

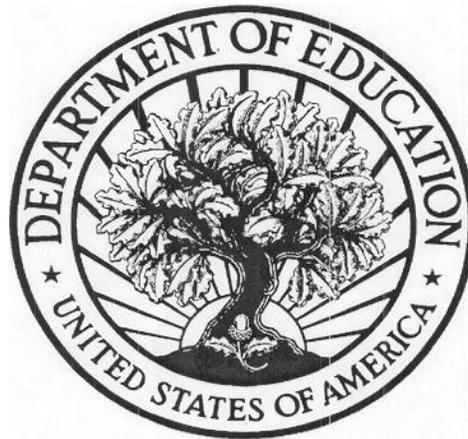
# **Archived Information**

## **U.S. DEPARTMENT OF EDUCATION**

Office of Postsecondary Education  
Washington, D.C. 20006-8524  
[www.ed.gov/programs/gaann/index.html](http://www.ed.gov/programs/gaann/index.html)

### **FY 2010 APPLICATION FOR GRANTS UNDER THE GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED (GAANN) PROGRAM CFDA NO. 84.200A**

Form Approved  
OMB No. 1840-0604, Expiration Date 08/31/2011



DATED MATERIAL – OPEN IMMEDIATELY

**CLOSING DATE: December 18, 2009**

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**TABLE OF CONTENTS**

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	Page
Dear Applicant Letter .....	4
Competition Highlights.....	6
e-Application Submission Procedures and Tips for Applicants .....	9
Application Transmittal Instructions .....	12
Closing Date Notice .....	14
GAANN Authorizing Legislation .....	34
GAANN Code of Federal Regulations .....	41
Intergovernmental Review: Executive Order 12372 .....	54
General Education Provisions Act (GEPA) Section 427 .....	55
Government Performance and Results Act (GPRA) .....	56
<b><u>Instructions</u></b>	
<b>Instructions for Completing the GAANN Application Package.....</b>	<b>57</b>
<b>Instructions for Completing the Project Narrative (Application Narrative) .....</b>	<b>61</b>
<b>Instructions for Standard and Program Specific Forms.....</b>	<b>74</b>
<b>Standard Forms Instructions:</b>	
Instructions for the SF-424 Form.....	75
Instructions for Department of Education Supplemental Information SF 424 Form .....	77
Instructions for Disclosure of Lobbying Activities, SF-LLL .....	81
Survey Instructions on Ensuring Equal Opportunity for Applicants .....	82
<b>Program Specific Forms Instructions:</b>	
GAANN Statutory Assurances Form Instructions.....	83
GAANN Budget Spreadsheet(s) Form Instructions .....	84
Application Checklist .....	87
Paperwork Burden Statement .....	88
<b><u>Forms</u></b>	
<b>Standard Forms:</b>	
Application for Federal Assistance (SF 424) .....	89
Department of Education Supplemental Information for SF 424 Form .....	93

Assurances Non-Construction programs Form (SF 424B) .....	94
Certification Regarding Lobbying Form .....	96
Disclosure of Lobbying Activities, SF-LLL.....	97
Survey on Ensuring Equal Opportunity for Applicants Form .....	98
<b>Program Specific Forms:</b>	
GAANN Statutory Assurances Form.....	99
GAANN Budget Spreadsheet(s) Form .....	100



UNITED STATES DEPARTMENT OF EDUCATION

OFFICE OF POSTSECONDARY EDUCATION

Dear Applicant:

Thank you for your interest in the Graduate Assistance in Areas of National Need (GAANN) program. The GAANN program provides grants to academic departments and programs of institutions of higher education to support graduate fellowships for students with excellent academic records who demonstrate financial need and plan to pursue the highest degree available in their course of study at the institution.

This letter highlights a few items in the fiscal year (FY) 2010 application package that will be important to you in applying for grants under this program. You should review the entire application package carefully before preparing and submitting your application. Information on the GAANN program is accessible at the U.S. Department of Education Web site at: <http://www.ed.gov/programs/gaann/index.html>.

This application package contains the GAANN programmatic regulations and statute along with the forms needed to submit a complete application package.

In the FY 2010 competition, there is an absolute priority. Within the absolute priority, the Secretary is particularly interested in receiving single discipline grant applications in the following academic areas designated by the Secretary as areas of national need for fiscal year 2010: biology; chemistry; computer and information sciences; engineering; mathematics; nursing; physics; and educational assessment, evaluation and research.

A department or program of an institution of higher education may also submit a multi-disciplinary or inter-disciplinary program application in two or more of the designated academic areas of need listed above. **A *multi-disciplinary application* must request funding for two or more academic departments in areas of national need designated as priorities by the Secretary that are independent and unrelated to one another. An *inter-disciplinary application* must request funding for a single proposed program of study that involves academic fields in two or more disciplines.**

The application process requires each applicant to address the selection criteria, including all sub-criteria, in sequential order. The selection criteria can be found in the program regulations, Subpart C, Section 648.31, What Selection Criteria Does the Secretary Use?

No single department or program may receive an amount that is less than \$100,000 or more than \$750,000 as an aggregate total of new and continuing GAANN grants in any fiscal year. A department or program may not submit more than one application for a new GAANN grant in any fiscal year.

We are requiring that applications for the FY 2010 grant competition under the GAANN Program be submitted electronically using the Electronic Grant Application System (e-Application). E-Application is accessible through its portal page at:

<http://www.e-grants.ed.gov>

The Notice Inviting Applications for New Awards published in the Federal Register is the official document describing the requirements for applying for a GAANN grant and provides application submission procedures. You should not rely upon any information that is inconsistent with the guidance contained within the official document.

We look forward to receiving your application and appreciate your efforts to promote excellence in graduate education.

Sincerely,

/signed/

Alan J. Schiff  
Acting Deputy Assistant Secretary  
Higher Education Programs

## COMPETITION HIGHLIGHTS

1. GAANN applications submitted for FY 2010 competition must be submitted electronically using **e-Application**, accessible through the Departments' e-Grants web site at:

<http://e-grants.ed.gov>

You are urged to acquaint yourself with the requirements of e-Grants early. A more thorough discussion is included later in this application package. For technical support regarding e-Application, please call 1-888-336-8930. Also, refer to "e-Application Submission Procedures and Tips for Applicants" found in this application booklet.

2. With the adoption of the Higher Education Opportunity Act of 2008, the GAANN program will now accept applications from academic departments and programs of institutions of higher education that provide courses of study leading to a master's or a doctoral degree. However, institutions can only make fellowship awards to individuals who plan to pursue the highest possible degree available in their course of study at the institution. Previously, the GAANN program only permitted doctoral programs to apply for a GAANN grant award.

3. The GAANN Abstract:

The abstract must contain a short summary covering the designated area(s) of national need; in addition, each abstract should include:

Institution Name:	
Type of Application (Single/Inter-Disciplinary/Multi-Disciplinary):	
Area of National Need:	
Degree Level of Program of Study (Masters or Doctorate):	
Length of Time Degree Program has been in Existence:	
Number of Federally Funded GAANN Fellows Requested:	

**Note:**

Information provided in the GAANN one-page abstract must be attached into the "Project Narrative – Abstract". Further instructions are provided in the "Instructions for Completing the Project Narrative" section of the application package.

4. An Absolute Priority is included for this FY 2010 competition, and the department will only consider applications that address these areas of national need. As stated in the “Dear Applicant” letter and the “Notice Inviting Applications”, the FY 2010 designated areas of national need under the GAANN program are as follows:
  - Biology
  - Chemistry
  - Computer and Information Sciences
  - Engineering
  - Mathematics
  - Nursing
  - Physics
  - Educational Assessment, Evaluation and Research
  
5. The following documents are specific to the GAANN Program and should be reviewed carefully to ensure that these documents are attached into e-Application correctly:
  - **GAANN Statutory Assurances Form:** Applicants must submit the GAANN Statutory Assurances Form electronically **as a separate document**. Please note that more detailed instructions for attaching this form are covered in the “**Program Specific Forms Instructions**” section of the application.
    - This document is available under the “Documents & Instructions” section.
  - **GAANN Budget Spreadsheet(s) Form:** Applicants must submit the Budget Spreadsheet(s) Form electronically **as a separate document**. Please note that more detailed instructions for attaching the budget spreadsheet form are covered in the “**Program Specific Forms Instructions**” section of the application package.
    - This document is available under the “Documents & Instructions” section.
    - The Budget Narrative (which is a part of the Selection Criteria) should be included in the “Project Narrative – Budget.”
  
6. Applicants must double space the application project narrative and use a font that is either 12-point or larger. However, a 10-point font may be used in charts, tables, figures, graphs, footnotes, and endnotes. The following fonts are required to be used: Times New Roman, Courier, Courier New, or Arial. **Applications submitted in any other font, including Times Roman and Arial Narrow will not be accepted.**
  
7. Applicants are required to adhere to the page limit in the Application Narrative Instruction portion of the application. The “Notice inviting applications” for new awards for FY 2010, published in the Federal Register, contains specific information governing page limits for each grant type and formatting instructions. The page limits for the FY 2010 GAANN competition are as follows:
  - Single and Inter-Disciplinary\* – 40 pages
  - Multi-Disciplinary – 40 pages per academic department included in the proposal

**\*Note:**

**The page limit for Inter-Disciplinary applications will be restricted to 40 pages.**

8. Electronic submission of applications is required; therefore, you must submit an electronic application unless you follow the procedures outlined in the Federal Register notice inviting applications for new awards for FY 2010 and qualify for one of the exceptions to the electronic submission requirements. If you think you may need an exception, you are urged to review the requirement promptly.

9. Annual Performance Report Requirements:

If you receive an FY 2010 new grant award, you will be required to submit annual and final performance reports during the three-year funding cycle using the CBMI Reporting System. This online system collects narratives and data about funded projects, to enable program officers to determine if a grantee is making substantial progress toward meeting approved project objectives. If you wish to view the performance report currently required, visit the GAANN Web site at:

<http://www.ed.gov/programs/gaann/performance.html>

Please be advised that the report is for informational purposes only, and does not reflect the actual reporting instrument that you will use, should you receive a FY 2010 grant award.

10. Two years after the expiration of the grant:

Two years after your grant has expired, you will be required to submit an additional final performance report. This supplement to the final performance report will require you to provide data on the academic and employment status for all fellows that were awarded funds under this grant.

11. Please remember that e-Application closes on Wednesday and on Sunday evenings. The hours of operation (Washington, DC time) are from Monday 6:00 am to Wednesday 7:00 pm and on Thursday 6:00 am to 8:00 pm. **It is advised that you submit your application early to avoid any difficulty in submitting.**

## IMPORTANT – PLEASE READ FIRST

U.S. Department of Education

### *e-Application Submission Procedures and Tips for Applicants*

<http://e-grants.ed.gov>

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.

#### ATTENTION

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 help desk on 1-888-336-8930. The following are steps you should follow to successfully complete an application with e-Application.

**Step 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 of Education's grant programs can be found at <http://www.ed.gov/about/offices/list/ocfo/grants/grants.html>.

**Step 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.

**Step 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).

**Step 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.

**Step 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.

**Step 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.

**Step 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 e-mail once it is available. This process can take anywhere from a few minutes to a few hours. Once you receive the e-mail, 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.

**Step 8 - Submit your Application.** Only authorized individuals for your organization can submit an application. Please check with your Authorizing Representative 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 p.m., Washington, DC 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.]

**Step 9 - Fax the signed SF 424 Cover Page (or Program Specific Cover Page).** Write your unique application number (received in step 8) on the upper right corner of your printed SF 424 Cover Page (or Program Specific 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 p.m., Washington, DC time 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 an earlier 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 TRANSMITTAL INSTRUCTIONS**

### **Submission of Paper Applications by Mail:**

If you submit your application in paper format by mail (through the U.S. Postal Service or a commercial carrier), you must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number **84.200A**)  
LBJ Basement Level 1  
400 Maryland Avenue, S.W.  
Washington, DC 20202-4260

You must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do **not** accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will **not** consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

### **Submission of Paper Applications by Hand Delivery:**

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number **84.200A**)  
550 12th Street, S.W.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

**Note for Mail or Hand Delivery of Paper Applications:** If you mail or hand deliver your application to the Department--

- (1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and
- (2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

4000-01-U

DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

Graduate Assistance in Areas of National Need (GAANN)

Notice inviting applications for new awards for fiscal year (FY)  
2010.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.200A.

Dates:

Applications Available: November 17, 2009.

Deadline for Transmittal of Applications: December 18, 2009.

Deadline for Intergovernmental Review: February 16, 2010.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: This program provides fellowships in areas of national need to assist graduate students with excellent academic records who demonstrate financial need and plan to pursue the highest degree available in their course of study at the institution.

Priority: In accordance with 34 CFR 75.105(b)(2)(ii), this priority is from the regulations for this program (34 CFR 648.33(a) and Appendix to part 648—Academic Areas).

Absolute Priority: For FY 2010, this priority is an absolute priority. Under 34 CFR 75.105(c)(3), we consider only applications that meet this priority.

This priority is:

Areas of National Need: A project must provide fellowships in one or more of the following areas of national need: Biology, Chemistry, Computer and Information Sciences, Engineering, Mathematics, Nursing, Physics, and Educational Assessment, Evaluation, and Research.

Program Authority: 20 U.S.C. 1135.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 82, 84, 85, 86, 97, 98, and 99. (b) The regulations for this program in 34 CFR part 648.

## II. Award Information

Type of Award: Discretionary grants redistributed as fellowships to individual fellows.

Estimated Available Funds: The Administration has requested \$9,144,795 for new awards for this program for FY 2010. The actual level of funding, if any, depends on final Congressional action. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

Estimated Range of Awards: \$131,265 - \$262,530.

Estimated Average Size of Awards: \$175,020.

Estimated Number of Awards: 52.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 36 months.

Stipend Level: The Secretary will determine the fellowship stipend for GAANN for the academic year 2010-2011 based on the level of support provided by the graduate fellowships of the National Science Foundation, as of February 1, 2010. However, the Secretary will adjust the amount, as necessary, so as not to exceed the fellow's demonstrated level of financial need as calculated for purposes of the Federal Student Financial Aid Programs under Title IV, Part F, of the Higher Education Act of 1965, as amended.

Institutional Payment: The Secretary will determine the institutional payment for the academic year 2010-2011 by adjusting the previous academic year institutional payment, which is \$13,755 per fellow, by the U.S. Department of Labor's Consumer Price Index for the 2009 calendar year.

### III. Eligibility Information

1. Eligible Applicants: Academic departments of institutions of higher education that meet the requirements in 34 CFR 648.2.

2. Cost Sharing or Matching: An institution must provide, from non-Federal funds, an institutional matching contribution equal to at least 25 percent of the grant amount received (see 34 CFR 648.7).

3. Other: For requirements relating to selecting fellows, see 34 CFR 648.40.

#### IV. Application and Submission Information

1. Address to Request Application Package: Gary Thomas, U.S. Department of Education, 1990 K Street, NW., room 6016, Washington, DC 20006-8524. Telephone (202) 502-7767; or, by e-mail: gary.thomas@ed.gov.

If you use a telecommunications device for the deaf (TDD), call the Federal Relay Service (FRS), toll free, at 1-800-877-8339.

Individuals with disabilities can obtain a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or computer diskette) by contacting the program contact person listed in this section.

2. Content and Form of Application Submission:

Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this program.

Page Limit: The application narrative, Part II of the application, is where you, the applicant, address the selection

criteria that reviewers use to evaluate your application. You must limit the application narrative, Part II, as follows:

- An application in a single discipline must be limited to the equivalent of no more than 40 pages.

- An inter-disciplinary application must be limited to the equivalent of no more than 40 pages. An inter-disciplinary application must request funding for a single proposed program of study that involves two or more academic disciplines.

- A multi-disciplinary application must be limited to the equivalent of no more than 40 pages for each academic department included in the proposal. A multi-disciplinary application must request funding for two or more academic departments in areas of national need designated as priorities by the Secretary that are independent and unrelated to one another.

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides. Page numbers and an identifier may be within the 1" margin.

- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions. However, you may single space all text in charts, tables, figures, and graphs. Charts, tables, figures, and graphs presented in the application narrative count toward the page

limit.

- Use a font that is either 12-point or larger, or no smaller than 10 pitch (characters per inch). However, you may use a 10-point font in charts, tables, figures, graphs, footnotes, and endnotes.

- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

- Appendices are limited to the following: Curriculum Vitae—no more than two pages per faculty member, a course listing, letters of support, a bibliography, and one additional optional appendix relevant to the support of the proposal, not to exceed five pages.

The page limit does not apply to Part I, the Application for Federal Assistance (SF 424); the Supplemental Information Form required by the Department of Education; Part III, the assurances and certifications; the GAANN Statutory Assurances Form, the GAANN Budget Spreadsheet(s) form; the one-page abstract or the appendices. The page limit also does not apply to the table of contents, if you include one. However, you must include all of the application narrative in Part II.

We will reject your application if you exceed the page limit.

3. Submission Dates and Times:

Applications Available: November 17, 2009.

Deadline for Transmittal of Applications: December 18, 2009

Applications for grants under this program must be submitted electronically using the Electronic Grant Application system (e-Application) accessible through the Department's e-Grants site. For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to Section IV. 6. Other Submission Requirements of this notice.

We do not consider an application that does not comply with the deadline requirements.

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in Section VII of this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

Deadline for Intergovernmental Review: February 16, 2010.

4. Intergovernmental Review: This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79.

Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this program.

5. Funding Restrictions: We specify unallowable costs in 34 CFR 648.64. We reference additional regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Other Submission Requirements: Applications for grants under this program must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in this section.

a. Electronic Submission of Applications.

Applications for grants under the Graduate Assistance in Areas of National Need Program -- CFDA number 84.200A must be submitted electronically using e-Application, accessible through the Department's e-Grants Web site at: <http://e-grants.ed.gov>.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you 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. Further information regarding calculation of the date that is two weeks

before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

While completing your electronic application, you will be entering data online that will be saved into a database. You may not e-mail an electronic copy of a grant application to us.

Please note the following:

- You must complete the electronic submission of your grant application by 4:30:00 p.m., Washington, DC time, on the application deadline date. E-Application will not accept an application for this program after 4:30:00 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.

- The hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until 8:00 p.m. Sunday, Washington, DC time. Please note that, because of maintenance, the system is unavailable between 8:00 p.m. on Sundays and 6:00 a.m. on Mondays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time. Any modifications to these hours are posted on the e-Grants Web site.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic

submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information you typically provide on the following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, the GAANN Budget Spreadsheet(s), and all necessary assurances and certifications. You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password protected file, we will not review that material.

- Your electronic application must comply with any page limit requirements described in this notice.

- Prior to submitting your electronic application, you may wish to print a copy of it for your records.

- After you electronically submit your application, you will receive an automatic acknowledgment that will include a PR/Award number (an identifying number unique to your application).

- Within three working days after submitting your electronic application, fax a signed copy of the SF 424 to the Application Control Center after following these steps:

(1) Print SF 424 from e-Application.

(2) The applicant's Authorizing Representative must sign this form.

(3) Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the SF 424.

(4) Fax the signed SF 424 to the Application Control Center at (202) 245-6272.

- We may request that you provide us original signatures on other forms at a later date.

Application Deadline Date Extension in Case of e-Application

Unavailability: If you are prevented from electronically submitting your application on the application deadline date because e-Application is unavailable, we will grant you an extension of one business day to enable you to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if--

(1) You are a registered user of e-Application and you have initiated an electronic application for this competition; and

(2) (a) E-Application is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or

(b) E-Application is unavailable for any period of time between 3:30 p.m. and 4:30:00 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgment of any system unavailability, you may contact either (1) the person listed elsewhere in this notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930. If e-Application is unavailable due to technical problems with the system and, therefore, the application deadline is extended, an e-mail will be sent to all registered users who have initiated an e-Application. Extensions referred to in this section apply only to the unavailability of e-Application.

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement and may submit your application in paper format if you are unable to submit an application through e-Application because--

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to e-Application;

and

- No later than two weeks before the application deadline date (14 calendar days; or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevents you from using the Internet to submit your application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to: Gary Thomas, U.S. Department of Education, 1990 K Street, NW., room 6016, Washington, DC 20006-8524. FAX: (202) 502-7859.

Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.200A)  
LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

You must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

c. Submission of Paper Applications by Hand Delivery.

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application, by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.200A)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department--

(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and

(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this grant notification within 15 business days from the application deadline date, you should call the U.S.

Department of Education Application Control Center at (202) 245-6288.

#### V. Application Review Information

1. Selection Criteria: The selection criteria for this program are in 34 CFR 648.31.

2. Review and Selection Process: Additional factors we consider in selecting an application for an award are in 34 CFR 648.32.

#### VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN). We may notify you informally, also.

If your application is not evaluated or not selected for funding, we will notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. 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 directed by the Secretary under 34 CFR 75.118 and 34 CFR 648.66. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to <http://www.ed.gov/fund/grants-apply.html>. Grantees will be required to submit a supplement to the Final Performance Report two years after the expiration of their GAANN grant. The purpose of the supplement to the Final Performance Report is to identify and report the educational outcome of each GAANN Fellow.

4. Performance Measures: Under the Government Performance and Results Act of 1993 (GPRA), the following measures will be used by the Department in assessing the performance of the GAANN Program:

1) the percentage of GAANN Fellows completing the terminal degree in the designated areas of national need;

2) the percentage of GAANN Fellows from traditionally underrepresented groups enrolled in a terminal degree program in the designated areas of national need; and

3) the median time to completion of Master's and Doctorate degrees for GAANN students.

If funded, you will be asked to collect and report data in your project's annual performance report (EDGAR, 34 CFR 75.590) on these measures and on steps taken toward improving performance on these outcomes. Consequently, applicants are advised to include these outcomes in conceptualizing the design, implementation, and evaluation of their proposed projects. Their measurement should be a part of the project evaluation plan, along with measures of your progress on the goals and objectives specific to your project.

All grantees will be expected to submit an annual performance report documenting their success in addressing these performance measures.

#### VII. Agency Contact

For Further Information Contact: Gary Thomas, U.S. Department of Education, Graduate Assistance in Areas of National Need Program, 1990 K Street, NW., room 6016, Washington, DC 20006-8524. Telephone: (202) 502-7767, or by e-mail: gary.thomas@ed.gov. If you use a TDD, call the FRS, toll free, at 1-800-877-8339.

#### VIII. Other Information

Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an

accessible format (e.g., braille, large print, audiotape, or computer diskette) on request to the program contact person listed under For Further Information Contact in Section VII of this notice.

Electronic Access to This Document: You can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

[www.ed.gov/news/fedregister](http://www.ed.gov/news/fedregister). To use PDF you must have Adobe Acrobat Reader, which is available free at this site.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at:  
[www.gpoaccess.gov/nara/index.html](http://www.gpoaccess.gov/nara/index.html).

Delegation of Authority: The Secretary of Education has delegated authority to Daniel T. Madzelan, Director, Forecasting and Policy Analysis for the Office of Postsecondary Education, to perform the functions and duties of the Assistant Secretary for Postsecondary Education.

Dated:

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Daniel T. Madzelan,  
Director,  
Forecasting and Policy Analysis.



**HIGHER EDUCATION ACT OF 1965**

**TITLE VII – GRADUATE AND POSTSECONDARY  
IMPROVEMENT PROGRAMS**

**PART A – GRADUATE EDUCATION PROGRAMS**

**Subpart 2 – Graduate Assistance in Areas of National Need**

**PROGRAM STATUTE**

**TITLE VII--GRADUATE AND POSTSECONDARY IMPROVEMENT PROGRAMS**

**SEC. 701. REVISION OF TITLE VII.**

**Title VII (20 U.S.C. 1132a et seq.) is amended to read as follows:**

**'TITLE VII--GRADUATE AND POSTSECONDARY IMPROVEMENT PROGRAMS**

**'SEC. 700. PURPOSE.**

It is the purpose of this title--

'(1) to authorize national graduate fellowship programs--

'(A) in order to attract students of superior ability and achievement, exceptional promise, and demonstrated financial need, into high-quality graduate programs and provide the students with the financial support necessary to complete advanced degrees; and

'(B) that are designed to--

'(i) sustain and enhance the capacity for graduate education in areas of national need; and

'(ii) encourage talented students to pursue scholarly careers in the humanities, social sciences, and the arts; and

'(2) to promote postsecondary programs.

**'PART A—GRADUATE EDUCATION PROGRAMS**

**'Subpart 2--Graduate Assistance in Areas of National Need**

**'SEC. 711. GRANTS TO ACADEMIC DEPARTMENTS AND PROGRAMS OF INSTITUTIONS.**

'(a) GRANT AUTHORITY -

'(1) IN GENERAL - The Secretary shall make grants to academic departments, programs and other academic units of institutions of higher education that provide courses of study leading to a graduate degree, including a master's or doctoral degree, in order to enable such institutions to provide assistance to graduate students in accordance with this subpart.

'(2) ADDITIONAL GRANTS - The Secretary may also make grants to such departments, programs and other academic units of institutions of higher education granting graduate degrees which submit joint proposals involving non-degree granting institutions which have formal arrangements for the support of doctoral dissertation research with degree-granting institutions. Non-degree granting institutions eligible for awards as part of such joint proposals include any organization which--

'(A) is described in section 501(c)(3) of the Internal Revenue Code of 1986, and is exempt from tax under section 501(a) of such Code;

'(B) is organized and operated substantially to conduct scientific and cultural research and graduate training programs;

'(C) is not a private foundation;

'(D) has academic personnel for instruction and counseling who meet the standards of the institution of higher education in which the students are enrolled; and

'(E) has necessary research resources not otherwise readily available in such institutions to such students.

'(b) AWARD AND DURATION OF GRANTS -

'(1) AWARDS - The principal criterion for the award of grants shall be the relative quality of the graduate programs presented in competing applications. Consistent with an allocation of awards based on quality of competing applications, the Secretary shall, in awarding such grants, promote an equitable geographic distribution among eligible public and private institutions of higher education.

'(2) DURATION AND AMOUNT -

'(A) DURATION - The Secretary shall award a grant under this subpart for a period of 3 years.

'(B) AMOUNT - The Secretary shall award a grant to an academic department, program or unit of an institution of higher education under this subpart for a fiscal year in an amount that is not less than \$100,000 and not greater than \$750,000.

'(3) REALLOTMENT - Whenever the Secretary determines that an academic department, program or unit of an institution of higher education is unable to use all of the amounts available to the department, program or unit under this subpart, the Secretary shall, on such dates during each fiscal year as the Secretary may fix, re-allot the amounts not needed to academic departments, programs and units of institutions which can use the grants authorized by this subpart.

'(c) PREFERENCE TO CONTINUING GRANT RECIPIENTS -

'(1) IN GENERAL - The Secretary shall make new grant awards under this subpart only to the extent that each previous grant recipient under this subpart has received continued funding in accordance with subsection (b)(2)(A).

'(2) RATABLE REDUCTION- To the extent that appropriations under this subpart are insufficient to comply with paragraph (1), available funds shall be distributed by ratably reducing the amounts required to be awarded under subsection (b)(2)(A).

**'SEC. 712. INSTITUTIONAL ELIGIBILITY.**

'(a) ELIGIBILITY CRITERIA - Any academic department, program or unit of an institution of higher education that offers a program of post baccalaureate study leading to a graduate degree, including a master's or doctoral degree, in an area of national need (as designated under subsection (b)) may apply for a grant under this subpart. No department, program or unit shall be eligible for a grant unless the program of post baccalaureate study has been in existence for at least 4 years at the time of application for assistance under this subpart.

'(b) Designation of Areas of National Need--After consultation with appropriate Federal and nonprofit agencies and organizations, including the National Science Foundation, the Department of Defense, the Department of Homeland Security, the National Academy of Sciences, and the Bureau of Labor Statistics, the Secretary shall designate areas of national need. In making such designations, the Secretary shall take into consideration--

- ``(1) the extent to which the interest in the area is compelling;
- ``(2) the extent to which other Federal programs support postbaccalaureate study in the area concerned;
- ``(3) an assessment of how the program may achieve the most significant impact with available resources; and
- ``(4) an assessment of current (as of the time of the designation) and future professional workforce needs of the United States."

**'SEC. 713. CRITERIA FOR APPLICATIONS.**

'(a) SELECTION OF APPLICATIONS - The Secretary shall make grants to academic departments, programs and units of institutions of higher education on the basis of applications submitted in accordance with subsection (b). Applications shall be ranked on program quality by review panels of nationally recognized scholars and evaluated on the quality and effectiveness of the academic program and the achievement and promise of the students to be served. To the extent possible (consistent with other provisions of this section), the Secretary shall make awards that are consistent with recommendations of the review panels.

'(b) CONTENTS OF APPLICATIONS - An academic department, program or unit of an institution of higher education, in the department, program or unit's application for a grant, shall--

- '(1) describe the current academic program of the applicant for which the grant is sought;

'(2) provide assurances that the applicant will provide, from other non-Federal sources, for the purposes of the fellowship program under this subpart an amount equal to at least 25 percent of the amount of the grant received under this subpart, which contribution may be in cash or in kind, fairly valued;

'(3) set forth policies and procedures to assure that, in making fellowship awards under this subpart, the institution will seek talented students from traditionally underrepresented backgrounds, as determined by the Secretary;

'(4) describe the number, types, and amounts of the fellowships that the applicant intends to offer with grant funds provided under this part;

'(5) set forth policies and procedures to assure that, in making fellowship awards under this subpart, the institution will make awards to individuals who--

'(A) have financial need, as determined under part F of title IV;

'(B) have excellent academic records in their previous programs of study; and

'(C) plan to pursue the highest possible degree available in their course of study at the institution;

'(6) set forth policies and procedures to ensure that Federal funds made available under this subpart for any fiscal year will be used to supplement and, to the extent practical, increase the funds that would otherwise be made available for the purpose of this subpart and in no case to supplant those funds;

'(7) provide assurances that, in the event that funds made available to the academic department, program or unit under this subpart are insufficient to provide the assistance due a student under the commitment entered into between the academic department, program or unit and the student, the academic department, program or unit will, from any funds available to the department, program or unit, fulfill the commitment to the student;

'(8) provide that the applicant will comply with the limitations set forth in section 715;

'(9) provide assurances that the academic department will provide at least 1 year of supervised training in instruction for students; and

'(10) include such other information as the Secretary may prescribe.

## **'SEC. 714. AWARDS TO GRADUATE STUDENTS.**

### **'(a) COMMITMENTS TO GRADUATE STUDENTS -**

'(1) IN GENERAL - An academic department, program or unit of an institution of higher education shall make commitments to graduate students who are eligible students under section 484 (including students pursuing a doctoral degree after having completed a master's degree program at an institution of higher education) at any point in their graduate study to provide stipends for the length of time necessary for a student to complete the course of graduate study, but in no case longer than 5 years.

'(2) SPECIAL RULE - No such commitments shall be made to students under this subpart unless the academic department, program or unit has determined adequate funds are available to fulfill the commitment from funds received or anticipated under this subpart, or from institutional funds.

'(b) AMOUNT OF STIPENDS - The Secretary shall make payments to institutions of higher education for the purpose of paying stipends to individuals who are awarded fellowships under this subpart. The stipends the Secretary establishes shall reflect the purpose of the program under this subpart to encourage highly talented students to undertake graduate study as described in this subpart. In the case of an individual who receives such individual's first stipend under this subpart in academic year 2009-2010 or any succeeding academic year, such stipend shall be set at a level of support equal to that provided by the National Science Foundation Graduate Research Fellowship Program for such an academic year, except such amount shall be adjusted as necessary so as not to exceed the fellow's demonstrated level of need as determined under part F of title IV.

'(c) TREATMENT OF INSTITUTIONAL PAYMENTS - An institution of higher education that makes institutional payments for tuition and fees on behalf of individuals supported by fellowships under this subpart in amounts that exceed the institutional payments made by the Secretary pursuant to section 715(a) may count such excess toward the amounts the institution is required to provide pursuant to section 713(b)(2).

'(d) ACADEMIC PROGRESS REQUIRED - Notwithstanding the provisions of subsection (a), no student shall receive an award--

'(1) except during periods in which such student is maintaining satisfactory progress in, and devoting essentially full time to, study or research in the field in which such fellowship was awarded; or

'(2) if the student is engaging in gainful employment other than part-time employment involved in teaching, research, or similar activities determined by the institution to be in support of the student's progress towards a degree.

## **'SEC. 715. ADDITIONAL ASSISTANCE FOR COST OF EDUCATION.**

'(a) INSTITUTIONAL PAYMENTS -

'(1) IN GENERAL- The Secretary shall (in addition to stipends paid to individuals under this subpart) pay to the institution of higher education, for each individual awarded a fellowship under this subpart at such institution, an institutional allowance. Except as provided in paragraph (2), such allowance shall be, for 2009-2010 and succeeding academic years, the same amount as the institutional payment made for 2008-2009 adjusted annually thereafter in accordance with inflation as determined by the Department of Labor's Consumer Price Index for the previous calendar year.

'(2) REDUCTION- The institutional allowance paid under paragraph (1) shall be reduced by the amount the institution charges and collects from a fellowship recipient for tuition and other expenses as part of the recipient's instructional program.

'(b) USE FOR OVERHEAD PROHIBITED- Funds made available pursuant to this subpart may not be used for the general operational overhead of the academic department or program.

**'SEC. 716. AUTHORIZATION OF APPROPRIATIONS.**

There are authorized to be appropriated \$35,000,000 for fiscal year 2009 and each of the five succeeding fiscal years to carry out this subpart.

**HIGHER EDUCATION ACT OF 1965**

**TITLE VII – GRADUATE AND POSTSECONDARY  
IMPROVEMENT PROGRAMS**

**PART A – GRADUATE EDUCATION PROGRAMS**

**Subpart 2 – Graduate Assistance in Areas of National Need**

**PROGRAM REGULATIONS**

[Code of Federal Regulations]  
[Title 34, Volume 3]  
[Revised as of July 1, 2002]  
From the U.S. Government Printing Office via GPO Access  
[CITE: 34CFR648.1]

## **TITLE 34--EDUCATION**

### **DEPARTMENT OF EDUCATION**

#### **PART 648--GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED**

##### **Subpart A--General**

Sec. 648.1 What is the Graduate Assistance in Areas of National Need program?

The Graduate Assistance in Areas of National Need program provides fellowships through academic departments of institutions of higher education to assist graduate students of superior ability who demonstrate financial need.

(Authority: 20 U.S.C. 1135, 1135a)

[58 FR 65842, Dec. 16, 1993, as amended at 64 FR 13487, Mar. 18, 1999]

##### **Sec. 648.2 Who is eligible for a grant?**

(a) The Secretary awards grants to the following:

(1) Any academic department of an institution of higher education that provides a course of study that--

(i) Leads to a graduate degree in an area of national need; and

(ii) Has been in existence for at least four years at the time of an application for a grant under this part.

(2) An academic department of an institution of higher education that--

(i) Satisfies the requirements of paragraph (a)(1) of this section; and

(ii) Submits a joint application with one or more eligible non-degree-granting institutions

that have formal arrangements for the support of doctoral dissertation research with one or more degree-granting institutions.

(b) A formal arrangement under paragraph (a)(2)(ii) of this section is a written agreement between a degree-granting institution and an eligible non-degree-granting institution whereby the degree-granting institution accepts students from the eligible non-degree-granting institution as doctoral degree candidates with the intention of awarding these students doctorates in an area of national need.

(c) The Secretary does not award a grant under this part for study at a school or department of divinity.

(Authority: 20 U.S.C. 1135, 1135a)

Sec. 648.3 What activities may the Secretary fund?

(a) The Secretary awards grants to institutions of higher education to fund fellowships in one or more areas of national need.

(b)(1) For the purposes of this part, the Secretary designates areas of national need from the academic areas listed in the appendix to this part or from the resulting inter-disciplines.

(2) The Secretary announces these areas of national need in a notice published in the Federal Register.

(Authority: 20 U.S.C. 1135, 1135a)

##### **Sec. 648.4 What is included in the grant?**

Each grant awarded by the Secretary consists of the following:

(a) The stipends paid by the Secretary through the institution of higher education to fellows. The stipend provides an allowance to a fellow

for the fellow's (and his or her dependents') subsistence and other expenses.

(b) The institutional payments paid by the Secretary to the institution of higher education to be applied against each fellow's tuition, fees, and the costs listed in Sec. 648.62(b).

(Authority: 20 U.S.C. 1135c, 1135d)

**Sec. 648.5 What is the amount of a grant?**

(a) The amount of a grant to an academic department may not be less than \$100,000 and may not be more than \$750,000 in a fiscal year.

(b) In any fiscal year, no academic department may receive more than \$750,000 as an aggregate total of new and continuing grants.

(Authority: 20 U.S.C. 1135)

**Sec. 648.6 What is the duration of a grant?**

The duration of a grant awarded under this part is a maximum of three annual budget periods during a three-year (36-month) project period.

(Authority: 20 U.S.C. 1135)

**Sec. 648.7 What is the institutional matching contribution?**

An institution shall provide, from non-Federal funds, an institutional matching contribution equal to at least 25 percent of the amount of the grant received under this part, for the uses indicated in Sec. 648.63.

(Authority: 20 U.S.C. 1135b, 1135c)

**Sec. 648.8 What regulations apply?**

The following regulations apply to this program:

(a) The Education Department General Administrative Regulations (EDGAR) as follows:

(1) 34 CFR part 74 (Administration of Grants to Institutions of Higher Education, Hospitals, and Nonprofit Organizations).

(2) 34 CFR part 75 (Direct Grant Programs).

(3) 34 CFR part 77 (Definitions that Apply to Department Regulations).

(4) 34 CFR part 79 (Intergovernmental Review of Department of Education Programs and Activities).

(5) 34 CFR part 82 (New Restrictions on Lobbying).

(6) 34 CFR part 85 (Governmentwide Debarment and Suspension (Non-procurement) and Government-wide Requirements for Drug-Free Workplace (Grants)).

(7) 34 CFR part 86 (Drug-Free Schools and Campuses).

(b) The regulations in this part.

(Authority: 20 U.S.C. 1135)

**Sec. 648.9 What definitions apply?**

(a) *Definitions in EDGAR.* The following terms used in this part are defined in 34 CFR 77.1:

Applicant Application Award	Equipment Grant
Nonprofit	
Budget period	Project
Budget period	
Secretary	
Department	
Supplies	
EDGAR	

(b) *Other definitions.* The following definitions also apply to this part:

**Academic department** means any department, program, unit, or any other administrative subdivision of an institution of higher education that--

(i) Directly administers or supervises post-baccalaureate instruction in a specific discipline; and

(ii) Has the authority to award academic course credit acceptable to meet degree requirements at an institution of higher education.

**Academic field** means an area of study in an academic department within an institution of higher education other than a school or department of divinity.

**Academic year** means the 12-month period commencing with the fall instructional term of the institution.

**Application period** means the period in which the Secretary solicits applications for this program.

**Discipline** means a branch of instruction or learning.

**Eligible non-degree granting institution** means any institution that--

(i) Conducts post-baccalaureate academic programs of study but does not award doctoral degrees in an area of national need;

(ii) Is described in section 501(c)(3) of the Internal Revenue Code of 1986 and is exempt from tax under section 501(a) of the Code;

(iii) Is organized and operated substantially to conduct scientific and cultural research and graduate training programs;

(iv) Is not a private foundation;

(v) Has academic personnel for instruction and counseling who meet the standards of the institution of higher education in which the students are enrolled; and

(vi) Has necessary research resources not otherwise readily available in the institutions in which students are enrolled.

**Fees** mean non-refundable charges paid by a graduate student for services, materials, and supplies that are not included within the tuition charged by the institution in which the student is enrolled.

**Fellow** means a recipient of a fellowship under this part.

**Fellowship** means an award made by an institution of higher education to an individual for graduate study under this part at the institution of higher education.

**Financial need** means the fellow's financial need as determined under title IV, part F, of the HEA for the period of the fellow's enrollment in the approved academic field of study for which the fellowship was awarded.

**General operational overhead** means non-instructional expenses incurred by an academic department in the normal administration and conduct of its academic program, including the costs of supervision, recruitment, capital outlay, debt service, indirect costs, or any other costs not included in the determination of tuition and non-refundable fee charges.

**Graduate student** means an individual enrolled in a program of post-baccalaureate study at an institution of higher education.

**Graduate study** means any program of post-baccalaureate study at an institution of higher education.

**HEA** means the Higher Education Act of 1965, as amended.

**Highest possible degree available** means the highest possible degree available in a course of study at the institution.

**Institution of higher education (Institution)** means an institution of higher education, other than a school or department of divinity, as defined in section 1201(a) of the HEA.

**Inter-discipline** means a course of study that involves academic fields in two or more disciplines.

**Minority** means Alaskan Native, American Indian, Asian American, Black (African-American), Hispanic American, Native Hawaiian or Pacific Islander.

**Multi-disciplinary application** means an application that requests fellowships for more than a single academic department in areas of national need designated as priorities by the Secretary under this part.

**Project** means the activities necessary to assist, whether from grant funds or institutional resources, fellows in the successful completion of their designated educational programs.

**Satisfactory progress** means that a fellow meets or exceeds the institution's criteria and standards established for a graduate student's continued status as an applicant for the graduate degree in the academic field for which the fellowship was awarded.

**School or department of divinity** means an institution, or an academic department of an institution, whose program is specifically for the education of students to prepare them to become ministers of religion or to enter into some other religious vocation or to prepare them to teach theological subjects.

**Students from traditionally underrepresented backgrounds** mean women and minorities who traditionally are underrepresented in areas of national need as designated by the Secretary.

**Supervised training** means training provided to fellows under the guidance and direction of faculty in the academic department.

**Tuition** means the charge for instruction by the institution of higher education in which the fellow is enrolled.

**Underrepresented in areas of national need** means proportionate representation as measured by degree recipients, that is less than the proportionate representation in the general population, as indicated by--

- (i) The most current edition of the Department's Digest of Educational Statistics;
- (ii) The National Research Council's Doctorate Recipients from United States Universities;
- (iii) Other standard statistical references, as announced annually in the Federal Register notice inviting applications for new awards under this program; or
- (iv) As documented by national survey data submitted to and accepted by the Secretary on a case-by-case basis.

(Authority: 20 U.S.C. 1135-1135d)

#### Subpart B--How Does an Institution of Higher Education Apply for a Grant?

Sec. 648.20 How does an institution of higher education apply for a grant?

- (a) To apply for a grant under this part, an institution of higher education shall submit an application that responds to the appropriate selection criteria in Sec. 648.31.
- (b) In addition, an application for a grant must--
  - (1) Describe the current academic program for which the grant is sought;
  - (2) Request a specific number of fellowships to be awarded on a full-time basis for the academic year covered under the grant in each academic field included in the application;
  - (3) Set forth policies and procedures to ensure that in making fellowship awards under this part the institution will seek talented students from traditionally underrepresented backgrounds;
  - (4) Set forth policies and procedures to assure that in making fellowship awards under this part

the institution will make awards to individuals who satisfy the requirements of Sec. 648.40;

(5) Set forth policies and procedures to ensure that Federal funds made available under this part for any fiscal year will be used to supplement and, to the extent practical, increase the funds that otherwise would be made available for the purposes of this part and, in no case, to supplant those funds;

(6) Provide assurances that the institution will provide the institutional matching contribution described in Sec. 648.7;

(7) Provide assurances that, in the event that funds made available to the academic department under this part are insufficient to provide the assistance due a student under the commitment entered into between the academic department and the student, the academic department will, from any funds available to it, fulfill the commitment to the student;

(8) Provide that the institution will comply with the requirements in subpart F; and

(9) Provide assurances that the academic department will provide at least one year of supervised training in instruction to students receiving fellowships under this program.

(c) In any application period, an academic department may not submit more than one application for new awards.

(Approved by the Office of Management and Budget under control number 1840-0604)

(Authority: 20 U.S.C. 1135b)

[58 FR 65842, Dec. 16, 1993, as amended at 64 FR 13487, Mar. 18, 1999]

#### Subpart C--How Does the Secretary Make an Award?

Sec. 648.30 How does the Secretary evaluate an application?

- (a) The Secretary evaluates an application on the basis of the criteria in Sec. 648.31.
- (b) The Secretary awards up to 100 points for these criteria.
- (c) The maximum possible score for each criterion is indicated in parentheses.

(Authority: 20 U.S.C. 1135, 1135b)

Sec. 648.31 What selection criteria does the Secretary use?

The Secretary uses the following criteria to evaluate an application:

(a) **Meeting the purposes of the program.** (7 points) The Secretary reviews each application to determine how well the project will meet the purposes of the program, including the extent to which--

(1) The applicant's general and specific objectives for the project are realistic and measurable;

(2) The applicant's objectives for the project seek to sustain and enhance the capacity for teaching and research at the institution and at State, regional, or national levels;

(3) The applicant's objectives seek to institute policies and procedures to ensure the enrollment of talented graduate students from traditionally underrepresented backgrounds; and

(4) The applicant's objectives seek to institute policies and procedures to ensure that it will award fellowships to individuals who satisfy the requirements of Sec. 648.40.

(b) **Extent of need for the project.** (5 points) The Secretary considers the extent to which a grant under the program is needed by the academic department by considering--

(1) How the applicant identified the problems that form the specific needs of the project;

(2) The specific problems to be resolved by successful realization of the goals and objectives of the project; and

(3) How increasing the number of fellowships will meet the specific and general objectives of the project.

(c) **Quality of the graduate academic program.** (25 points) The Secretary reviews each application to determine the quality of the current graduate academic program for which project funding is sought, including--

(1) The course offerings and academic requirements for the graduate program;

(2) The qualifications of the faculty, including education, research interest, publications,

teaching ability, and accessibility to graduate students;

(3) The focus and capacity for research; and

(4) Any other evidence the applicant deems appropriate to demonstrate the quality of its academic program.

(d) **Quality of the supervised teaching experience.** (7 points) The Secretary reviews each application to determine the quality of the teaching experience the applicant plans to provide fellows under this program, including the extent to which the project--

(1) Provides each fellow with the required supervised training in instruction;

(2) Provides adequate instruction on effective teaching techniques;

(3) Provides extensive supervision of each fellow's teaching performance; and

(4) Provides adequate and appropriate evaluation of the fellow's teaching performance.

(e) **Recruitment plan.** (5 points) The Secretary reviews each application to determine the quality of the applicant's recruitment plan, including--

(1) How the applicant plans to identify, recruit, and retain students from traditionally underrepresented backgrounds in the academic program for which fellowships are sought;

(2) How the applicant plans to identify eligible students for fellowships;

(3) The past success of the academic department in enrolling talented graduate students from traditionally underrepresented backgrounds; and

(4) The past success of the academic department in enrolling talented graduate students for its academic program.

(f) **Project administration.** (7 points) The Secretary reviews the quality of the proposed project administration, including--

(1) How the applicant will select fellows, including how the applicant will ensure that project participants who are otherwise eligible to participate are selected without regard to race, color, national origin, religion, gender, age, or disabling condition;

(2) How the applicant proposes to monitor whether a fellow is making satisfactory progress toward the degree for which the fellowship has been awarded;

(3) How the applicant proposes to identify and meet the academic needs of fellows;

(4) How the applicant proposes to maintain enrollment of graduate students from traditionally underrepresented backgrounds; and

(5) The extent to which the policies and procedures the applicant proposes to institute for administering the project are likely to ensure efficient and effective project implementation, including assistance to and oversight of the project director.

(g) **Institutional commitment.** (14 points) The Secretary reviews each application for evidence that--

(1) The applicant will provide, from any funds available to it, sufficient funds to support the financial needs of the fellows if the funds made available under the program are insufficient;

(2) The institution's social and academic environment is supportive of the academic success of students from traditionally underrepresented backgrounds on the applicant's campus;

(3) Students receiving fellowships under this program will receive stipend support for the time necessary to complete their courses of study, but in no case longer than 5 years; and

(4) The applicant demonstrates a financial commitment, including the nature and amount of the institutional matching contribution, and other institutional commitments that are likely to ensure the continuation of project activities for a significant period of time following the period in which the project receives Federal financial assistance.

(h) **Quality of key personnel.** (5 points) The Secretary reviews each application to determine the quality of key personnel the applicant plans to use on the project, including--

(1) The qualifications of the project director;

(2) The qualifications of other key personnel to be used in the project;

(3) The time commitment of key personnel, including the project director, to the project; and

(4) How the applicant, as part of its nondiscriminatory employment practices, will ensure that its personnel are selected without regard to race, color, national origin, religion, gender, age, or disabling condition, except pursuant to a lawful affirmative action plan.

(i) **Budget.** (5 points) The Secretary reviews each application to determine the extent to which--

(1) The applicant shows a clear understanding of the acceptable uses of program funds; and

(2) The costs of the project are reasonable in relation to the objectives of the project.

(j) **Evaluation plan.** (15 points) The Secretary reviews each application to determine the quality of the evaluation plan for the project, including the extent to which the applicant's methods of evaluation--

(1) Relate to the specific goals and measurable objectives of the project;

(2) Assess the effect of the project on the students receiving fellowships under this program, including the effect on persons of different racial and ethnic backgrounds, genders, and ages, and on persons with disabilities who are served by the project;

(3) List both process and product evaluation questions for each project activity and outcome, including those of the management plan;

(4) Describe both the process and product evaluation measures for each project activity and outcome;

(5) Describe the data collection procedures, instruments, and schedules for effective data collection;

(6) Describe how the applicant will analyze and report the data so that it can make adjustments and improvements on a regular basis; and

(7) Include a time-line chart that relates key evaluation processes and benchmarks to other project component processes and benchmarks.

(k) **Adequacy of resources.** (5 points) The Secretary reviews each application to determine the adequacy of the resources that the applicant makes available to graduate students receiving fellowships under this program, including facilities, equipment, and supplies.

(Approved by the Office of Management and Budget under control number 1840-0604)

(Authority: 20 U.S.C. 1135-1135c)

Sec. 648.32 What additional factors does the Secretary consider?

(a) **Continuation awards.** (1) Before funding new applications, the Secretary gives preference to grantees requesting their second or third year of funding.

(2) If appropriations for this program are insufficient to fund all continuation grantees for the second and third years at the approved funding level, the Secretary prorates the available funds, if any, among the continuation grantees and, if necessary, awards continuation grants of less than \$100,000.

(b) **Equitable distribution.** In awarding grants, the Secretary will, consistent with an allocation of awards based on the quality of competing applications, ensure the following:

(1) An equitable geographic distribution of grants to eligible applicant institutions of higher education.

(2) An equitable distribution of grants to eligible applicant public and eligible applicant private institutions of higher education.

(Authority: 20 U.S.C. 1135-1135c)

Sec. 648.33 What priorities and absolute preferences does the Secretary establish?

(a) For each application period, the Secretary establishes as an area of national need and gives absolute preference to one or more of the general disciplines and sub-disciplines listed as priorities in the appendix to this part or the resulting inter-disciplines.

(b) The Secretary announces the absolute preferences in a notice published in the Federal Register.

(Authority: 20 U.S.C. 1135, 1135a)

### **Subpart D--How Are Fellows Selected?**

Sec. 648.40 How does an academic department select fellows?

(a) In selecting individuals to receive fellowships, an academic department shall consider only individuals who--

(1) Are currently enrolled as graduate students, have been accepted at the grantee institution, or are enrolled or accepted as graduate students at an eligible non-degree-granting institution;

(2) Are of superior ability;

(3) Have an excellent academic record;

(4) Have financial need;

(5) Are planning to pursue the highest possible degree available in their course of study;

(6) Are planning a career in teaching or research;

(7) Are not ineligible to receive assistance under 34 CFR 75.60; and

(8)(i) Are United States citizens or nationals;

(ii) Are permanent residents of the United States;

(iii) Provide evidence from the Immigration and Naturalization Service that they are in the United States for other than a temporary purpose with the intention of becoming permanent residents; or

(iv) Are citizens of any one of the Freely Associated States.

(b) An individual who satisfies the eligibility criteria in paragraph (a) of this section, but who attends an institution that does not offer the highest possible degree available in the individual's course of study, is eligible for a fellowship if the individual plans to attend subsequently an institution that offers this degree.

(Authority: 20 U.S.C. 1135, 1135b)

[58 FR 65842, Dec. 16, 1993, as amended at 64 FR 13487, Mar. 18, 1999]

Sec. 648.41 How does an individual apply for a fellowship?

An individual shall apply directly to an academic department of an institution of higher education that has received a grant.

(Authority: 20 U.S.C. 1135, 1135c)

Subpart E--How Does the Secretary Distribute Funds?

Sec. 648.50 What are the Secretary's payment procedures?

(a) The Secretary awards to the institution of higher education a stipend and an institutional payment for each individual awarded a fellowship under this part.

(b) If an academic department of an institution of higher education is unable to use all of the amounts available to it under this part, the Secretary reallocates the amounts not used to academic departments of other institutions of higher education for use in the academic year following the date of the reallocation.

(Authority: 20 U.S.C. 1135a, 1135c, 1135d)

#### **Sec. 648.51 What is the amount of a stipend?**

(a) For a fellowship initially awarded for an academic year prior to the academic year 1993-94, the institution shall pay the fellow a stipend in an amount that equals the fellow's financial need or \$10,000, whichever is less.

(b) For a fellowship initially awarded for the academic year 1993-94, or any succeeding academic year, the institution shall pay the fellow a stipend at a level of support equal to that provided by the National Science Foundation graduate fellowships, except that this amount must be adjusted as necessary so as not to exceed the fellow's demonstrated level of financial need as determined under part F of title IV of the HEA. The Secretary announces the amount of the stipend in a notice published in the Federal Register.

(Authority: 20 U.S.C. 1135c)

[58 FR 65842, Dec. 16, 1993, as amended at 64 FR 13487, Mar. 18, 1999]

Sec. 648.52 What is the amount of the institutional payment?

(a) For academic year 1998-1999, the amount of the institutional payment received by an institution of higher education for each student awarded a fellowship at the institution is \$10,222. Thereafter, the Secretary adjusts the amount of the institutional payment annually in accordance with inflation as determined by the United States Department of Labor's Consumer Price Index for the previous calendar year. The Secretary announces the amount of the institutional payment in a notice published in the Federal Register.

(b) The institutional allowance paid under paragraph (a) of this section is reduced by the amount the institution charges and collects from a fellowship recipient for tuition and other expenses as part of the recipient's instructional program.

(Authority: 20 U.S.C. 1135d)

[58 FR 65842, Dec. 16, 1993, as amended at 64 FR 13487, Mar. 18, 1999]

#### **Subpart F--What Are the Administrative Responsibilities of the Institution?**

Sec. 648.60 When does an academic department make a commitment to a fellow to provide stipend support?

(a) An academic department makes a commitment to a fellow at any point in his or her graduate study for the length of time necessary for the fellow to complete the course of graduate study, but in no case longer than five years.

(b) An academic department shall not make a commitment under paragraph (a) of this section to provide stipend support unless the academic department has determined that adequate funds are available to fulfill the commitment either from funds received or anticipated under this part or from institutional funds.

(Authority: 20 U.S.C. 1135c)

Sec. 648.61 How must the academic department supervise the training of fellows?

The institution shall provide to fellows at least one academic year of supervised training in instruction at the graduate or undergraduate level at the schedule of at least one-half-time teaching assistant.

(Authority: 20 U.S.C. 1135b)

Sec. 648.62 How can the institutional payment be used?

(a) The institutional payment must be first applied against a fellow's tuition and fees.

(b) After payment of a fellow's tuition and fees, the institutional payment may be applied against educational expenses of the fellow that are not covered by tuition and fees and are related to the academic program in which the fellow is enrolled. These expenses include the following:

(1) Costs for rental or purchase of any books, materials, or supplies required of students in the same course of study.

(2) Costs of computer hardware, project specific software, and other equipment prorated by the length of the student's fellowship over the reasonable life of the equipment.

(3) Membership fees of professional associations.

(4) Travel and per diem to professional association meetings and registration fees.

(5) International travel, per diem, and registration fees to participate in educational activities.

(6) Expenses incurred in research.

(7) Costs of reproducing and binding of educational products.

(c) The institutional payment must supplement and, to the extent practical, increase the funds that would otherwise be made available for the purpose of the program and, in no case, to supplant institutional funds currently available for fellowships.

(Authority: 20 U.S.C. 1135b, 1135d)

Sec. 648.63 How can the institutional matching contribution be used?

(a) The institutional matching contribution may be used to--

(1) Provide additional fellowships to graduate students who are not already receiving fellowships under this part and who satisfy the requirements of Sec. 648.40;

(2) Pay for tuition, fees, and the costs listed in Sec. 648.62(b);

(3) Pay for costs of providing a fellow's instruction that are not included in the tuition or fees paid to the institution in which the fellow is enrolled; and

(4) Supplement the stipend received by a fellow under Sec. 648.51 in an amount not to exceed a fellow's financial need.

(b) An institution may not use its institutional matching contribution to fund fellowships that were funded by the institution prior to the award of the grant.

(Authority: 20 U.S.C. 1135, 1135b, 1135c)

#### **Sec. 648.64 What are unallowable costs?**

Neither grant funds nor the institutional matching funds may be used to pay for general operational overhead costs of the academic department.

(Authority: 20 U.S.C. 1135, 1135d)

Sec. 648.65 How does the institution of higher education disburse and return funds?

(a) An institution that receives a grant shall disburse a stipend to a fellow in accordance with its regular payment schedule, but shall not make less than one payment per academic term.

(b) If a fellow withdraws from an institution before completion of an academic term, the institution may award the fellowship to another individual who satisfies the requirements in Sec. 648.40.

(c) If a fellowship is vacated or discontinued for any period of time, the institution shall return a prorated portion of the institutional payment and unexpended stipend funds to the Secretary,

unless the Secretary authorizes the use of those funds for a subsequent project period. The institution shall return the prorated portion of the institutional payment and unexpended stipend funds at a time and in a manner determined by the Secretary.

(d) If a fellow withdraws from an institution before the completion of the academic term for which he or she received a stipend installment, the fellow shall return a prorated portion of the stipend installment to the institution at a time and in a manner determined by the Secretary.

(Authority: 20 U.S.C. 1135c, 1135d)

### **Sec. 648.66 What records and reports are required from the institution?**

(a) An institution of higher education that receives a grant shall provide to the Secretary, prior to the receipt of grant funds for disbursement to a fellow, a certification that the fellow is enrolled in, is making satisfactory progress in, and is devoting essentially full time to study in the academic field for which the grant was made.

(b) An institution of higher education that receives a grant shall keep records necessary to establish--

(1) That each student receiving a fellowship satisfies the eligibility requirements in Sec. 648.40;

(2) The time and amount of all disbursements and return of stipend payments;

(3) The appropriate use of the institutional payment; and

(4) That assurances, policies, and procedures provided in its application have been satisfied.

(Approved by the Office of Management and Budget under control number 1840-0604)

(Authority: 20 U.S.C. 1135-1135d)

### **Subpart G--What Conditions Must Be Met by a Fellow After an Award?**

Sec. 648.70 What conditions must be met by a fellow?

To continue to be eligible for a fellowship, a fellow must--

(a) Maintain satisfactory progress in the program for which the fellowship was awarded;

(b) Devote essentially full time to study or research in the academic field in which the fellowship was awarded; and

(c) Not engage in gainful employment, except on a part-time basis in teaching, research, or similar activities determined by the academic department to be in support of the fellow's progress toward a degree.

(Authority: 20 U.S.C. 1135c)

### **Appendix to Part 648--Academic Areas**

The Secretary may give an absolute preference to any of the academic areas listed as disciplines or subdisciplines below, or the resulting inter-disciplines. The list was derived from the Classification of Instructional Programs (CIP) developed by the Office of Educational Research and Improvement of the U.S. Department of Education and includes the instructional programs that may constitute courses of studies toward graduate degrees. The code number to the left of each discipline and subdiscipline is the Department's identification code for that particular type of instructional program.

- 05. Area, Ethnic, and Cultural Studies
  - 05.01 Area Studies
  - 05.02 Ethnic and Cultural Studies
- 11. Computer and Information Sciences
  - 11.01 Computer and Information Sciences, General
  - 11.02 Computer Programming
  - 11.04 Information Sciences and Systems
  - 11.05 Computer Systems Analysis
  - 11.07 Computer Science
- 13. Education
  - 13.01 Education, General
  - 13.02 Bilingual/Bicultural Education
  - 13.03 Curriculum and Instruction
  - 13.04 Education Administration and Supervision

- 13.05 Educational/Instructional Media Design
- 13.06 Educational Evaluation, Research, and Statistics
- 13.07 International and Comparative Education
- 13.08 Educational Psychology
- 13.09 Social and Philosophical Foundations of Education
- 13.10 Special Education
- 13.11 Student Counseling and Personnel Services
- 13.12 General Teacher Education
- 13.13 Teacher Education, Specific Academic, and Vocational Programs
- 13.14 Teaching English as a Second Language/Foreign Language
- 14. Engineering
  - 14.01 Engineering, General
  - 14.02 Aerospace, Aeronautical, and Astronautical Engineering
  - 14.03 Agricultural Engineering
  - 14.04 Architectural Engineering
  - 14.05 Bioengineering and Biomedical Engineering
  - 14.06 Ceramic Sciences and Engineering
  - 14.07 Chemical Engineering
  - 14.08 Civil Engineering
  - 14.09 Computer Engineering
  - 14.10 Electrical, Electronic, and Communications Engineering
  - 14.11 Engineering Mechanics
  - 14.12 Engineering Physics
  - 14.13 Engineering Science
  - 14.14 Environmental/Environmental Health Engineering
  - 14.15 Geological Engineering
  - 14.16 Geophysical Engineering
  - 14.17 Industrial/Manufacturing Engineering
  - 14.18 Materials Engineering
  - 14.19 Mechanical Engineering
  - 14.20 Metallurgical Engineering
  - 14.21 Mining and Mineral Engineering
  - 14.22 Naval Architecture and Marine Engineering
  - 14.23 Nuclear Engineering
  - 14.24 Ocean Engineering
  - 14.25 Petroleum Engineering
  - 14.27 Systems Engineering
  - 14.28 Textile Sciences and Engineering
  - 14.29 Engineering Design
  - 14.30 Engineering/Industrial Management
  - 14.31 Materials Science
  - 14.32 Polymer/Plastics Engineering
- 16. Foreign Languages
  - 16.01 Foreign Languages and Literatures
  - 16.03 East and Southeast Asian Languages and Literatures
  - 16.04 East European Languages and Literatures
  - 16.05 Germanic Languages and Literatures
  - 16.06 Greek Languages and Literatures
  - 16.07 South Asian Languages and Literatures
  - 16.09 Romance Languages and Literatures
  - 16.11 Middle Eastern Languages and Literatures
  - 16.12 Classical and Ancient Near Eastern Languages and Literatures
- 22. Law and Legal Studies
  - 22.01 Law and Legal Studies
- 25. Library Science
  - 25.01 Library Science/Librarianship
  - 25.03 Library Assistant
- 26. Biological Sciences/Life Sciences
  - 26.01 Biology, General
  - 26.02 Biochemistry and Biophysics
  - 26.03 Botany
  - 26.04 Cell and Molecular Biology
  - 26.05 Microbiology/Bacteriology
  - 26.06 Miscellaneous Biological Specializations
  - 26.07 Zoology
- 27. Mathematics
  - 27.01 Mathematics
  - 27.03 Applied Mathematics
  - 27.05 Mathematic Statistics
- 40. Physical Sciences
  - 40.01 Physical Sciences, General
  - 40.02 Astronomy
  - 40.03 Astrophysics
  - 40.04 Atmospheric Sciences and Meteorology
  - 40.05 Chemistry
  - 40.06 Geological and Related Sciences
  - 40.07 Miscellaneous Physical Sciences
  - 40.08 Physics
- 42. Psychology
  - 42.01 Psychology
  - 42.02 Clinical Psychology
  - 42.03 Cognitive Psychology and Psycholinguistics
  - 42.04 Community Psychology

- 42.06 Counseling Psychology
- 42.07 Developmental and Child Psychology
- 42.08 Experimental Psychology
- 42.09 Industrial and Organizational Psychology
- 42.11 Physiological Psychology/Psychobiology
- 42.16 Social Psychology
- 42.17 School Psychology
- 50. Visual and Performing Arts
  - 50.01 Visual and Performing Arts
  - 50.02 Crafts, Folk Art, and Artisanry
  - 50.03 Dance
  - 50.04 Design and Applied Arts
  - 50.05 Dramatic/Theater Arts and Stagecraft
  - 50.06 Film/Video and Photographic Arts
  - 50.07 Fine Arts and Art Studies
  - 50.09 Music
- 51. Health Professions and Related Sciences
  - 51.01 Chiropractic (D.C., D.C.M.)
  - 51.02 Communication Disorders Sciences and Services
  - 51.03 Community Health Services
  - 51.04 Dentistry (D.D.S., D.M.D.)
  - 51.05 Dental Clinical Sciences/Graduate Dentistry (M.S., Ph.D.)
  - 51.06 Dental Services
  - 51.07
  - 51.07 Health and Medical Administrative Services
  - 51.08 Health and Medical Assistants
  - 51.09 Health and Medical Diagnostic and Treatment Services
  - 51.10 Health and Medical Laboratory Technologies/Technicians
  - 51.11 Health and Medical Preparatory Programs
  - 51.12 Medicine (M.D.)
  - 51.13 Medical Basic Science
  - 51.14 Medical Clinical Services (M.S., Ph.D)
  - 51.15 Mental Health Services
  - 51.16 Nursing
  - 51.17 Optometry (O.D.)
  - 51.18 Ophthalmic/Optometric Services
  - 51.19 Osteopathic Medicine (D.O.)
  - 51.20 Pharmacy
  - 51.21 Podiatry (D.P.M., D.P., Pod.D.)
  - 51.22 Public Health
  - 51.23 Rehabilitation/Therapeutic Services
  - 51.24 Veterinary Medicine (D.V.M.)
  - 51.25 Veterinary Clinical Services
  - 51.27 Miscellaneous Health Professions

## **INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS EXECUTIVE ORDER 12372**

This program falls under the rubric of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79. One of the objectives of the Executive order is to strengthen federalism--or the distribution of responsibility between localities, States, and the Federal government--by fostering intergovernmental partnerships. This idea includes supporting processes that State or local governments have devised for coordinating and reviewing proposed Federal financial grant applications.

The process for doing this requires grant applicants to contact State Single Points of Contact for information on how this works. Multi-state applicants should follow procedures specific to each state.

Further information about the State Single Point of Contact process and a list of names by State can be found at:

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

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], U.S. Department of Education, room 7E200, 400 Maryland Avenue, S.W., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR §75.102).

Recommendations or comments may be hand-delivered until 4:30 p.m. (eastern time) on the closing date indicated in this notice.

**Important note:** The above address is not the same address as the one to which the applicant submits its completed applications. **Do not send applications to the above address.**

# GENERAL EDUCATION PROVISIONS ACT (GEPA)

## SECTION 427

OMB Control No. 1894-0005 (Exp. 01/31/2011)

### NOTICE TO ALL APPLICANTS

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

#### To Whom Does This Provision Apply?

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

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

#### What Does This Provision Require?

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

plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

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

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

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

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

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

#### Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1894-0005**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202-4537.

## GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)

### What is GPRA?

The Government Performance and Results Act of 1993 (GPRA) is a straightforward statute that requires all federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

### How has the Department of Education Responded to the GPRA Requirements?

As required by GPRA, the Department of Education has prepared a strategic plan for 2007-2012. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

*Goal 1: Improve student achievement, with a focus on bringing all students to grade level in reading and mathematics by 2014.*

*Goal 2: Increase the academic achievement of all high school students.*

*Goal 3: Ensure the accessibility, affordability, and accountability of higher education, and better prepare students and adults for employment and future learning.*

### What are the performance indicators for the GAANN Program?

The performance indicators for the GAANN program are part of the Department's plan for meeting Goal 3. The specific goal for the GAANN program is "to increase the number of persons trained at the highest academic level" in the areas of national need.

The performance indicators for the GAANN program are:

- (1.1) **Graduate school completion:** the percentage of GAANN fellows completing the terminal degree in the designated areas of national need.
- (1.2) **Enrollment of targeted populations:** the percentage of GAANN fellows from traditionally underrepresented groups enrolled in a terminal degree program in the designated areas of national need.
- (1.3) **Time-to-Degree:** median time to completion of Master's and Doctorate degrees for GAANN students.

### How does the Department of Education determine whether performance goals have been met?

An applicant that receives a grant award will be required to submit annual progress reports and a final report as a condition of the award. The reports will document the extent to which project goals and objectives are met. The most recent version of this program's annual performance report can be viewed at [www.ed.gov/programs/gaann/performance.html](http://www.ed.gov/programs/gaann/performance.html).

**INSTRUCTIONS FOR**  
**COMPLETING THE**  
**GAANN**  
**APPLICATION PACKAGE**

**INSTRUCTIONS FOR COMPLETING THE  
APPLICATION PACKAGE**

The GAANN program application consists of **three parts**. These parts are organized in the same manner that the submitted application should be organized. The parts are as follows:

**Part I: 424 Forms**

- Application for Federal Assistance – (SF 424)
- Department of Education Supplemental Information Form for SF 424

**\*Note:**

Please do not attach any narratives, supporting files, or application components to the SF 424. Although the form accepts attachments, the Department of Education will only review materials/files attached to the forms listed below.

**Part II: Project Narrative**

- Project Narrative – Abstract
- Project Narrative – Meeting the purposes of the program
- Project Narrative – Extent of need
- Project Narrative – Quality of the graduate academic program
- Project Narrative – Quality of the supervised teaching experience
- Project Narrative – Recruitment plan
- Project Narrative – Institutional commitment
- Project Narrative – Quality of the key personnel
- Project Narrative – Budget
- Project Narrative – Evaluation plan
- Project Narrative – Adequacy of resources
- Project Narrative – Appendix 1 – Curriculum vitae
- Project Narrative – Appendix 2 – Course listing
- Project Narrative – Appendix 3 – Letters of support
- Project Narrative – Appendix 4 – Bibliography
- Project Narrative – Appendix 5 – Optional
- Project Narrative – Program Specific Form – Statutory Assurances
- Project Narrative – Program Specific Form – Budget Spreadsheet(s) Form

The **Project Narrative – Abstract** is where you attach your project abstract.

**\*Note:**

In addition to a short summary covering the designated area(s) of national need, the abstract should include:

Institution Name:	
Type of Application: (Single/Inter-disciplinary/Multi-Disciplinary)	
Area of National Need:	
Degree Level of Program of Study (Masters or Doctorate):	
Length of Time Degree Program has been in Existence:	
Number of Federally Funded GAANN Fellows Requested:	

**Formatting Requirements:**

Information provided in the one-page abstract may be single-spaced or double-spaced. However, the **font requirements in the Project Narrative also apply to the Project Abstract**, which must be attached as follows:

The document to be included in the abstract must be attached electronically. Applicants should save the document in Microsoft Word as either a .DOC (document), .RTF (rich text), or .PDF (Portable Document). Once the document has been saved, the applicant must attach the document to the “Project Narrative – Abstract.”

The **Project Narrative** includes the narrative sections addressing the program selection criteria that will be used to evaluate applications submitted for this competition - this section has a strict page limit depending on the type of application you are submitting.

**\*Note:**

The **Budget Narrative** will be included in the “Project Narrative - Budget” as part of the Selection Criteria.

The **Project Narrative -Appendices** are where you attach the appendices, referenced on page 73 of the Instructions for Completing the Project Narrative section. You will also include the required GAANN Budget Spreadsheet(s) form and the GAANN Statutory Assurances.

- Attach Curriculum Vitae (CV) together as one document.

The **Project Narrative – Program Specific Forms** are where you attach the following **GAANN program specific** forms found at the end of the application package:

- .....**GAANN Statutory Assurances Form**

Instructions for the GAANN Statutory Assurances Form are covered in the “Instructions for Program Specific Forms” section of the application package.

- .....**GAANN Budget Spreadsheet(s) Form**

The GAANN Budget Spreadsheet(s) Form is where the applicant provides budget information for the GAANN Budget Narrative. The applicant must submit the Budget Spreadsheet(s) Form electronically as a separate document.

- This document is available under the “Documents & Instructions” section.
- The completed form(s) must be attached to “Project Narrative – Program Specific Forms – Budget Spreadsheet(s) Form.”

Please note that more detailed instructions for completing and attaching the Budget Spreadsheet(s) Form are covered in the “Instructions for Program Specific Forms” section of the application package.

- These forms should not be altered in any way.

**\*Note:**

All attachments must be in .DOC, .RTF, or .PDF format. Other types of files will not be accepted.

**Part III:    Assurances and Certifications**

- GEPA Section 427 Requirement
- Assurances – Non-Construction Programs (SF 424B)
- Disclosure of Lobbying Activities (SF-LLL)
- Lobbying Form (formerly ED form 80-0013)
- Survey on Ensuring Equal Opportunity for Applicants

**PART II:  
Instructions for Completing the Project Narrative  
(Application Narrative)**

**Applications must be submitted electronically via e-Application. Please refer to pages 9-11 of the application package for more information regarding new electronic submission requirements.**

Before preparing the project narrative, the applicant should **read carefully**: the program statute, Notice Inviting New Applications, and the program regulations, including Subpart B, §648.20, How does an Institution of Higher Education Apply for a Grant? and Subpart C, §648.30 through §648.33, How Does the Secretary Make an Award?

**ABSTRACT INSTRUCTIONS:**

The abstract must contain a short summary covering the designated area(s) of national need; in addition, each abstract should include:

Institution Name:	
Type of Application (Single/Inter-Disciplinary/Multi-Disciplinary):	
Area of National Need:	
Degree Level of Program of Study (Masters or Doctorate):	
Length of Time Degree Program has been in Existence:	
Number of Federally Funded GAANN Fellows Requested:	

**Formatting requirements:**

The abstract may be single or double spaced.

- A “page” is “8.5x11,” on one side only, with 1’ margins at the top, bottom, and both sides. Page numbers and an identifier may be within 1’ margin.
- Applicants may use one of the following fonts: *Times New Roman*, *Courier*, *Courier New* or *Arial* only. Applications submitted in any other font (including Times Roman and Arial Narrow) will not be accepted. Do not use anything smaller than a 12-point font.

**PROJECT NARRATIVE INSTRUCTIONS:**

**Formatting Requirements:**

A “page” is “8.5x11,” on one side only, with 1’ margins at the top, bottom, and both sides. Page numbers and an identifier may be within 1’ margin. Double-space all text in the application, including titles and heading. All text in charts, tables, graphs, footnotes, quotations, references, and captions may be single-spaced. Applicants may use one of the following fonts: *Times New*

*Roman, Courier, Courier New or Arial only.* Applications submitted in any other font (including Times Roman and Arial Narrow) will not be accepted. Do not use anything smaller than a 12-point font.

**Project Narrative Page Limits:**

- a. Single and Inter-Disciplinary applications must be limited to the equivalent of no more than 40 pages.
- b. Multi-disciplinary applications, as defined below, must be limited to the equivalent of no more than 40 pages for each academic department included in the proposal.

**Note:**

- An **inter-disciplinary** application must request funding for a single proposed program of study that involves academic fields in two or more disciplines.
- A **multi-disciplinary** application must request funding for two or more academic departments in areas of national need designated as priorities by the Secretary that are **independent** and **unrelated** to one another.
- **Applicants must abide by the definition of multi-disciplinary when applying page limits.**

Page limitations requirements for the application narrative section will be strictly enforced. Your application will be rejected if you exceed the page limits outlined above.

**Note:** Applicants have the option of including a Table of Contents. However, this document must not be longer than two (2) pages. The formatting should be the same as listed above in the “Formatting Requirements.”

**Selection Criteria:**

The selection criteria outlined below will be used to evaluate the quality of applications submitted for funding. The application process requires each applicant to address the selection criteria, including all sub-criteria, in sequential order. The maximum score that an applicant can earn for the selection criteria is 100 points.

- |   |             |
|---|-------------|
| <b>1. Meeting the purpose of the program</b>            | <b>(7)</b>  |
| <b>2. Extent of need for the project</b>                | <b>(5)</b>  |
| <b>3. Quality of the graduate academic program</b>      | <b>(25)</b> |
| <b>4. Quality of the supervised teaching experience</b> | <b>(7)</b>  |
| <b>5. Recruitment plan</b>                              | <b>(5)</b>  |
| <b>6. Project administration</b>                        | <b>(7)</b>  |
| <b>7. Institutional commitment</b>                      | <b>(14)</b> |
| <b>8. Quality of key personnel</b>                      | <b>(5)</b>  |

- 9. Budget (5)
- 10. Evaluation plan (15)
- 11. Adequacy of resources (5)

**1. MEETING THE PURPOSES OF THE PROGRAM (7 POINTS)**

The Secretary reviews each application to determine how well the project will meet the purposes of the program, including the extent to which:

- **The applicant’s general and specific objectives for the project are realistic and measurable.**

The purpose of the project should be clearly stated under this section by outlining general and specific objectives for the project and how these objectives relate to the overall performance goals of the program as a whole. The applicant should ensure that objectives are realistic and measurable using qualitative or quantitative data when appropriate.

- **The applicant’s objectives for the project seek to sustain and enhance the capacity for teaching and research at the institution and at state, regional, or national levels.**

The applicant should describe how they intend to sustain or enhance the capacity for teaching and researching at their institution and at either the state, regional, or national levels.

- **The applicant’s objectives seek to institute policies and procedures to ensure the enrollment of talented graduate students from traditionally underrepresented backgrounds.**

The proposal must contain specific policies or procedures as to how the applicant will ensure the enrollment of talented graduate students from underrepresented backgrounds. The applicant should ensure that all policies or procedures for increasing the number of students from underrepresented groups are realistic and attainable.

- **The applicant’s objectives seek to institute policies and procedures to ensure that it will award fellowships to individuals who satisfy the requirements of Section 648.40.**

The applicant is required to establish specific policies and procedures to ensure compliance with Section 648.40 of the GAANN program regulations. Section 648.40 provides that the selection of GAANN Fellows must be based on the following criteria: outstanding academic record; demonstrated financial need; meeting citizenship or permanent residence requirements; expressed plan to pursue a Ph.D., and career goals in teaching and research.

**2. EXTENT OF NEED FOR THE PROJECT (5 POINTS)**

**The Secretary considers the extent to which a grant under the program is needed by the academic department by considering:**

- How the applicant identified the problems that form the specific needs of the project.

The applicant must identify the problems of a specific issue that could be addressed in the proposal using qualitative or quantitative data when appropriate.

Example:

U.S. nursing schools turned away 29,000 qualified applicants to entry-baccalaureate nursing programs in 2004 due to insufficient numbers of faculty.

- **The specific problems to be resolved by successful realization of the goals and objectives of the project.**

Once the problem(s) have been identified, the applicant should provide a plan that will make a significant impact on solving the problem (s) introduced by the applicant.

**Example:**

The applicant has provided a plan that will increase the pool of nurse educators with superior skills in education and nursing, particularly among men and minorities.

- **How increasing the number of fellowships will meet the specific and general objectives of the project.**

The applicant must also demonstrate how obtaining GAANN fellowships will meet the objectives of the proposal.

**Example:**

This project will enable the institution to increase its current enrollment of 64 doctoral students in the nursing program to at least 80 doctoral students who will pursue careers in teaching and researching to address the shortage of educators.

### **3. QUALITY OF THE GRADUATE ACADEMIC PROGRAM (25 POINTS)**

**The Secretary reviews each application to determine the quality of the current graduate academic program for which project funding is sought, including:**

- **The course offerings and academic requirements for the graduate program.**

The applicant must provide a list of course offerings along with the academic requirements for the graduate programs involved. Course offerings are sometimes provided in the appendix section of the proposal so that space can be saved in the

narrative section. Interdisciplinary and multidisciplinary proposals must also provide a list of course offerings and academic requirements for all departments.

- **The qualifications of the faculty, including education, research interest, publications, teaching ability, and accessibility to graduate students.**

The applicant should provide the qualifications of the faculty involved with the project as it relates to: education of the faculty, research interest, publications, teaching ability, and accessibility to graduate students (i.e. student to faculty ratio). The applicant should include the CV's of key faculty in the appendix section.

- **The focus and capacity for research.**

Does the institution have the facilities, the faculty, or state-of-the-art equipment to support research projects specified in the proposal? The applicant should also provide specific examples that demonstrate how committed their institution is to research (i.e., the allocation of federal or state research dollars to support a specific research project or any other external funding the institution may receive to demonstrate their level of commitment to research).

- **Any other evidence the applicant deems appropriate to demonstrate the quality of its academic program.**

The applicant should take this opportunity to highlight such accomplishments as national rankings, Nobel laureates, annual conferences, memberships in national academies, and funding increases (to cite a few examples). Providing letters of support may also be used to demonstrate the quality of the graduate program. Letters of support should be included in the appendix.

#### **4. QUALITY OF THE SUPERVISED TEACHING EXPERIENCE (7 POINTS)**

**The Secretary reviews each application to determine the quality of the teaching experience the applicant plans to provide fellows under this program, including the extent to which the project:**

- **Provides each fellow with the required supervised training in instruction.**

Section 648.61 of the GAANN program regulations provides that an institution must provide at least one year of supervised training in instruction at the graduate or undergraduate level. The applicant should take this opportunity to discuss specific programs, courses, seminars and conferences they will offer GAANN Fellows to prepare them for a possible career in teaching. The applicant should not use the supervisory teaching requirement to fill part-time faculty positions. Rather, the applicant's ultimate goal should be to expose the GAANN Fellow to a supervised teaching experience.

- **Provides adequate instruction on effective teaching techniques.**

Applicant should highlight any instructional strategies or techniques that will be used to prepare GAANN Fellows for teaching responsibilities. The applicant may offer education courses, training seminars, or assign a mentor/advisor to the GAANN Fellow to develop effective teaching skills.

- **Provides extensive supervision of each fellow's teaching performance.**

The applicant should provide information in the proposal to show how frequently and how closely they will mentor or instruct the fellow in an effort to monitor teaching performance.

- **Provides adequate and appropriate evaluation of the fellow's teaching performance.**

How will the applicant's teaching performance be evaluated? A few examples include: (1) providing biweekly or monthly evaluation meetings to offer constructive criticism to the GAANN Fellow; (2) videotaping a classroom session to evaluate performance; and (3) receiving feedback from the students being instructed by the GAANN Fellow.

## **5. RECRUITMENT PLAN (5 POINTS)**

**The Secretary reviews each application to determine the quality of the applicant's recruitment plan, including:**

- **How the applicant plans to identify, recruit, and retain students from traditionally underrepresented backgrounds in the academic program for which fellowships are sought.**

Applicant should provide a realistic plan for identifying, recruiting, and retaining underrepresented groups by highlighting specific policies or programs. Please see clarifying language regarding this issue on page 73.

- **How the applicant plans to identify eligible students for fellowships.**

The proposal should provide a plan to identify eligible students for GAANN. Section 648.40 of the GAANN program regulations provide that the selection of GAANN Fellows must be based on the following criteria: outstanding academic record; demonstrated financial need; meeting citizenship or permanent residence requirements; expressed plan to pursue a Ph.D., and career goals in teaching and research.

- **The past success of the academic department in enrolling talented graduate students from traditionally underrepresented backgrounds.**

Proposal should highlight past successes for recruiting from traditionally underrepresented backgrounds using statistical data to support claims.

- **The past success of the academic department in enrolling talented graduate students for its academic program.**

Proposal should highlight past successes for enrolling talented graduate students using statistical data to support claims.

## **6. PROJECT ADMINISTRATION (7 POINTS)**

**The Secretary reviews the quality of the proposed project administration, including:**

- **How the applicant will select fellows, including how the applicant will ensure that project participants who are otherwise eligible to participate are selected without regard to race, color, national origin, religion, gender, age or disabling condition.**

A statement should be included in the proposal indicating that the selection of GAANN Fellows will be made without regard to race, color, national origin, religion, gender, age, or disabling condition. Applicants should also discuss other requirements that will be used in the selection of GAANN Fellows.

- **How the applicant proposes to monitor whether a fellow is making satisfactory progress toward the degree for which the fellowship has been awarded.**

The applicant should provide an assessment of the student's progress towards completion of degree requirements. For example, this assessment could include a review of the fellow's academic performance and the steps taken to ensure timely completion of important examinations required for degree completion.

- **How the applicant proposes to identify and meet the academic needs of fellows.**

The applicant should include a discussion that will describe how they intend to meet the academic needs of all GAANN Fellows such as helping them design and carry out any internship, teaching, and/or research requirements.

- **How the applicant proposes to maintain enrollment of graduate students from traditionally underrepresented backgrounds.**

A discussion of specific programs, policies, and procedures should be provided in the proposal that supports the retention of graduate students from underrepresented groups.

- **The extent to which the policies and procedures the applicant proposes to institute for administering the project are likely to ensure efficient and effective project implementation, including assistance to and oversight of the project director.**

How will those involved in the administration of the GAANN program ensure smooth implementation and oversight of the program? The responsibilities of the project directors and other key personal should be highlighted to ensure effective administration of the fellowship program.

## 7. INSTITUTIONAL COMMITMENT (14 POINTS)

The Secretary reviews each application for evidence that:

- **The applicant will provide, from any funds available to it, sufficient funds to support the financial needs of the fellows if the funds made available under the program are insufficient.**

Proposal should include a discussion that will demonstrate the level of financial commitment the institution will provide should the amount of federal funding fall short. For example, the maximum stipend that a fellow can receive in FY 2009 is up to \$30,000 to cover cost of living expenses, and an institutional payment of \$13,552 to cover tuition and fee expenses. If the needs analysis of a fellow indicates that additional support is necessary, the institution should include information regarding other sources of funding that may be provided to the GAANN Fellow.

- **The institution's social and academic environment is supportive of the academic success of students from traditionally underrepresented backgrounds on the applicant's campus.**

Providing a social and academic environment that is supportive of students from underrepresented groups should be highlighted in the proposal such as the availability of academic support services, student organizations, and professional associations on campus.

- **Students receiving fellowships under this program will receive stipend support for the time necessary to complete their courses of study, but in no case longer than 5 years.**

The GAANN program provides stipend and tuition payment to support fellows up to three years. The institution is required to provide two additional years of support not to exceed a period of up to five years. If fellows require time beyond the duration of the GAANN grant, the institution should provide assurances in their proposal that additional funding will be provided.

- **The applicant demonstrates a financial commitment, including the nature and amount of the institutional matching contribution, and other institutional commitments that are likely to ensure the continuation of project activities for a significant period of time following the period in which the project receives Federal financial assistance.**

In accordance with Section 648.7 of the GAANN program regulations, the institutional matching contributions must equal a minimum of 25 percent of the Federal funds requested. The applicant should provide detailed information as to how they intend to meet the 25 percent matching requirement. Section 648.63 of the GAANN program regulations provides that the matching requirement may be used to provide additional

fellowships, cover tuition and fee expenses not covered by the institutional payment, pay for a fellow's instruction, and supplement the fellow's stipend. The applicant should also include any other information in the proposal that highlights the institution's commitment to ensure that the fellow reaches success.

## **8. QUALITY OF KEY PERSONNEL (5 POINTS)**

**The Secretary reviews each application to determine the quality of key personnel the applicant plans to use on the project, including:**

- **The qualifications of the project director.**

A description of the project director's education, experience, and other relevant qualifications should be provided in this section.

- **The qualifications of other key personnel to be used in the project.**

A description of the key personnel's education, experience, and other relevant qualifications should be provided in this section.

- **The time commitment of key personnel, including the project director, to the project.**

Time commitments of all key personnel that will be directly involved with the project should be provided. Although the regulations do not provide specific time commitments, most project directors will devote at least 10 percent to the project, and other key personnel will devote at least 5 percent to 10 percent of their academic year to the project.

- **How the applicant, as a part of its nondiscriminatory employment practices, will ensure that its personnel are selected without regard to race, color, national origin, religion, gender, age, or disabling condition, except pursuant to a lawful affirmative action plan.**

Applicant should include a statement that will attest to its nondiscrimination employment practices to ensure that personnel are selected without regards to race, color, national origin, and religion.

## **9. BUDGET (5 POINTS)**

**The Secretary reviews each application to determine the extent to which:**

- **The applicant shows a clear understanding of the acceptable uses of program funds.**

The applicant should provide a statement in the proposal that demonstrates their ability to fully understand the process for providing funding to all GAANN Fellows. For

information purposes, the fellowship award consists of a stipend award to cover costs of living expenses and an institutional payment to cover tuition and fee expenses. The maximum FY 2009 GAANN Fellowship award is \$43,552. Each Fellowship consists of a maximum stipend amount of \$30,000 and an Institutional Payment of \$13,552. The applicant should be aware that federal funding cannot be used to cover general operational overhead charges under the GAANN program.

The budget spreadsheet provided by the applicant should provide a detailed breakout of all project costs for each year for which Federal funding is requested. The spreadsheet must also show both the Federal and the required 25 percent non-Federal match for each year of the proposed project. In accordance with Section 648.63 of the GAANN program regulations, the 25 percent institutional matching requirement may be used to provide additional fellowships, cover tuition and fee expenses not covered by the institutional payment, pay for a fellow's instruction, and supplement the fellow's stipend. Additional points are not awarded to those applicant's that exceed the 25 percent match requirement.

- **The costs of the project are reasonable in relation to the objectives of the project.**

The applicant must demonstrate in the budget section that project costs are reasonable in relation to the desired outcome of the project.

## **10. EVALUATION PLAN (15 POINTS)**

**The Secretary reviews each application to determine the quality of the evaluation plan for the project, including the extent to which the applicant's methods of evaluation:**

- **Relate to the specific goals and measurable objectives of the project.**

The applicant's goals and objectives should be clearly stated and have a direct correlation to the evaluation measures established. Evaluation measures should have the ability to assess whether the applicant is on track towards achieving the goals and objectives outlined in the proposal.

- **Assess the effect of the project on the students receiving fellowships under this program, including the effect on persons of different racial and ethnic backgrounds, genders, and ages, and on persons with disabilities who are served by the project.**

Applicant should establish a series of evaluation measures to determine the effects of the project on the students receiving the GAANN Fellowship. For example, the applicant could measure the effects of the project on students receiving the GAANN fellowship by collecting data on: the academic records of fellows and non-fellows; student and faculty surveys of GAANN Fellows and all graduate students; the performance of all fellows on preliminary examinations; and time-to-degree completion rates for fellows and non-fellows.

- **List both process and product evaluation question for each project activity and outcome, including those of the management plan.**

The following is a sample of process and product evaluation questions designed to assess the success and shortcomings of the GAANN Program:

- (1) Did the GAANN Program result in an increase of the number of students from underrepresented backgrounds?
- (2) Did we effectively advertise our GAANN program so as to convey the prestige and value associated with it?
- (3) Are GAANN Fellows making satisfactory academic progress?
- (4) Is the supervised teaching experience enhancing the GAANN Fellows teaching skills?
- (5) Did the number of Ph.D. graduates who pursued academic careers increase?

- **Describe both the process and product evaluation measures for each project activity and outcome.**

Applicant should establish a series of qualitative and quantitative evaluation measures for each project activity so that they can recommend and implement changes to the program based upon the outcome of the analysis of the data.

- **Describe the data collection procedures, instruments, and schedules for effective data collection.**

Data collection procedures should address what, when, and by whom.

- **Describe how the applicant will analyze and report the data so that it can make adjustments and improvements on a regular basis.**

Data should be analyzed so that successes and shortcomings can be highlighted and adjustments can be made accordingly.

- **Include a time-line chart that relates key evaluation processes and benchmarks to other project component processes and benchmarks.**

Applicants should include a time-line chart that identifies when key evaluation processes and benchmarks will occur throughout the three year period.

The following is a sample of a timeline chart:

## GAANN Timeline Chart 2010-2012

	J	F	M	A	M	J	J	A	S	O	N	J
Assemble GAANN Committee	X											
Committee meetings	X	X	X		X		X		X		X	
Prepare and mail recruiting materials	X					X	X					
Receive applications and set up interviews	X						X	X				
Interview candidates	X								X			
Review candidates and select fellows	X									X	X	
Notify applicants	X										X	
Orientation for fellows		X										
Advising		X		X				X				
Recruitment and organize a mentor pool	X	X										
Develop industry contacts	X	X	X	X	X	X	X	X	X	X	X	X
Prepare evaluation materials				X								
Evaluate program					X						X	
Program adjustments and improvements						X						X
Prepare evaluation report						X						X
Committee meets and plans for next year												X

### 11. ADEQUACY OF RESOURCES (5 POINTS)

**The Secretary reviews each application to determine the adequacy of the resources that the applicant makes available to graduate students receiving fellowships under this program, including facilities, equipment and supplies.**

The applicant should demonstrate a willingness to invest non-federal funds into the program such as providing the adequate facilities, equipment, supplies, support staff, computer facilities, and other resources to carry out the activities of the project.

**NOTE: Section 648.31 – What selection criteria does the Secretary use?**

**The selection criteria at C.F.R. 648.31, consider an applicant’s policies and procedures to ensure enrollment of talented graduate students from traditionally underrepresented backgrounds. Do these criteria require an applicant to give priority to or set aside stipends for students based on race or ethnicity?**

That is not the intent of the selection criteria. Rather, they are intended to direct applicants to engage in outreach and recruitment efforts as a means of fostering the enrollment of eligible students from traditionally underrepresented backgrounds. The GAANN criteria do not independently require or authorize applicants to give priority for or set aside stipends for students based on race or ethnicity. It should be noted, however, that an institution of higher education (IHE) is permitted to take race and ethnicity into consideration in the award of financial aid, provided that the institution complies with the legal principles described in the Department’s policy guidance on race-targeted financial aid, under Title VI of the Civil Rights Act, which was

published in the Federal Register on February 23, 1994 (59 FED.REG8756). In summary, it is permissible for IHE's to consider race and ethnicity in granting financial aid in order to promote diversity of their student body and to remedy the effects of discrimination. As explained in this guidance, use of race or ethnicity as a remedy or to promote diversity must be narrowly tailored to achieve those objectives. IHE's that seek to do this should consult the policy guidance for further clarification on how to ensure that race-targeted financial aid is narrowly tailored to meet the objectives of remedying past discrimination or promoting diversity. IHE's in the Fifth Circuit should note that the legality of discrimination in a public school system as a whole is unclear in light of the Fifth Circuit's decision in Hopwood v. Texas, 78F 3d 932 (5<sup>th</sup> Cir.) cert. denied, Texas v. Hopwood, 115 S. CT. 2581 (1996).

### **APPENDICES:**

Appendices are limited to the following:

1. Curriculum Vitae - no more than two (2) pages per faculty member;
2. Course listing;
3. Letters of support;
4. Bibliography; and
5. One additional optional appendix relevant to the support of the proposal, not to exceed five (5) pages.

### **Formatting Requirements:**

Please see each appendix for any formatting requirements.

### **Note:**

The documents to be included in the appendices must be attached electronically as separate documents. Applicants should save the documents in Microsoft Word as either a .DOC (document), .RTF (rich text), or .PDF (Portable Document) file. Once the documents have been saved, the applicant must attach the documents included in the appendices to the corresponding "Project Narrative – Appendix."

## **INSTRUCTIONS FOR STANDARD AND PROGRAM SPECIFIC FORMS**

### **STANDARD FORMS INSTRUCTIONS:**

- Application for Federal Education assistance (SF 424 Form) Instructions
- Department of Education Supplemental Information for SF 424 Form Instructions
- Disclosure of Lobbying Activities (SF-LLL)
- Survey Instructions on Ensuring Equal Opportunity for Applicants

### **PROGRAM SPECIFIC FORMS INSTRUCTIONS:**

- GAANN Statutory Assurances Form Instructions
- GAANN Budget Spreadsheet(s) Form Instructions

## 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:	Item	Entry:
1.	<p><b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions.</p> <ul style="list-style-type: none"> <li>• Preapplication</li> <li>• Application</li> <li>• 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.</li> </ul>	10.	<p><b>Name Of Federal Agency:</b> (Required) Enter the name of the Federal agency from which assistance is being requested with this application.</p>
2.	<p>Type of Application: (Required) Select one type of application in accordance with agency instructions.</p> <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the Federal Government’s financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.  A. Increase Award      B. Decrease Award  C. Increase Duration      D. Decrease Duration</li> </ul> <p>E. Other (specify)</p>	11.	<p><b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.</p>
		12.	<p><b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.</p>
		13.	<p><b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.</p>
		14.	<p><b>Areas Affected By Project:</b> 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.</p>
3.	<p><b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.</p>	15.	<p><b>Descriptive Title of Applicant’s Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.</p>
4.	<p><b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or applicant’s control number, if applicable.</p>		
5a	<p><b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.</p>	16.	<p><b>Congressional Districts Of:</b> (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 – 2-3 characters District Number, e.g., CA-12 for California 12<sup>th</sup> district, NC-103 for North Carolina’s 103<sup>rd</sup> district.</p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• If nationwide, i.e., all districts within all states are affected, enter US-all.</li> <li>• If the program/project is outside the U.S., enter 00-000.</li> </ul>
5b.	<p><b>Federal Award Identifier:</b> 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.</p>		
6.	<p><b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.</p>		
7.	<p><b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.</p>		
8.	<p><b>Applicant Information:</b> Enter the following in accordance with agency instructions:</p>		

	<p><b>a. Legal Name:</b> (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 <a href="http://Grants.gov">Grants.gov</a> website.</p>	17.	<p><b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.</p>		
	<p><b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.</p>	18.	<p><b>Estimated Funding:</b> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.</p>		
	<p><b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the <a href="http://Grants.gov">Grants.gov</a> website.</p>				
	<p><b>d. Address:</b> Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p>	19.	<p><b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> 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</p>		
	<p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p>	20.	<p><b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>		
	<p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> 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.</p>	21.	<p><b>Authorized Representative:</b> (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.</p> <p>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.)</p>		
9.	<p>Type of Applicant: (Required)</p> <p>Select up to three applicant type(s) in accordance with agency instructions.</p>				
	<table border="0"> <tr> <td data-bbox="142 1056 505 1602"> <p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p> </td> <td data-bbox="505 1056 857 1602"> <p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p> </td> </tr> </table>	<p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p>		
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# Instructions for Department of Education Supplemental Information for SF 424

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

# Instructions for Completion of SF-LLL: Disclosure of Lobbying Activities

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

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 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.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

## **Instructions for Survey on Ensuring Equal Opportunity**

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

1. Self-explanatory.
2. Self-identify.
3. Self-identify.
4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
5. Self-explanatory.
6. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
7. Annual budget means the amount of money your organization spends each year on all of its activities.

## **PROGRAM SPECIFIC FORM INSTRUCTIONS**

### **GAANN STATUTORY ASSURANCES FORM INSTRUCTIONS**

**This document is available under the “Documents and Instructions” section.**

1. The GAANN Statutory Assurances Form must be **signed and dated by the Authorized (Certifying) Official.**

#### **ATTENTION:**

#### **\*\*Special Instructions for attaching the Statutory Assurances\*\***

2. Applicants should copy and paste the form in Microsoft Word and save the document as either a .DOC (document), .RTF (rich text), or .PDF (Portable Document) file. **DO NOT MODIFY OR CHANGE THE CONTENTS IN ANY WAY.**
3. The applicant must attach the signed document to the “Project Narrative – Program Specific Forms - Statutory Assurances.”

GAANN BUDGET SPREADSHEET(S) FORM INSTRUCTIONS

This document is available under the “Documents & Instructions” section.

Attention:

\*\*Special Instructions for attaching GAANN Budget Spreadsheet(s) Form\*\*

**Formatting Requirements**

Applicants should copy and paste the spreadsheet in Microsoft Word and save the document as either a .DOC (document), .RTF (rich text), or .PDF (Portable Document) file in landscape format. **DO NOT MODIFY OR CHANGE THE CONTENTS IN ANY WAY.** Once the spreadsheet(s) has been completed, the applicant must attach the document to the “Project Narrative – Program Specific Forms – Budget Spreadsheet(s) Form.”

**Note:** The Budget Spreadsheet(s) Form is attached SEPARATELY from the budget narrative, which is attached as part of the project narrative.

**General Instructions**

Prepare Budget Information forms for *all years* of your proposed project.

- Single discipline or Inter-disciplinary applicants need *only* complete Sections A and B.
- Inter-disciplinary applicants must fill in Box 1 of Section A with the Classification of Instructional Programs code for each academic field of study within that Inter-disciplinary program.
- Multi-disciplinary applicants are those requesting funding for two or more academic department in the areas of national need designated as priorities by the Secretary must complete Sections A and B for *each* discipline for which support is requested. Multi-disciplinary applicants must also provide summary data in Sections C and D.

**Note:** The program regulations, Sec. 648.5(b), state that in any fiscal year, no academic department may receive more than \$750,000 as an aggregate total of new and continuing grants.

**Section A: Fellowship Data for Each Discipline**

Complete this section for each discipline or area proposed for your fellowship project.

1. Discipline and CIP code. Enter the national need priority area or discipline and the Classification of Instructional Programs (CIP) code listed in the program regulations. List only one discipline or area and one CIP code.

## PROGRAM SPECIFIC FORM INSTRUCTIONS

**Note:** If an applicant is requesting support for an **inter-disciplinary** program, the applicant must list the CIP code for each academic field of study within that inter-disciplinary program under Box 1 of Section A.

If an applicant is requesting support for **multi-disciplinary** programs (two or more academic departments in areas of national need designated as priorities by the Secretary) a separate form (Section A and B) must be completed for each discipline or area.

2. Number of fellowships from Federal funds. Enter the number of fellowships to be supported from Federal funds.

3. Additional fellowships from institutional matching contributions. Enter the number of additional fellowships that will be supported from institutional matching contributions.

### **Section B: Federal Funds Requested and Required Institutional Matching Contribution**

**Note:** **Institutional matching contributions must be an amount equal to at least 25 percent of the Federal funds requested each budget period.**

3. Stipends. Enter the dollar amounts of requested Federal funds and non-Federal contributions (institutional matching) for each year of the proposed project. Sum the totals for all the years of the proposed project. Estimate a stipend of \$30,000 per GAANN fellow for each academic year.

5. Institutional payment. Enter the Federal funds for the institutional payment for each year of the proposed project. Sum the total for all the years of the proposed project. Estimate an institutional payment of \$13,755 per GAANN fellow for each academic year.

6 - 8. Tuition, fees, and other educational costs. Enter the amounts of tuition, fees, and other educational costs to be contributed from institutional matching (non-Federal) funds for each year of the proposed project. Sum the totals for all the years of the proposed project.

9. Total. Sum the Federal funds requested and the institutional matching funds to be contributed for each year of the proposed project. Sum the totals for all the years of the proposed project. Total Federal funds requested must not be less than \$100,000 nor greater than \$750,000 in any fiscal year, see Program Regulation Sec. 648.5(a) and (b). **Institutional matching contributions must be an amount equal to at least 25 percent of the Federal funds requested each budget period.**

10. Total program funds. Enter the total of Federal and institutional (non-Federal) matching funds for each year of the proposed project. Sum the totals for all the years of the proposed project.

### *Section C: Fellowship Data Summary for Two or More Disciplines*

**Note:** **This section applies only to Multi-disciplinary applicants**

1. Disciplines and CIP codes. Enter the Classification of Instructional Programs (CIP) codes for each academic department included in the application. The data entered must be consistent with entries in all the Section A and B forms completed for each single discipline.

**PROGRAM SPECIFIC FORM INSTRUCTIONS**

2. Total number of fellowships from Federal funds. Enter the total number of fellowships for each academic department to be supported from Federal funds.

3. Total additional fellowships from institutional matching contributions. Enter the total number of additional fellowships that will be supported by institutional matching contributions.

**Section D: Summary of Federal Funds Requested and Required Institutional Matching Contributions**

**Note: This section applies only to Multi-disciplinary applicants**

Use this section to summarize all requested allowable costs for all disciplines for all the years of the proposed project. Sum all totals. See the instructions for Section C.

## APPLICATION CHECKLIST

Before you submit the application package, please review the following list to ensure that you have attached all required materials/files in the prescribed format.

**Part I:**       **Application for Federal Assistance (SF 424)**

**Department of Education Supplemental Information for SF 424**

**Note:** Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although this form accepts attachments, the Department of Education will only review materials/files attached to the attachment forms listed below.

**Part II:**       **Abstract**

Attach Abstract to the “Project Narrative - Abstract”

**Project Narrative** - includes the narrative sections addressing the program selection criteria that will be used to evaluate applications submitted for this competition.

Attach Table of Contents (optional), and responses to each of the selection criteria.

**Project Narrative - Appendices**

1. Project Narrative – Appendix 1 - Curriculum Vitae (CV) - no more than two (2) pages per faculty member (All CV’s must be attached together in one document);
2. Project Narrative – Appendix 2 - Course listing;
3. Project Narrative – Appendix 3 - Letters of support;
4. Project Narrative – Appendix 4 - Bibliography; and
5. Project Narrative – Appendix 5 - One additional optional appendix relevant to the support of the proposal, not to exceed five (5) pages.

**Project Narrative – Program Specific Forms**

1. Project Narrative – **Program Specific Forms - Statutory Assurances**
  - This document is available under the “Documents & Instructions” section.
  - Copy, save and complete this form;
  - Upload the completed form under “Project Narrative – Program Specific Forms – Statutory Assurances.”
2. Project Narrative – **Program Specific Forms - Budget Spreadsheet(s) Form**
  - This document is available under the “Documents & Instructions” section.
  - Copy, save and complete this form;
  - Upload the completed form under “Project Narrative – Program Specific Forms – Budget Spreadsheet(s) Form”.

**Note:** Attachments must be submitted in one of the following file types: .DOC, .RTF, or .PDF format

**Part III:**       **Departmental Assurances and Certifications**

All “Assurances, Certifications, and Survey Forms” must be completed and can be found on the e-Grants e-Application page.

- ED GEPA 427 Form

- Certification Regarding Lobbying
- Assurances for Non-Construction Programs (SF 424B)
- Disclosure of Lobbying Activities (SF-LLL)
- Survey on Ensuring Equal Opportunity of Applicants

## **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1840-0604. The time required to complete this information collection is estimated to average 41.33 hours per response, including the time to review instructions, search existing data resources, gather needed data, 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 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: The Graduate Assistance in Areas of National Need Fellowship Program, U.S. Department of Education, 1990 K Street, N.W., 6<sup>th</sup> floor, Washington, DC 20202-8524.

**Application for Federal Assistance SF-424**

Version 02

\*1. Type of Submission:

- Preapplication
- Application
- Changed/Corrected Application

\*2. Type of Application

- New
- Continuation
- Revision

\* If Revision, select appropriate letter(s)

\*Other (Specify) \_\_\_\_\_

3. Date Received:

4. Applicant Identifier:

5a. Federal Entity Identifier:

\*5b. Federal Award Identifier:

**State Use Only:**

6. Date Received by State:

7. State Application Identifier:

**8. APPLICANT INFORMATION:**

\*a. Legal Name:

\*b. Employer/Taxpayer Identification Number (EIN/TIN):

\*c. Organizational DUNS:

**d. Address:**

- \*Street 1: \_\_\_\_\_
- Street 2: \_\_\_\_\_
- \*City: \_\_\_\_\_
- County: \_\_\_\_\_
- \*State: \_\_\_\_\_
- Province: \_\_\_\_\_
- \*Country: \_\_\_\_\_
- \*Zip / Postal Code: \_\_\_\_\_

**e. Organizational Unit:**

Department Name:

Division Name:

**f. Name and contact information of person to be contacted on matters involving this application:**

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

Title:

Organizational Affiliation:

\*Telephone Number:

Fax Number:

\*Email:

OMB Number: 4040-0004

Expiration Date: 01/31/2009

**Application for Federal Assistance SF-424**

Version 02

**\*9. Type of Applicant 1: Select Applicant Type:**

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\*Other (Specify)

**\*10 Name of Federal Agency:**

**11. Catalog of Federal Domestic Assistance Number:**

\_\_\_\_\_

CFDA Title:

\_\_\_\_\_

**\*12 Funding Opportunity Number:**

\_\_\_\_\_

\*Title:

\_\_\_\_\_

**13. Competition Identification Number:**

\_\_\_\_\_

Title:

\_\_\_\_\_

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

**\*15. Descriptive Title of Applicant's Project:**

MB Number: 4040-0004

Expiration Date: 01/31/2009

**Application for Federal Assistance SF-424**

Version 02

**16. Congressional Districts Of:** \*a. Applicant:

\*b. Program/Project:

**17. Proposed Project:** \*a. Start Date:

\*b. End Date:

**18. Estimated Funding (\$):**

\*a. Federal

\_\_\_\_\_

*b. Applicant	_____
*c. State	_____
*d. Local	_____
*e. Other	_____
*f. Program Income	_____
*g. TOTAL	_____

**\*19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

a. This application was made available to the State under the Executive Order 12372 Process for review on \_\_\_\_\_

b. Program is subject to E.O. 12372 but has not been selected by the State for review.

c. Program is not covered by E. O. 12372

**\*20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**  Yes  No

21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U. S. Code, Title 218, Section 1001)

\*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions

**Authorized Representative:**

Prefix: \_\_\_\_\_ \*First Name: \_\_\_\_\_

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

\*Last Name: \_\_\_\_\_

Suffix: \_\_\_\_\_

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

*Telephone Number: _____	Fax Number: _____
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\* Email: \_\_\_\_\_

*Signature of Authorized Representative: _____	*Date Signed: _____
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**\*Applicant Federal Debt Delinquency Explanation**

The following should contain an explanation if the Applicant organization is delinquent of any Federal Debt.

**SUPPLEMENTAL INFORMATION  
REQUIRED FOR  
DEPARTMENT OF EDUCATION**

**1. Project Director:**

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

Address:

\* Street1:   
Street2:   
\* City:   
County:   
\* State                     \* Zip Code:                     \* Country:   
\* Phone Number (give area code)                    Fax Number (give area code)  
                   

E-mail Address:

**2. Applicant Experience:**

Novice Applicant     Yes                     No                     Not applicable to this program

**3. Human Subjects Research:**

Are any research activities involving human subjects planned at any time during the proposed project period?

Yes     No

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

Yes    Provide Exemption(s) #:   
 No    Provide Assurance #, if available:

Please attach an explanation Narrative:

OMB Control

## Assurances – Non-Construction Programs

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

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

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

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

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management

Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

- 12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
- 13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §469a-1 et seq.).
- 14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

- 15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
- 16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.
- 17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, §Audits of States, Local Governments, and Non-Profit Organizations. §
- 18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program

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

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

# Certification Regarding Lobbying

Certification for Contracts, Grants, Loans and Cooperative Agreements.

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

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

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

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

Statement for Loan Guarantees and Loan Insurance.

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

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

Applicant’s Organization	
Printed Name of Authorized Representative	Printed Title of Authorized Representative
Signature	Date

ED 80-0013

## Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure)

<p>Type of Federal Action:  <input type="checkbox"/> a. contract  <input type="checkbox"/> b. grant  <input type="checkbox"/> c. cooperative agreement  <input type="checkbox"/> d. loan  <input type="checkbox"/> e. loan guarantee  <input type="checkbox"/> f. loan insurance</p>	<p>Status of Federal Action:  <input type="checkbox"/> a. bid/offer/application  <input type="checkbox"/> b. initial award  <input type="checkbox"/> c. post-award</p>	<p>Report Type:  <input type="checkbox"/> a. initial filing  <input type="checkbox"/> b. material change</p> <p>For material change only:  Year _____ quarter _____  Date of last report _____</p>
<p>Name and Address of Reporting Entity:  <input type="checkbox"/> Prime    <input type="checkbox"/> Subawardee  Tier _____, if Known:</p> <p style="text-align: center;">Congressional District, if known:</p>	<p>If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</p> <p style="text-align: center;">Congressional District, if known:</p>	
<p>Federal Department/Agency:</p>	<p>7. Federal Program Name/Description:</p> <p>CFDA Number, if applicable: _____</p>	
<p>Federal Action Number, if known:</p>	<p>9. Award Amount, if known:</p> <p>\$ _____</p>	
<p>10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI):</p>	<p>b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):</p>	
<p>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>	<p>Signature: _____</p> <p>Print Name: _____</p> <p>Title: _____</p> <p>Telephone No.: _____ Date: _____</p>	
<p><b>Federal Use Only</b></p>	<p><b>Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)</b></p>	

# SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

OMB No. 1890-0014 Exp. 02/28/09

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

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

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

**Applicant's (Organization) Name:** \_\_\_\_\_

**Applicant's DUNS Number:** \_\_\_\_\_

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

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

Yes       No

2. Is the applicant a faith-based organization?

Yes       No

3. Is the applicant a secular organization?

Yes       No

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

Yes       No

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

Yes       No

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

3 or Fewer       15-50

4-5       51-100

6-14       over 100

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

Less Than \$150,000

\$150,000 - \$299,999

\$300,000 - \$499,999

\$500,000 - \$999,999

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

\$5,000,000 or more

**GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED PROGRAM**

**STATUTORY ASSURANCES**

**NOTE: DO NOT MODIFY OR AMEND THIS PAGE. COPY, SAVE AND ATTACH TO THE “Project Narrative – Program Specific Forms - Statutory Assurances.”**

This form must be signed by the official who has authority to commit the organization to accept Federal funds and submitted with the application.

1. From the funds received under this program, the applicant will make commitments to graduate students at any point of their graduate study to provide stipends for the length of time necessary for the student to complete the course of graduate study, but in no case longer than five years. No such commitments will be made to students under this program unless the applicant has determined that adequate funds are available to fulfill the commitment from either funds received or anticipated under this program, or from institutional funds. In the event that funds made available to the academic department under the program are insufficient to provide the assistance due a student under the commitment entered into between the academic department and the student, the academic department will endeavor, from any funds available to it, to fulfill the commitment to the student.
2. For a fellowship initially awarded for the academic year 1998-99, or any succeeding academic year, the applicant will ensure that a stipend paid a fellow will be at a level of support equal to that provided by the National Science Foundation graduate fellowships, as of February 1, 2010, except that such amounts shall be adjusted as necessary so as not to exceed the fellow's demonstrated level of financial need.
3. The applicant will ensure that no student shall receive an award except during periods in which such student is maintaining satisfactory progress in, and devoting essentially full time to, study or research in the field in which such fellowship was awarded, or if the student is engaging in gainful employment other than part-time employment involved in teaching, research, or similar activities determined by the institution to be in support of the student's progress toward a degree.
4. The applicant will ensure that it will provide, from other non-Federal funds, for the purposes of the fellowship program under this part an amount equal to at least 25 percent of the amount of the grant received under this part.
5. The applicant will ensure that Federal funds or institutional matching contribution made available under this part for any fiscal year will be used to supplement and, to the extent practical, increase the funds that would otherwise be made available for the purpose of this part and in no case to supplant those funds.
6. The applicant will ensure that the academic department will provide at least one year of supervised training in instruction in accordance with §648.61 of the program regulations.

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**Signature of Authorized Certifying Official**

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**Date**



**GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED (GAANN) FELLOWSHIP PROGRAM  
 PART II.- BUDGET INFORMATION**

**SECTION A: FELLOWSHIP DATA FOR EACH SINGLE DISCIPLINE**

1. Discipline: CIP Code:	2. Number of fellowships from Federal funds	3. Additional fellowships from institutional matching contributions
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**SECTION B: FEDERAL FUNDS REQUESTED AND REQUIRED INSTITUTIONAL MATCHING CONTRIBUTIONS**

Allowable Cost Categories	1st Year		2nd Year		3rd Year		Total	
	Federal	Non-Federal	Federal	Non-Federal	Federal	Non-Federal	Federal	Non-Federal
4. Stipends	\$	\$	\$	\$	\$	\$	\$	\$
5. Institutional Payment	\$		\$		\$		\$	
6. Tuition		\$		\$		\$		\$
7. Fees		\$		\$		\$		\$
8. Other Educational Costs		\$		\$		\$		\$
9. Total	\$	\$	\$	\$	\$	\$	\$	\$
10. Total Program Funds (Federal + Non-Federal)	\$		\$		\$		\$	

Note: Please refer to 34 CFR Part 648 Subpart F--What are the Administrative Responsibilities of the Institution for budget information.  
 (Federal funds remaining at the end of the current budget period will be carried over into the next budget period. The total amount of the next budget period may be reduced by the amount carried over).

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**GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED (GAANN) FELLOWSHIP PROGRAM  
 FELLOWSHIP DATA SUMMARY FOR TWO OR MORE DISCIPLINES**

**SECTION C: FELLOWSHIP DATA FOR ONE OR MORE DISCIPLINES**

1. Disciplines: CIP Codes:	2. Total number of fellowships from Federal funds	3. Total additional fellowships from institutional matching contributions
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**SECTION D: SUMMARY OF FEDERAL FUNDS REQUESTED AND REQUIRED INSTITUTIONAL MATCHING CONTRIBUTIONS**

Allowable Cost Categories	1st Year		2nd Year		3rd Year		Total	
	Federal	Non-Federal	Federal	Non-Federal	Federal	Non-Federal	Federal	Non-Federal
4. Stipends	\$	\$	\$	\$	\$	\$	\$	\$
5. Institutional Payment	\$		\$		\$		\$	
6. Tuition		\$		\$		\$		\$
7. Fees		\$		\$		\$		\$
8. Other Educational Costs		\$		\$		\$		\$
9. Total	\$	\$	\$	\$	\$	\$	\$	\$
10. Total Program Funds (Federal + Non-Federal)	\$		\$		\$		\$	

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