 424

Part II: Department of Education Budget Information Non-Construction Programs (ED 524)

Part III: Program Narrative --
Project Narrative Attachment Form
Other Attachments Form
Part III-A McNair Program Profile

NOTE: In Grants.gov, applicants will find a list of *Mandatory Documents* which includes all of the required forms, assurances, the *Project Narrative Attachment Form* and the *Other Attachments Form.*

The *Project Narrative Attachment Form* (found in the Grants.gov application package) is where applicants will attach their narrative responses to the selection criteria that will be used to evaluate applications submitted for this competition. **This section has a strict page limit of 50 pages. Please see the Notice, published in the Federal Register, for detailed information on page limits.**

The *Other Attachments Form* (found in the Grants.gov application package) is where applicants will attach the Part III-A McNair Program Profile form. You must copy the McNair Program Profile form from page 73 of this booklet.

Part IV: Assurances and Certifications, and Survey Form -- Applicants must complete the following forms included in the application package:

- ◊ Assurances for Non-Construction Programs (SF 424B)
- ◊ Grants.gov Lobbying Form (formerly Certification Regarding Lobbying ED 80-0013)
- ◊ Disclosure of Lobbying Activities (SF-LLL)
- ◊ ED GEPA 427 Form
- ◊ Survey on Ensuring Equal Opportunity for Applicants

On the following pages, you will find:

1. Instructions for the following Standard Forms:

- **APPLICATION FOR FEDERAL ASSISTANCE (SF 424)**
- **DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR (SF 424)**
- **DEPARTMENT OF EDUCATION BUDGET INFORMATION NON—CONSTRUCTION PROGRAMS (ED 524)**
- **DISCLOSURE OF LOBBYING ACTIVITIES (SF-LLL)**

2. Other Information and Guidance:

- **SUPPLEMENTAL INFORMATION AND INSTRUCTIONS FOR PREPARING THE APPLICATION**
- **PROJECT NARRATIVE ATTACHMENT INSTRUCTIONS**
- **FIRST-YEAR BUDGET AND ADDITIONAL BUDGET INFORMATION INSTRUCTIONS (ED 524)**

INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 60 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 (0348-0043), 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.

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications 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 items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:
1.	**Type of Submission:** (Required): Select one type of submission in accordance with agency instructions. • Preapplication • Application • Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.
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 B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify)
3.	**Date Received:** Leave this field blank. This date will be assigned by the Federal agency.
4.	**Applicant Identifier**: Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.
5a	**Federal Entity Identifier**: Enter the number assigned to your organization by the Federal Agency, if any.
5b.	**Federal Award Identifier**: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.
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 name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.
	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.
	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 the Grants.gov website.
	d. Address: Enter the complete address as follows: Street address (Line
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.
12.	**Funding Opportunity Number/Title:** (Required) Enter the Funding Opportunity Number 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:** List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
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 preapplications, attach a summary description of the project.
16.	**Congressional Districts Of**: (Required) 16a. Enter the applicant's Congressional District, and 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 12th district, NC-103 for North Carolina's 103rd 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.
17.	**Proposed Project Start and End Dates**: (Required) Enter the proposed start date and end date of the project.
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.

	1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US). **e. Organizational Unit:** Enter the name of the primary organizational unit (and department or division, if applicable**)** that will undertake the assistance activity, if applicable. **f. Name and contact information of person to be contacted on matters involving this application**: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.	19.	**Is Application Subject to Review by State Under Executive Order 12372 Process?** 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
		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 debt include delinquent audit disallowances, loans and taxes. If yes, include an explanation on the continuation sheet.
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 with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)	21.	**Authorized Representative**: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. 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.)

INSTRUCTIONS FOR
DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

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

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

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

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

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

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

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

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

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

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

DEFINITIONS FOR
DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

(Attachment to Instructions for Supplemental Information for SF 424)

Definitions:

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

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

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

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

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

—Research

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

—Human Subject

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

B. Exemptions.

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

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

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained

the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

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

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

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

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

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

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

A. Exempt Research Narrative.

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

B. Nonexempt Research Narrative.

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

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

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

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

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

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

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

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

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

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

Instructions for ED 524

General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. Please consult with your Business Office prior to submitting this form.

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

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

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

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

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

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

Indirect Cost Information:
If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the federal government. (2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another federal agency (Other) issued the approved agreement. If you check "Other," specify the name of the federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR

76.564(c)(2). Note: State or local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

Section B - Budget Summary
Non-Federal Funds

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

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

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

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

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

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

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.

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

3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the

   base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

   When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at: http://www.ed.gov/fund/grant/apply/appforms/appforms.html.
   You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

4. Provide other explanations or comments you deem necessary.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0004**. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202.

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

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

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

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

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

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

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

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

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

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

    (b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).

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

<u>Supplemental Information and Instructions</u>

The following information supplements the information provided in the “Dear Applicant” letter and the Notice.

<u>*Please note*</u>: The Notice, published in the Federal Register, is the official document governing this competition.

A. Criteria for Funding

All applications for grants under the McNair Program will be evaluated as new submissions according to the selection criteria listed in the program regulations (34 CFR 647.21). Applicants funded in the 2003-2007 grant cycle are eligible to receive up to 15 points for prior experience (34 CFR 647.22).

B. McNair Program Assurances

All applicants must comply with the McNair Program statutory and regulatory requirements. The assurances are included in the application package. By submitting a McNair Program application, an applicant certifies that it has read the assurances and will fully comply with the requirements.

C. McNair Program Profile (Part III-A)

All applicants must complete the information requested on this form. The McNair Program Profile contains four standardized objectives. Applicants are required to propose the percentage at which each of these five standardized objectives will be attained. <u>**You may not modify, amend or delete any of these objectives.**</u>

Applicants must copy and paste the McNair Program Profile form into a separate document, or recreate the page exactly as it appears. Complete the form, save it to your computer and attach it to the *Other Attachments Form* as either a .doc, .rtf or .pdf document. Do not modify or amend the contents of the form in any way. The form can be found on page 73 of these instructions.

D. Formatting

Double-space all text in Part III -- the Program Narrative <u>**except**</u> titles, headings, footnotes, captions, quotations, references, and all text in charts, tables and graphs, which may be single-spaced. Applicants may <u>**only**</u> use one of the following fonts: *Times New Roman*, *Courier*, *Courier New* or *Arial*. Applications submitted in any other font (including Times Roman and Arial Narrow) will not be accepted. Applicants must use not less than size 12 fonts, <u>**only**</u>.

Include a Table of Contents. In addition, applicants are strongly encouraged to include an identifying header or footer (using the 1" margin at either the top or bottom of each page) that contains the applicant's name and the page numbers. The pages must be numbered in consecutive order.

The *Project Narrative Attachment Form* is limited to 50 pages. This section is where applicants will attach their narrative responses to the selection criteria. Applicants will attach the Program Narrative to the *Project Narrative Attachment Form*. **Appendices and attachments should not be included. If these items are included, they <u>will be</u> counted as part of the 50-page limit**. The page limit does not apply to the following:

Table of Contents;

Part I Application for Federal Assistance Face Sheet Form (SF 424), and Department of Education Supplemental Information for SF 424;

Part II Department of Education Budget Information Non-Construction form (ED 524);

Part III-A McNair Program Profile form; and

Part IV Assurances and Certifications and Survey Forms, including the ED GEPA form.

The Notice contains specific instructions on page limits.

E. Length of New Award

Applicants may apply for a maximum of five years of funding. However, only applicants that score in the highest ten percent of all applications will be awarded five-year grants; all other selected applicants will be funded for four years (34 CFR 647.5).

F. Evaluation of Applications for Awards

A three-member panel of non-federal reviewers will read each application. Each reviewer will prepare a written evaluation of the application and assign points for each selection criterion.

G. Selection of Grantees

The Secretary will select an application for funding in rank order, based on the application's total score for the selection criteria and prior experience (34 CFR 647.20 – 647.22). If the total scores of two or more applications are the same and there are insufficient funds for these applications after the approval of higher-ranked applications, the Secretary uses the remaining funds to achieve an equitable distribution of all new projects. In making an equitable geographic distribution of new projects, the Secretary considers only the locations of new projects (34 CFR 647.20).

H. Applicant Funding

The Department is often unable to award the full amount of funds requested. Applicants should pay close attention to the “Maximum Award” section of the Notice. The Department will not fund any application at an amount exceeding the maximum amounts specified in the Notice.

I. Notice to Successful Applicants

The Department's Office of Legislation and Congressional Affairs will inform the Congress regarding applicants approved for new McNair Program grants. Successful applicants will receive award notices by mail shortly after the Congress is notified. No funding information will be released before the Congress is notified.

J. Notice to Unsuccessful Applicants

Unsuccessful applicants will be notified in writing following the notice to successful applicants.

<u>Part III Program Narrative Instructions</u>

***Important Note*: The program narrative is to be attached to the *Project Narrative Attachment Form* in Grants.gov.**

Before preparing the Program Narrative, applicants should review the Dear Applicant Letter, Notice, authorizing legislation, and program regulations for specific guidance and requirements. <u>Please note</u>: applications will be evaluated according to the specific selection criteria specified in the Notice and this application package.

The Secretary evaluates an application on the basis of the selection criteria in the McNair Program regulations, a copy of which is included in this application package. *See* 34 CFR 647.21. The Program Narrative should provide, in detail, the information that addresses each selection criterion. The maximum possible score for each selection criterion category is indicated in parenthesis. The McNair Program selection criteria contain weighted sub-criteria. Applicants <u>must</u> address each sub-criterion, specifically.

You must limit the Program Narrative to 50 pages, double-spaced using one of the acceptable font types, and number the pages consecutively. The narrative should be written concisely. Only the required information should be submitted. If appendices or other supplemental materials are included, they will count as part of the 50-page limit. Please refer to the Notice for specific page limit instructions and additional application submission requirements.

To facilitate the review of the application, provide responses to each of the following selection criteria in the following order:

1.	<u>Need</u> (34 CFR 647.21(a))	(16 points)
2.	<u>Objectives</u> (34 CFR 647.21(b))	(9 points)
3.	<u>Plan of Operation</u> (34 CFR 647.21(c))	(44 points)
4.	<u>Quality of Key Personnel</u> (34 CFR 647.21(d))	(9 points)
5.	<u>Adequacy of Resources and Budget</u> (34 CFR 647.21(e))	(15 points)
6.	<u>Evaluation Plan</u> (34 CFR 647.21(f))	(7 points)
	Total Maximum Score for Selection Criteria	100 points

<u>The following guidance may assist you in addressing each of the selection criteria</u>:

<u>1. Need</u>: In responding to this criterion, you must provide data to define the target population: the academic, financial and other problems encountered by eligible project participants to prevent their completing baccalaureate programs and continuing to postbaccalaureate programs. Also, you must provide data to demonstrate that the proposed target population is underrepresented in graduate education.

<u>2. Objectives</u>: All applicants must include the four objectives listed on the Part III-A McNair Program Profile form. On the Profile form, you must fill-in the blanks indicating the percentage level of achievement for each of these four objectives. These objectives cannot be rewritten, restated or reworded.

In the Program Narrative, you must address each of these four objectives, and explain how these objectives are ambitious and attainable. Applicants should use comparative data to show why the proposed percentages are ambitious and attainable, based on information provided in the <u>Need</u> section of the Program Narrative. Applicants may add additional objectives, but are not required to do so. Applicants will not receive additional points or penalties for proposing additional objectives.

<u>3. Plan of Operation</u>: This criterion contains nine sub-criteria, and applicants must address all nine sub-criteria. This part of the application should provide information on who, what, when and how the project will provide services to meet its goals and objectives. If the applicant proposes to serve students from other institutions of higher education exclusively, or along with students from its campus, the application must include information that specifically addresses how the project will coordinate pre and post-service activities for the students at the other participating institutions both during the academic year and during the summer research component of the project activity. In addition, the applicant must include details of the follow-up activities that will be undertaken, including tracking mechanisms that will be employed, which are integral to the long-range success of the project activities. Applicants must also provide information on how they will ensure that sufficient resources are available to effectively and efficiently serve the students selected from other institutions of higher education.

Further, the applicant must also provide information on: how faculty members will be involved in the planning of research activities for the students; its plan for providing sound research experiences and other educational activities; individual or group services specifically designed to enhance the students' entry into postbaccalaureate education; its plan to inform the institutional community of the goals and objectives of the project; its plan to ensure proper and efficient administration of the project in all manners including management of financial records, student record, personnel, organizational matters, and the coordination of the McNair project with other programs for disadvantaged students on the applicant's campus, both federal and non-federal. Finally, the applicant must present its follow-up plan to track the participants after their tenure with the McNair project proposed is completed.

<u>4. Quality of Key Personnel</u>: Applicants must address all of the sub-criteria under this criterion. Applicants must provide the minimum qualifications for all project personnel positions. The minimum educational qualifications must include the type of degree required and the acceptable field(s) of study. The type and minimum amount of work-related experience should also be described for each position. In addressing this criterion, you must not provide the qualifications of current staff: you must detail the qualifications required for each position. <u>Applicants are not required to submit resumes or job descriptions in the application—this information can be described or summarized.</u> The "plan to employ personnel who have succeeded in overcoming barriers similar to the target population to be served" must be specific.

The inclusion of an equal employment opportunity statement and/or a non-discriminatory employment practices policy alone is not an adequate response to this criterion.

5. Adequacy of the Resources and Budget: Applicants must address all three sub-criteria. In addressing this criterion, the applicant must provide information on its financial plan for carrying out the project, including the applicant's proposed commitment of institutional resources to the McNair participants.

For the first year (12-month budget period) only, applicants must submit (1) a budget summary form to categorize requested funds (ED 524), AND (2) a detailed itemized budget, as part of the Part III Program Narrative, for the first 12-month budget period, AND (3) a budget narrative, as part of the Part III Program Narrative, to explain or justify costs. Provide the first-year (12-month budget period) summary on the Part II - Budget Information Non-Construction Programs form (ED 524). The instructions for completing the form are located on page 62 of the application booklet

Both the detailed, itemized budget and budget narrative for the first 12-month budget period, only, are to be included as part of the Part III-Program Narrative.

For this competition, applicants may receive funding for up to five years. The Department is requesting that you complete the Budget Summary form (ED 524) for the 2007-2008 year and provide both an itemized budget and a detailed budget narrative only for the first 12-month budget period. It is not necessary to provide a budget summary for the total grant period requested, up to five years. The funding level for the first year is stipulated in the "Maximum Award" section of the Notice: Currently-funded projects will receive a maximum which is the greater of (a) $220,000 or (b) an amount equal to $9,000 times the number of participants, not to exceed 105 percent of the applicant's grant award amount for FY 2006 for the first year. "New" projects will receive a maximum of $220,000 for the first year to serve a minimum of 25 participants. The Department will determine the funding levels for each additional year of the grant award. The budget period dates should begin on October 1 and end on September 30. All currently funded applicants' budget period dates should remain the same as the current grant budget period dates.

The McNair Program selection criteria provide for an applicant to receive up to 15 points for its proposed resources and budget. The budget must include all costs that are allowable, reasonable, and necessary for carrying out the objectives of the McNair Program. Among the costs that may be supported with grant funds are:

1. Personnel: On line 1 (ED 524), enter only the total cost for project personnel salaries and wages. [Fees and expenses for consultants should be included on line 8.] The itemized budget should include the total commitment of time and the total salary to be charged to the project for each staff member. You should provide a breakdown of project personnel that includes: the position titles, the percent of time and number of months committed to the project for each staff member, the salary for each staff member, and the total salary costs to be charged to the grant. Note: The total federal time commitment for project administration

(e.g., project director, principal investigator, assistant director, coordinator, etc.) cannot exceed 100%.

2. Fringe Benefits: On line 2 (ED 524), enter the total amount of fringe benefits. The institution/agency's normal fringe benefit contribution may be charged to the grant. Leave this blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect costs. In the narrative, include an explanation and appropriate justification if the institution/agency's normal fringe benefit contribution exceeds 20 percent of salaries.

3. Travel: On line 3 (ED 524), provide the total cost of travel expenses for project personnel and student participants. [Consultants' travel should be included on line 8.] In the itemized budget, you should detail the proposed travel costs, i.e., for each trip, explain the purpose and objective of the travel and provide the number of persons traveling. Transportation costs should not exceed tourist class airfare. For automobile mileage, the established institution/agency rate should be used. Reimbursement is allowed for taxicab, bus, train, or limousine transportation. Per diem at the established institution/agency rate is permitted when an individual is away from home overnight on official project business (see OMB Circular A-21, J.48.c - Commercial Air Travel). No foreign travel will be authorized under the grant.

   The Federal TRIO Programs has developed the following guidelines for recommending approval of travel. All travel must be related to the project's overall purpose and proposed activities.

   - Project Director's Travel – Per Year

   A. One National Conference;
   One Regional Meeting;
   One State Meeting; **and**

   B. Travel for participation in one staff development training opportunity under the Training Program for Federal TRIO Programs.

   - Full-time Professional Staff Travel – Per Year

   A. One National, Regional, **or** State Meeting; **and**

   B. Travel for participation in one staff development training opportunity under the Training Program for Federal TRIO Programs.

4. Equipment: On line 4 (ED 524), indicate the total cost of equipment – which is defined as non-expendable personal property, which has a usefulness of greater than one year and an acquisition cost of $5,000 or more per unit.

   [Consultent with an applicant's policy, a lower dollar amount may be used to define equipment.] In the detailed budget, include a list of all equipment in the following format: item, quantity, cost per unit, and total cost. In the narrative, explain why the requested equipment is necessary to carry out project activities.

5. Supplies: On line 5 (ED 524), include the total cost of all other tangible personal property that was not included as "equipment" on line 4. In the detailed budget, provide an itemized list of the supplies.

6. Contractual: Not applicable. Leave line 6 (ED 524) blank.

7. Construction: Not applicable. Leave line 7 (ED 524) blank.

8. Other: On line 8 (ED 524), indicate all total direct costs not covered on lines 1 through 5. The costs/fees for consultants and consultants' travel should be included here. Examples of "other" costs are: equipment rental, required fees, communication costs, and printing costs. In the detailed budget, provide a breakdown of all direct costs not clearly covered by other budget categories.

   Consultants: If the project proposes to use consultants, identify the consultants who will work on the project, the scope of work to be performed by each consultant, and justify why project personnel cannot perform this work in the narrative. Also, provide a detailed breakdown of the costs (daily fees to be paid, estimated number of days of services, and all travel expenses, including per diem). Cost allowances for consultant fees, honoraria, per diem, and travel should not exceed amounts permitted by comparable institutional/agency policies.

9. Total Direct Costs: On line 9 (ED 524), provide the total direct costs requested – the sum of lines 1 through 8.

10. Indirect Costs: On line 10 (ED 524), provide the total amount of indirect costs that you propose to charge against the grant.

    All grants awarded under the McNair Program (84.217A) are designated training grants. The Education Department Administrative Regulations (EDGAR) limit reimbursement to grantees for indirect costs they incur under training grants to the grantee's actual indirect costs as determined by the grantee's negotiated indirect costs agreement or a maximum of 8% of a modified total direct costs base, whichever is less. (Note**:** This limitation does not apply to State agencies, local governments, or federally recognized Indian tribal governments. [§75.562(c)(2)])

    Grantees charging indirect costs to a Department of Education grant are required to have a negotiated rate with their *cognizant agency* (*i.e.*, either the Federal agency from which it has received the most direct funding that is subject to indirect costs support, or a particular agency specifically assigned cognizance by the Office of Management and Budget). Although applicants are not required to submit with their application a copy of their indirect costs agreement to claim the 8% rate for funding received in this program, they are required to have documentation available for audit that shows that their negotiated indirect costs rate is at least 8% [34 CFR 75.563(d)]. In the event that they receive an award under this program, applicants without a negotiated indirect costs rate with its cognizant agency should seek to identify that agency and contact it to obtain an approved rate as soon as possible after award notification.

Applicants should be aware that amounts representing the difference between the 8% rate and a greater indirect costs rate negotiated with a cognizant agency may not be charged to direct costs categories, used to satisfy matching or cost-sharing requirements, or charged to another Federal award [34 CFR 75.563(c)(3)].

11. Training Stipends: On line 11 (ED 524) provide the total amount of student stipends. The McNair Program regulations, 34CFR 647.30(b), establish the maximum federal stipend amount of $2,800 per year per student.

12. Total Costs: On line 12 (ED 524), provide the total amount that you are requesting – the sum of lines 9, 10 and 11. Note: This amount should also be the same as that shown as item 18a on the Application for Federal Assistance (SF 424).

6. Evaluation Plan: The applicant must address all three sub-criteria. A strong evaluation plan should be included and should be used, as appropriate, to shape the development of the project from the beginning of the grant period. The evaluation plan should include benchmarks to monitor progress toward meeting specific project objectives and should include program measures to assess the impact on teaching and learning or other important outcomes for project participants. The plan should describe the evaluation design, indicating: (1) what types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports and outcomes will be available; and (7) how the applicant will use the information collected through evaluation to monitor progress of the funded project and to provide accountability information. Applicants are encouraged to devote an appropriate level of resources to project evaluation. The use of an outside evaluator is not required.

Part III-A
McNair Program Profile

<u>INSTRUCTIONS</u>: ALL applicants must complete this page. The completed page must be attached to the *Other Attachments Form* in the application package in Grants.gov {as either a .doc, .rtf or. pdf document} in the application. *<u>DO NOT MODIFY OR AMEND THE CONTENTS OF THIS PAGE</u>*.

1. Institution (Legal Name): ____

2. Applicants must indicate the address where the project will be located:
   Project Address: ____
   City: ____
   State: ___________________   Zip: ___________

3. Applicants currently funded under the McNair Program must provide their current award number located in Item 5 of the current Grant Award Notification document. **(New applicants should leave this item blank).**   **P217A0 ________**

4. Proposed total number of McNair Program participants to be served each year: ______

5. Program Objectives: (Please fill in the proposed percent (%) for each of the four objectives).

Research:

_____% of McNair participants will complete research * and scholarly activities that will directly impact their educational progression each McNair Program academic year**.

*(*A structured research activity must be definitive in its start and end dates and contain appropriate benchmarks for completion of the various components. In addition, the activity should be conducted under the guidance of an appropriate faculty member with experience in the discipline selected by the McNair participant.)*

*(** <u>The McNair Program academic year</u> is the period that most closely aligns with the first 12-month budget period for which this new award will be made. The 2007-08 McNair Program academic year is roughly August/September 2007 through August 2008.)*

Degree Attainment:

_____% of new participants served in each McNair Program academic year** will attain a baccalaureate degree within three (3) years***.

_____% of bachelor's degree recipients will enroll in a post baccalaureate program by the fall term of the academic year immediately following completion of that degree.**

*(***<u>Dual Degree Programs</u>: Students enrolled in dual degree programs may be classified as graduate enrollees after completing four (4) years of undergraduate study at institutions of higher education.)*

_____% of McNair Program participants will attain a doctoral degree within ten (10) years of the attainment of the bachelor's degree.

Application Checklist

<u>Use This Checklist While Preparing Your Application.</u> All items listed on this checklist are required.

Application for Federal Assistance (SF 424)

Department of Education Supplemental Information for SF 424

Department of Education Budget Information Non-Construction Programs form (ED 524) Sections A & B

Program Narrative (Narrative addressing the selection criteria limited to 50 pages.)

Attach this document to the *Project Narrative Attachment Form* in the Grants.gov application package

McNair Program Profile form. Attach this document to the *Other Attachments Form* in the Grants.gov application package

Assurances and Certifications (These documents are included as "Mandatory Documents" in the "Application Package" in Grants.gov.)

GEPA Section 427 Requirement. Attach the response to the GEPA Form in the Grants.gov application package

Assurances – Non-Construction Programs (ED 424B)

Disclosure of Lobbying Activities (SF LLL)

Grants.gov Lobbying Form (Formerly ED Form 80-0013)

Survey on Ensuring Equal Opportunity for Applicant