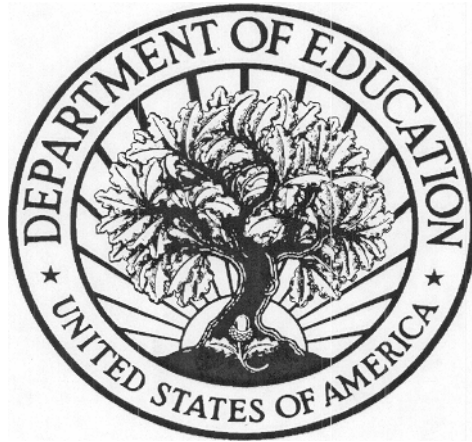


Archived Information

U.S. DEPARTMENT OF EDUCATION

TEACHER AND STUDENT DEVELOPMENT PROGRAMS SERVICE

WASHINGTON, D.C. 20006-8521



FY 2007

APPLICATION FOR NEW GRANTS

**GRADUATE ASSISTANCE IN AREAS OF
NATIONAL NEED (GAANN) PROGRAM**

CFDA NO. 84.200

DATED MATERIAL - OPEN IMMEDIATELY

CLOSING DATE: NOVEMBER 20, 2006

OMB NO. 1840-0604

EXPIRES 05/31/2007

TABLE OF CONTENTS

| | Page |
|---|------|
| Dear Applicant Letter | 4 |
| Competition Highlights | 6 |
| Grants.gov Submission Procedures and Tips for Applicants | 9 |
| Application Transmittal Instructions | 12 |
| Federal Register Notice Inviting Applications for New Awards for Fiscal Year (FY) 2007 | 15 |
| GAANN Authorizing Legislation | 35 |
| GAANN Code of Federal Regulations | 41 |
| Intergovernmental Review State Single Point of Contact | 53 |
| General Education Provisions Act (GEPA) Section 427 | 57 |
| Government Performance and Results Act (GPRA) | 58 |
| INSTRUCTIONS | |
| Instructions for Completing the Application Package | 59 |
| INSTRUCTIONS FOR FORMS | |
| PART I: | |
| Instructions for the SF-424 Form..... | 63 |
| Instructions for Department of Education Supplemental Information for SF 424 Form..... | 65 |
| Definitions for Department of Education Supplemental Information for SF 424 Form..... | 66 |
| PART II: | |
| GAANN Budget Spreadsheet(s) Form Instructions | 69 |
| GAANN Statutory Assurances Form Instructions..... | 71 |
| Instructions for General Educations Provisions Act (GEPA) Section 427..... | 72 |
| Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities | 73 |
| INSTRUCTIONS FOR APPLICATION NARRATIVE | |
| | 75 |

PART III:

Instructions for Application Narrative76

FORMS79

GAANN Budget Spreadsheet(s) Form80

GAANN Statutory Assurances Form.....82

APPLICATION CHECKLIST83

Paperwork Burden Statement84

September 11, 2006

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.

This letter highlights a few items in the fiscal year (FY) 2007 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 Website 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 2007 competition, there is an absolute priority and Invitational 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 2007: biology, chemistry, computer and information sciences, engineering, mathematics, nursing, and physics. Within the Invitational Priority, the Secretary is strongly encouraging Engineering programs that are consistent with the President's Advanced Energy Initiative.

A department or program of an institution of higher education may also submit a multidisciplinary or interdisciplinary project application in two or more of the designated academic areas of need listed below. **A *multi-disciplinary application* must request funding for two or more proposed programs of study that are independent and unrelated to one another. An *interdisciplinary application* must request funding for a single proposed program of study that involves academic fields in two or more disciplines.**

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 2007 grant competition under the GAANN Program be submitted electronically using Grants.gov. We urge you to acquaint yourself with the requirements of Grants.gov as soon as possible. A thorough discussion of Grants.gov is included in the application package. Grants.gov is accessible through its portal page at:

<http://www.grants.gov>

For further information regarding the program, please contact Mr. Gary Thomas via e-mail at ope_gaann_program@ed.gov.

The Notice Inviting Application for New Awards published in the Federal Register is the official document describing the requirements for applying for a GAANN grant program 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/
Susan E. Beaudoin
Acting Deputy Assistant Secretary
Higher Education Programs

Competition Highlights

1. We are implementing a change in the electronic submission process. **GAANN applications submitted for FY 2007 competition must be submitted electronically using Grants.gov.** You are urged to acquaint yourself with the requirements of Grants.gov early as the registration procedures may require 5 or more days to complete. A more thorough discussion is included later in this application package. Grants.gov is accessible through its portal page at:

<http://www.grants.gov>

2. It is important to know that the Grants.gov site works differently than the Department's e-Application system used in past competitions.

Grants.gov does not allow applicants to "un-submit" applications. Therefore, if you discover that changes or additions are needed once your application has been accepted and validated by the Department, you must "re-submit" the application. You should know that if the Department receives duplicate applications, we will accept and process the application with the latest "date/time received" validation.

3. Each application must include a one-page abstract containing the following information:

- The name of your institution and the type of application your institution is submitting (i.e. single discipline, interdisciplinary, or multidisciplinary);
- A short summary covering the designated area(s) of national need and the anticipated number of GAANN fellows to be involved; and
- Information provided in the GAANN one-page abstract must be double-spaced and attached into the "ED Abstract Form" in the Grants.gov system. Further instructions are provided in the "INSTRUCTIONS FOR APPLICATION NARRATIVE" section of the application package.

4. An Absolute Priority is included for this FY 2007 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 2007 designated areas of national need under the GAANN program are as follows:

- Biology
- Chemistry
- Computer and Information Sciences
- Engineering
- Mathematics
- Nursing
- Physics

NOTE: Geological Sciences is no longer designated as an area of national need. Applicants that submit an application outside of the designated areas of national need will be deemed ineligible.

5. The GAANN program has introduced the following invitational priority for FY 2007:

Engineering programs that promote the development of alternative energy sources to reduce America's dependency on foreign oil. This invitational priority is consistent with the President's Advanced Energy Initiative. **However in accordance with 34 CFR 75.105(c)(1), we do not give an application that meets this invitational priority a competitive or absolute preference over other applications.**

6. The following documents are specific to the GAANN Program and should be reviewed carefully to ensure that these documents are attached into the Grants.gov system correctly:

Information about the 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 "INSTRUCTIONS FOR FORMS" section of the application package. Your Budget Narrative should be included in the "Project Narrative Attachment Form" located in Part III; and

- **Information about the 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 "INSTRUCTIONS FOR FORMS" section on the application.

7. Applicants must double space the application project narrative and use not less than a 12-point font. 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.
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 2007 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. Applicants are required to adhere to the page limit in the Application Narrative portion of the application. The "Notice inviting applications" for new awards for FY 2007, published in the Federal Register, contains specific information governing page limits for each grant type and formatting instructions. The page limits for the FY 2007 GAANN competition are as follows:
 - Single Discipline – 40 pages
 - Interdisciplinary – 60 pages
 - Multi-Disciplinary – 40 pages per academic discipline included in the proposal
10. Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to log on to Grants.gov to attach and

submit the application. (This is different from e-Application, where you are working online and saving data to the Department's database.) You must provide a DUNS number that was used when your organization registered with the Central Contractor Registry (CCR).

11. Please go to <http://www.grants.gov/ForApplicants> for help with Grants.gov and click on the links in the lower right corner of the screen under Applicant Tips and Tools. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application Tips found on the Grants.gov homepage <http://www.grants.gov>. Also, refer to the procedures and tips for applicants found on page nine of the application package.

IMPORTANT – PLEASE READ FIRST

U.S. Department of Education *Grants.gov Submission Procedures and Tips for Applicants*

Please note that the Grants.gov site works differently than the U.S. Department of Education's (Department) e-Application system. To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department.

- 1) **REGISTER EARLY** – Grants.gov registration is a one-time process that may take five or more days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Get Started steps are complete. For detailed information on the Get Started Steps, please go to: <http://www.grants.gov/GetStarted>.
- 2) **SUBMIT EARLY** – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30 p.m. on the deadline date.

Note: To submit successfully, you must provide the DUNS number on your application that was used when your organization registered with the CCR (Central Contractor Registry).

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov and the Department receive your Grants.gov submission in a timely manner and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Check Application Status link. For a successful submission, the date/time received should be earlier than 4:30 p.m. on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

If the date/time received is later than 4:30 p.m. Washington, D.C. time, on the closing date, your application is late. If your application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: <http://www.grants.gov/assets/ApplicationErrorTips.doc>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received in a timely manner and validated successfully.

Submission Problems – What should you do?

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or use the customer support available on the Web site: <http://www.grants.gov/CustomerSupport>.

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 p.m., unless you follow the procedures in the *Federal Register* notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the *Federal Register* notice for detailed instructions.)

Helpful Hints When Working with Grants.gov

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to log on to Grants.gov to upload and submit the application. (This is different from e-Application, where you are working online and saving data to the Department's database.) **You must provide on your application the DUNS number that was used when your organization registered with the CCR.**

Please go to <http://www.grants.gov/ForApplicants> for help with Grants.gov and click on the links in the lower right corner of the screen under Applicant Tips and Tools. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application Tips found on the Grants.gov homepage <http://www.grants.gov>.

Dial-Up Internet Connections

When using a dial up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial up connection.

If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following the instructions in the *Federal Register* notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date. (See the *Federal Register* notice for detailed instructions.)

MAC Users

If you do not have a Windows operating System, you will need to use a Windows Emulation program to submit an application using Grants.gov. For additional information, review the [PureEdge Support for Macintosh](http://www.grants.gov/GrantsGov_UST_Grantee/!SSL!/WebHelp/MacSupportforPureEdge.pdf) white paper published by Pure Edge: http://www.grants.gov/GrantsGov_UST_Grantee/!SSL!/WebHelp/MacSupportforPureEdge.pdf, and/or contact Grants.gov Customer Support (<http://www.grants.gov/CustomerSupport>) for more information.

If you do not have a Windows emulation program and electronic submission is required, please follow instructions in the *Federal Register* notice to obtain an exception to the

electronic submission requirement no later than two weeks before the application deadline date. (See the *Federal Register* notice for detailed instructions.)

Application Transmittal Instructions

ATTENTION ELECTRONIC APPLICANTS: Please note that you must follow the Application Procedures as described in the Federal Register notice announcing the grant competition.

This program requires the electronic submission of applications; specific requirements and waiver instructions can be found in the Federal Register notice.

According to the instructions found in the Federal Register notice, those requesting and qualifying for an exception to the electronic submission requirement may submit an application via mail, commercial carrier or by hand delivery.

If you want to apply for a grant and be considered for funding, you must meet the following deadline requirements:

Applications Submitted Electronically

You must submit your grant application through the Internet using the software provided on the Grants.gov Web site (<http://www.grants.gov>) by 4:30 p.m. (Washington, D.C. time) on or before the application deadline date.

If you submit your application through the Internet via the Grants.gov Web site, you will receive an automatic acknowledgment when we receive your application.

For more information on using Grants.gov, please refer to the “Notice Inviting Applications” that was published in the Federal Register, or visit <http://www.grants.gov>.

Applications Delivered by Mail

You must mail the original and two copies of your application on or before the application deadline date to:

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

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

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 U. S. Secretary of Education

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

1. A private metered postmark, or
2. A mail receipt that is not dated by the U.S. Postal Services

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

Special Note: Due to potential disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; U. S. Postal Service Express Mail; or a courier service) to transmit your application for this competition to the Department. If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Delivered by Mail,” then follow the instructions for “Applications Delivered by Hand.”

Applications Delivered by Commercial Carrier:

If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Sent by Mail,” then follow the instructions under the appropriate delivery method.

You must mail the original and two copies of your application on or before the application deadline date to:

**U.S. Department of Education
Application Control Center – Stop 4260
Attention: (CDFA Number - 84.200A)
7100 Old Landover Road
Landover, MD 20785-1506**

Applications Delivered by Hand

You or your courier must hand deliver the original and two copies of the application by 4:30 p.m. (Washington, D.C. time) on or before the deadline date to the following address:

**U.S. Department of Education
Application Control Center
Attention: (CFDA Number - 84.200A)
550 12th Street, SW
Potomac Center Plaza – Room 7067
Washington, D.C. 20202 - 4260**

Application Control Center Hours of Operation

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, D.C. time), except Saturdays, Sundays and Federal holidays.

Grant Application Receipt from the Application Control Center

If you send your application by mail or if you or your courier delivers it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgment to you.

If you do not receive the notification of application receipt within 15 days from the mailing of the application, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

Late Applications

If your application is late, we will notify you that we will not consider the application.

4000-01-U

DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

Graduate Assistance in Areas of National Need

Notice inviting applications for new awards for fiscal year (FY)
2007.

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

Dates:

Applications Available: September 11, 2006.

Deadline for Transmittal of Applications: November 20, 2006.

Deadline for Intergovernmental Review: January 19, 2007.

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

Estimated Available Funds: The Administration has requested
\$9,725,000 for new awards under this program for FY 2007. 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: \$126,672 - \$750,000.

Estimated Average Size of Awards: \$216,111.

Estimated Number of Awards: 45.

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

Project Period: Up to 36 months.

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 courses of study.

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 2007, 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; General Chemistry; Computer and Information Sciences; General Engineering; General Mathematics; Nursing; and Physics.

Within this absolute priority the Secretary is particularly interested in applications that address the following invitational priority:

Invitational Priority: Under 34 CFR 75.105(c)(1) we do not give an application that meets this invitational priority a competitive or absolute preference over other applications.

This priority is:

Engineering programs that promote the development of alternative energy sources to reduce America's dependency on foreign oil. This invitational priority is consistent with the President's Advanced Energy Initiative.

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 \$9,725,000 for new awards under this program for FY 2007. 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: \$126,672 - \$750,000.

Estimated Average Size of Awards: \$216,111.

Estimated Number of Awards: 45.

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 Graduate Assistance in Areas of National Need for the academic year 2007-2008 based on the level of support provided by the graduate fellowships of the National Science Foundation as of February 1, 2007. 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 2007-2008 by adjusting the previous academic year institutional payment, which is \$12,224 per fellow, by the U.S. Department of Labor's Consumer Price Index for the 2006 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: This program involves matching (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. Fax: (202) 502-7859.

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

Individuals with disabilities may obtain a copy of the application package in an alternative 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 Limits: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit Part III as follows:

- An application in a single discipline must be limited to the equivalent of no more than 40 pages.
- An interdisciplinary application must be limited to the equivalent of no more than 60 pages. An interdisciplinary 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 discipline

included in the proposal. A multi-disciplinary application must request funding for two or more proposed programs of study 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 not less than a 12-point font. 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. Applications submitted in any other font (including Times Roman and 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 cover sheet; Part II, the Budget section; the Assurances and Certifications; the one page abstract; or the appendices. However you must include all of the application narrative in Part III.

We will reject your application if-

- You apply these standards and exceed the page limit;

or

- You apply other standards and exceed the equivalent of the page limit.

3. Submission Dates and Times:

Applications Available: September 11, 2006.

Deadline for Transmittal of Applications: November 20, 2006.

Applications for grants under this program must be submitted electronically using the Grants.gov Apply site (Grants.gov). For information (including dates and times) about how to submit your application electronically or 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 in this notice.

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

Deadline for Intergovernmental Review: January 19, 2007.

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 Competition—CFDA Number 84.200A must be submitted electronically using the Grants.gov Apply site at: <http://www.grants.gov>. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

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.

You may access the electronic grant application for the Graduate Assistance in Areas of National Need Program at: <http://www.grants.gov>. You must search for the downloadable application package for this program by the CFDA number. Do not include the CFDA number's alpha suffix in your search.

Please note the following:

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are time and date stamped. Your application must be fully uploaded and submitted, and must be date/time stamped by the Grants.gov system no later than 4:30 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not consider your application if it is date/time stamped by the Grants.gov system later than 4:30 p.m., Washington, DC time, on the application deadline date. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date/time stamped by the Grants.gov system after 4:30 p.m., Washington, DC time, on the application deadline date.
- The amount of time it can take to upload an application will vary depending on a variety of factors including the size

of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.

- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this competition to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov at <http://e-Grants.ed.gov/help/GrantsgovSubmissionProcedures.pdf>.

- To submit your application via Grants.gov, you must complete all of the steps in the Grants.gov registration process (see http://www.grants.gov/applicants/get_registered.jsp). These steps include: (1) registering your organization, (2) registering yourself as an Authorized Organization Representative (AOR), and (3) getting authorized as an AOR by your organization. Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see <http://www.grants.gov/section910/Grants.govRegistrationBrochure.pdf>). You also must provide on your application the same D-U-N-S Number used with this registration. Please note that the registration process may take five or more business days to complete, and you must have completed all registration

steps to allow you to successfully submit an application via Grants.gov.

- 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 typically included on the following forms: Application for Federal Education Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. Please note that two of these forms--the SF 424 and the Department of Education Supplemental Information for SF 424--have replaced the ED 424 (Application for Federal Education Assistance). 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 above 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.

- After you electronically submit your application, you will receive an automatic acknowledgment from Grants.gov that

contains a Grants.gov tracking number. The Department will retrieve your application from Grants.gov and send you a second confirmation by e-mail that will include a PR/Award number (an ED-specified identifying number unique to your application).

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

Application Deadline Date Extension in Case of Technical Issues

with the Grants.gov System: If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically, or by hand delivery. You also may mail your application by following the mailing instructions as described elsewhere in this notice. If you submit an application after 4:30 p.m., Washington, DC time, on the deadline date, please contact the person listed elsewhere in this notice under For Further Information Contact, and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number (if available). We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your application by 4:30 p.m., Washington, DC time, on the application deadline date. The Department will contact you

after a determination is made on whether your application will be accepted.

Note: Extensions referred to in this section apply only to the unavailability of or technical problems with the Grants.gov system. We will not grant you an extension if you failed to fully register to submit your application to Grants.gov before the deadline date and time or if the technical problem you experienced is unrelated to the Grants.gov system.

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 the Grants.gov system because--

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to the Grants.gov system; 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 prevent 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 20006-8521. 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 applicable following address:

By mail through the U.S. Postal Service:

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

or

By mail through a commercial carrier:

U.S. Department of Education
Application Control Center - Stop 4260
Attention: (CFDA Number: 84.200A)
7100 Old Landover Road
Landover, MD 20785-1506

Regardless of which address you use, 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, or
- (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, or
- (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 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 4 of the Application for Federal Education Assistance (SF 424) the CFDA number – and suffix letter, if any – of the competition under which you are submitting your application.

(2) The Application Control Center will mail a grant application receipt acknowledgment to you. If you do not receive the grant application receipt acknowledgment 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 also notify you informally.

If your application is not evaluated or not selected for funding, we 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 specified by the Secretary in 34 CFR 75.118 and in 34 CFR 648.66.

4. Performance Measures: Under the Government Performance and Results Act (GPRA), three measures have been developed for

evaluating the overall effectiveness of the Graduate Assistance in Areas of National Need program: 1) The percentage of fellows in the Graduate Assistance in Areas of National Need program who obtain a terminal degree in an area of national need; 2) The percentage of fellows in the Graduate Assistance in Areas of National Need program from traditionally underrepresented populations who obtain a terminal degree in an area of national need; and 3) The median duration of time from entering graduate school until degree completion compared to comparable doctoral students as identified annually in the Survey of Earned Doctorates.

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

VII. Agency Contacts

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 20006-8521. Telephone: (202) 502-7767 or by email: OPE_GAANN_PROGRAM@ed.gov.

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

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or

computer diskette) on request to the program contact person listed in this section.

VIII. Other Information

Electronic Access to This Document: You may 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.

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

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:

<http://www.gpoaccess.gov/nara/index.html>.

Dated:

/signed/
James F. Manning,
Acting Assistant Secretary
Office of Postsecondary Education

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 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 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, the Secretary shall designate areas of national need. In making such designations, the Secretary shall take into account the extent to which the interest in the area is compelling, the extent to which other Federal programs support post baccalaureate study in the area concerned, and an assessment of how the program could achieve the most significant impact with available resources.

'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;

'(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 1999-2000 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 fellowships, 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 716(a) may count such excess toward the amounts the institution is required to provide pursuant to section 714(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 1999-2000 and succeeding academic years, the same amount as the institutional payment made for 1998-1999 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 1999 and such sums as may be necessary for each of the 4 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 | Equipment |
| Application | Grant |
| Award | Nonprofit |
| Budget | Project period |
| 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 a doctorate in an academic field or a master's degree, professional degree, or other post-baccalaureate degree if a doctorate is not available in that academic field.

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.** (5 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.** (10 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.** (12 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 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

STATE SINGLE POINTS OF CONTACT (SPOCs)

It is estimated that in 2004 the Federal Government will outlay \$400 billion in grants to State and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided on the official version:

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

States that are not listed on this page have chosen not to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within one of these States, you may still send application materials directly to a Federal awarding agency.

Contact information for Federal agencies that award grants can be found in [The Catalog of Federal Domestic Assistance Catalog Contents Page](#). You can access Appendix IV by Agency [http://12.46.245.173/CFDA/appx4_web.pdf] or by State [http://12.46.245.173/CFDA/appx4_web_state.pdf].

| | |
|--|--|
| <p><u>ARKANSAS</u> Tracy L. Copeland Manager, State Clearinghouse Office of Intergovernmental Services Department of Finance and Admin. 1515 W. 7th St., Room 412 Little Rock, Arkansas 72203 Telephone: (501) 682-1074 Fax: (501) 682-5206 tlcopeland@dfa.state.ar.us</p> | <p><u>CALIFORNIA</u> Grants Coordination State Clearinghouse Office of Planning and Research P.O. Box 3044, Room 222 Sacramento, California 95812-3044 Telephone: (916) 445-0613 Fax: (916) 323-3018 state.clearinghouse@opr.ca.gov</p> |
| <p><u>DELAWARE</u> Sandra R. Stump Executive Department Office of the Budget 540 S. Dupont Highway, 3rd Floor Dover, Delaware 19901 Telephone: (302) 739-3323 Fax: (302) 739-5661 sandy.stump@state.de.us</p> | <p><u>DISTRICT OF COLUMBIA</u> Marlene Jefferson DC Government Office of Partnerships And Grants Development 441 4th Street, NW Washington, DC 20001 Telephone: (202) 727-6518 Fax: (202) 727-1652 marlene.Jefferson@dc.gov</p> |
| <p><u>FLORIDA</u> Lauren P. Milligan Florida State Clearinghouse Florida Dept. of Environmental Protection 3900 Commonwealth Blvd., Mail Station 47 Tallahassee, Florida 32399-3000 Telephone: (850) 245-2161 Fax: (850) 245-2190 Lauren.Milligan@dep.state.fl.us</p> | <p><u>GEORGIA</u> Barbara Jackson Georgia State Clearinghouse 270 Washington Street, SW, 8th Floor Atlanta, Georgia 30334 Telephone: (404) 656-3855 Fax: (404) 656-7901 gach@mail.opb.state.ga.us</p> |

| | |
|--|---|
| <p><u>ILLINOIS</u> Roukaya McCaffrey Department of Commerce and Economic Opportunities 620 East Adams, 6th Floor Springfield, Illinois 62701 Telephone: (217) 524-0188 Fax: (217) 558-0473 roukaya_mccaffrey@illinoisbiz.biz</p> | <p><u>IOWA</u> Kathy Mable Iowa Department of Management State Capitol Building Room G 12 1007 E Grand Avenue Des Moines, Iowa 50319 Telephone: (515) 242-8834 Fax: (515) 242-5897 Kathy.Mable@iowa.gov</p> |
| <p><u>KENTUCKY</u> Ron Cook The Governor's Office for Local Development 1024 Capital Center Drive, Suite 340 Frankfort, Kentucky 40601 Telephone: (502) 573-2382/(800) 346-5606 Fax: (502) 573-2512 Ron.cook@Ky.Gov</p> | <p><u>MAINE</u> Joyce Benson State Planning Office 184 State Street 38 State House Station Augusta, Maine 04333 Telephone: (207) 287-3261 (direct): (207) 287-1461 Fax: (207) 287-6489 joyce.benson@state.me.us</p> |
| <p><u>MARYLAND</u> Linda C. Janey, J.D. Director, Capital Planning and Development Review Maryland Department of Planning 301 West Preston Street, Room 1104 Baltimore, Maryland 21201-2305 Telephone: (410) 767-4490 Fax: (410) 767-4480 linda@mail.op.state.md.us</p> | <p><u>MICHIGAN</u> Richard Pfaff Southeast Michigan Council of Governments 535 Griswold, Suite 300 Detroit, Michigan 48226 Telephone: (313) 961-4266 Fax: (313) 961-4869 pfaff@semcog.org</p> |
| <p><u>MISSISSIPPI</u> Mildred Tharpe Clearinghouse Officer Department of Finance and Administration 1301 Woolfolk Building, Suite E 501 North West Street Jackson, Mississippi 39201 Telephone: (601) 359-6762 Fax: (601) 359-6758</p> | <p><u>MISSOURI</u> Federal Assistance Clearinghouse Office of Administration P.O. Box 809 Truman Building, Room 840 Jefferson City, Missouri 65102 Telephone: (573) 751-4834 Fax: (573) 522-4395 igr@mail.oe.state.mo.us</p> |
| <p><u>NEVADA</u> Michael Stafford Department of Administration State Clearinghouse 209 E. Musser Street, Room 200 Carson City, Nevada 89701 Telephone: (775) 684-0209 Fax: (775) 684-0260 mstafford@budget.state.nv.us</p> | <p><u>NEW HAMPSHIRE</u> MaryAnn Manoogian Director, New Hampshire Office of Energy and Planning Attn: Intergovernmental Review Process Benjamin Frost 57 Regional Drive Concord, New Hampshire 03301-8519 Telephone: (603) 271-2155 Fax: (603) 271-2615 irp@nh.gov</p> |
| <p><u>NEW YORK</u> Linda Shkreli Office of Public Security Homeland Security Grants Coordination 633 3rd Avenue New York, New York 10017 Telephone: (212) 867-1289 Fax: (212) 867-1725</p> | <p><u>NORTH DAKOTA</u> Jim Boyd ND Department of Commerce 1600 East Century Avenue, Suite 2 P.O. Box 2057 Bismarck, North Dakota 58505-2057 Telephone: (701) 328-2676 Fax: (701) 328-2308 jboyd@state.nd.us</p> |

| | |
|---|--|
| <p>RHODE ISLAND Joyce Karger Department of Administration Statewide Planning Program One Capitol Hill Providence, Rhode Island 02908-5870 Telephone: (401) 222-6181 Fax: (401) 222-2083 jkarger@doa.state.ri.us</p> | <p><u>SOUTH CAROLINA</u> SC Clearinghouse Budget and Control Board Office of State Budget 1201 Main Street, Suite 950 Columbia, South Carolina 29201 Telephone: (803) 734-0494 Fax: (803) 734-0645 clearinghouse@budget.state.sc.us</p> |
| <p><u>TEXAS</u> Denise S. Francis Director, State Grants Team Governor's Office of Budget and Planning P.O. Box 12428 Austin, Texas 78711 Telephone: (512) 305-9415 Fax: (512) 936-2681 dfrancis@governor.state.tx.us</p> | <p><u>UTAH</u> Sophia DiCaro Utah State Clearinghouse Governor's Office of Planning and Budget Utah Capitol Complex Suite E210, P.O. Box 142210 Salt Lake City, Utah 84114-2210 Telephone: (801) 538-1027 Fax: (801) 538-1547 ddicar@utah.gov</p> |
| <p><u>WEST VIRGINIA</u> Fred Cutlip, Director Community Development Division West Virginia Development Office Building #6, Room 553 Charleston, West Virginia 25305 Telephone: (304) 558-4010 Fax: (304) 558-3248 fcutlip@wvdo.org</p> | <p><u>WISCONSIN</u> Jeff Smith Section Chief, Federal/State Relations Wisconsin Department of Administration 101 East Wilson Street, 6th Floor P.O. Box 7868 Madison, Wisconsin 53707 Telephone: (608) 266-0267 Fax: (608) 267-6931 jeffrey.smith@doa.state.wi.us</p> |
| <p><u>AMERICAN SAMOA</u> Pat M. Galea'i Federal Grants/Programs Coordinator Office of Federal Programs/Office of the Governor Department of Commerce American Samoa Government Pago Pago, American Samoa 96799 Telephone: (684) 633-5155 Fax: (684) 633-4195 pmgaleai@samoatelco.com</p> | <p><u>GUAM</u> Director Bureau of Budget and Mgmt. Research Office of the Governor P.O. Box 2950 Agana, Guam 96910 Telephone: 011-671-472-2285 Fax: 011-671-472-2825 jer@ns.gov.gu</p> |
| <p><u>NORTH MARIANA ISLANDS</u> Ms. Jacoba T. Seman Federal Programs Coordinator Office of Management and Budget Office of the Governor Saipan, MP 96950 Telephone: (670) 664-2289 Fax: (670) 664-2272 omb.jseman@saipan.com</p> | <p><u>PUERTO RICO</u> Jose Caballero / Mayra Silva Puerto Rico Planning Board Federal Proposals Review Office Minillas Government Center P.O. Box 41119 San Juan, Puerto Rico 00940-1119 Telephone: (787) 723-6190 Fax: (787) 722-6783</p> |
| <p><u>VIRGIN ISLANDS</u> Ira Mills Director, Office of Management and Budget #41 Norre Gade Emancipation Garden Station, Second Floor Saint Thomas, Virgin Islands 00802 Telephone: (340) 774-0750 Fax: (340) 776-0069</p> | |

Changes to this list can be made only after OMB is notified by a state's officially designated representative. E-mail messages can be sent to ephillips@omb.eop.gov. If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management
Office of Management and Budget
New Executive Office Building, Suite 6025
725 17th Street, N.W.
Washington, DC 20503

Please note: Inquiries about obtaining a federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the Catalog of Federal Domestic Assistance or [CFDA http://www.cfda.gov](http://www.cfda.gov) and the Grants.gov Web site (<http://www.grants.gov>).

General Education Provisions Act (GEPA) Section 427

***ALL APPLICANTS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

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

This section allows applicants discretion in developing the required description. The statute highlights six barriers that can impede equitable access or participation that you may address: *gender, race, national origin, color disability, or age.*

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

***Note:** Applicants are required to address this provision by attaching a statement to the ED GEPA 427 Form that must be downloaded from Grants.gov.

The 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 2002-2007. 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: Create a Culture of Achievement*
- Goal 2: Improve Student Achievement*
- Goal 3: Develop Safe Schools and Strong Character*
- Goal 4: Transform Education into an Evidence-based Field*
- Goal 5: Enhance the Quality of and Access to Postsecondary and Adult Education*
- Goal 6: Establish Management Excellence*

The performance measures for the GAANN program are part of the Department's plan for meeting Goal 5: Enhance the Quality of and Access to Postsecondary and Adult Education.

What are the Performance Measures for the GAANN Program?

The Department's 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 objective and performance measures are as follows:

Increase the number of graduate students in areas of national need, including the number from underrepresented populations.

- (1.1) **Graduate school completion:** Increase the percentage of GAANN fellows who obtain a doctorate degree in an area of national need.
- (1.2) **Enrollment of targeted populations:** Increase the percentage of GAANN fellows from traditionally underrepresented populations.
- (1.3) **Time-to-Degree:** The median time-to-degree completion for GAANN fellows will be less than the median duration for doctoral students in comparable fields as indicated by the Survey of Earned Doctorates.

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

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:

1. **Application for Federal Assistance (SF 424)**
2. **Department of Education Supplemental Information for SF 424**

Part II:

1. GAANN Budget Spreadsheet(s) Form

The “**GAANN Budget Spreadsheet(s) Form**” is where applicants provide budget information for the **GAANN Budget Summary**. Applicants must submit the Budget Spreadsheet(s) Form electronically as **a separate document and attach the document(s) into “Other Attachments Forms”**. Please note that more detailed instructions for attaching the Budget Spreadsheet Form are covered in the “INSTRUCTIONS FOR FORMS” section of the application package. Your Budget Narrative should be included in the “Project Narrative Attachment Form” located in Part III.

2. Assurances and Certifications Forms

The following **Assurances and Certifications Forms must be downloaded from the Grants.gov website. Complete and attach the forms into the Grants.gov system.** Please note that more detailed instructions for attaching these forms are covered in the “INSTRUCTIONS FOR FORMS” section of the application package.

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

3. GAANN Statutory Assurances Form

Applicants must attach the form into the “Other Attachments Form” in the Grants.gov system. Please note that more detailed instructions for attaching this form are covered in the “INSTRUCTIONS FOR FORMS” section of the application package.

Part III:

1. ED Abstract Form

The “ED Abstract Form” can be found in the Grants.gov system. Applicants will attach a one-page abstract narrative that will provide an overview of the proposed project.

2. Project Narrative Attachment form

The “Project Narrative Attachment Form” can be found in the Grants.gov system. Applicants will attach their narrative responses to the selection criteria that will be used to evaluate applications submitted for this competition.

The Budget Narrative is a part of the selection criteria and should be included in the “Project Narrative Attachment Form”.

Information about formatting, page limits and the selection criteria are found in the “APPLICATION NARRATIVE INSTRUCTIONS” section of the application package.

3. Appendices

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 “Other Attachments Form” section in the Grants.gov system.

INSTRUCTIONS FOR FORMS:

PART I

SF 424 Form Instructions

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

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

PART II

**GAANN Budget Spreadsheet(s) Form Instructions
GAANN Statutory Assurances Form Instructions
ED GEPA 427 Form Instructions
Instructions for SF-LLL, Disclosure of Lobbying
Activities**

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. | Type of Submission: (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> • Preapplication • Application • Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date. | 10. | Name Of Federal Agency: (Required) Enter the name of the Federal agency from which assistance is being requested with this application. |
| | | 11. | Catalog Of Federal Domestic Assistance Number/Title: Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable. |
| 2. | <i>Type of Application: (Required) Select one type of application in accordance with agency instructions.</i> <ul style="list-style-type: none"> • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify) | 12. | Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement. |
| | | 13. | Competition Identification Number/Title: Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable. |
| | | 14. | Areas Affected By Project: List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed. |
| 3. | Date Received: Leave this field blank. This date will be assigned by the Federal agency. | 15. | Descriptive Title of Applicant's Project: (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project. |
| 4. | Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable. | | |
| 5a. | Federal Entity Identifier: Enter the number assigned to your organization by the Federal Agency, if any. | 16. | Congressional Districts Of: (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 2-3 characters District Number, e.g., CA-12 for California 12 th district, NC-103 for North Carolina's 103 rd district. <ul style="list-style-type: none"> • If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. • If nationwide, i.e. all districts within all states are affected, enter US-all. • If the program/project is outside the US, enter 00-000. |
| 5b. | Federal Award Identifier: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions. | | |
| 6. | Date Received by State: Leave this field blank. This date will be assigned by the State, if applicable. | | |
| 7. | State Application Identifier: Leave this field blank. This identifier will be assigned by the State, if applicable. | | |
| 8. | Applicant Information: Enter the following in accordance with agency instructions: | | |
| | a. Legal Name: (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website. | 17. | Proposed Project Start and End Dates: (Required) Enter the proposed start date and end date of the project. |
| | b. Employer/Taxpayer Number (EIN/TIN): (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444. | | |
| | c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website. | 18. | Estimated Funding: (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. |
| | d. Address: Enter the complete address as follows: Street address (Line | | |

| | | | | | |
|--|--|--|--|-----|---|
| | <p>1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p> <p>e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p> <p>f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p> | 19. | <p>Is Application Subject to Review by State Under Executive Order 12372 Process? Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p> | | |
| | | 20. | <p>Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p> | | |
| 9. | <p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0" data-bbox="154 598 844 1176"> <tr> <td data-bbox="154 598 503 1176"> <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="503 598 844 1176"> <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> | 21. | <p>Authorized Representative: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.</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> |
| <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> | | | | |
| | | | | | |

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 12th 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 numbers(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

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

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

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

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

waiver of the elements of consent or the requirement for documentation of consent.

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

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

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

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

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, 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)

GAANN BUDGET SPREADSHEET(S) FORM

INFORMATION INSTRUCTIONS

The GAANN Budget Spreadsheet Form(s) can be found in the “Forms” section of the application package.

ATTENTION:

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

The GAANN Budget Spreadsheet(s) Form must be attached electronically as a separate document. 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. This spreadsheet can be found in the “FORMS” section of the application package. **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 “Other Attachments Form” in the Grants.gov system.

It is important to note that the Budget Spreadsheet Form(s) is attached SEPARATELY from the budget narrative, which is attached as part of the application narrative.

General Instructions

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

- Single discipline or area applicants need *only* complete Sections A and B.
- Applicants requesting support for more than one discipline or area must complete Section A and B for *each* discipline for which support is requested *and* Section C and D summary data.

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. **If support for more than one discipline or area is requested, 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 for each year of the proposed project.
3. Additional fellowships from institutional matching contributions. Enter the number of additional fellowships that will be supported from institutional matching contributions for each year of the proposed project.

Section B: Federal Funds Requested and Required Institutional Matching Contribution

Institutional matching contributions must equal a minimum of 25% of the Federal funds requested.

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 \$12,224 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 “Note” above. **Institutional matching contributions must be no less than 25% of Federal funds awarded.**
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

Complete this section if *two or more* disciplines or areas are proposed for your fellowship project.

1. Disciplines and CIP codes. Enter the national need priority areas or disciplines and the Classification of Instructional Programs (CIP) codes for all areas addressed in the application. The data entered must be consistent with entries in all the Section A and B forms completed for each single discipline.
2. Total number of fellowships from Federal funds. Enter the total number of fellowships for all disciplines to be supported from Federal funds for each year of the proposed project.
3. Total additional fellowships from institutional matching contributions. Enter the total number of additional fellowships, if any, that will be supported for all disciplines from institutional matching contributions for each year of the proposed project.

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

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.

GAANN STATUTORY ASSURANCES FORM INSTRUCTIONS

The GAANN Statutory Assurances Form can be found in the “Forms” section of the application package.

ATTENTION:

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

The GAANN Statutory Assurances Form must be attached electronically as a separate document. 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.** Once the Statutory Assurances document has been signed and dated, the applicant must attach the document to the “Other Attachments Form” in the Grants.gov system.

GENERAL EDUCATION PROVISIONS ACT (GEPA) SECTION 427 INSTRUCTIONS

***ALL APPLICANTS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

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

This section allows applicants discretion in developing the required description. The statute highlights six barriers that can impede equitable access or participation that you may address: *gender, race, national origin, color disability, or age.*

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

***Note:** Applicants are required to address this provision by attaching a statement to the ED GEPA 427 Form that must be downloaded from Grants.gov.

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

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

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

10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.
- (b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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

APPLICATION NARRATIVE INSTRUCTIONS

PART III

APPLICATION NARRATIVE INSTRUCTIONS

Applications must be submitted electronically via Grants.gov. Please refer to pages 9 to 12 of the application package for more information regarding new electronic submission requirements.

Before preparing the application 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?

Application Narrative Content:

1. Project Abstract

Each application must complete a “Project Abstract Form” which should contain the following information:

- The name of your institution and the type of application your institution is submitting (i.e. single discipline, interdisciplinary, or multidisciplinary); and
- A short summary covering the designated area(s) of national need and the anticipated number of GAANN fellows to be involved.

Information provided in the one-page abstract must be double-spaced and attached into the Project Abstract Form in the Grants.gov system.

2. Project Narrative

Address each selection criterion, including all sub-criteria, in sequential order. The selection criteria can be found in the program regulations, **Subpart C, §648.31, What Selection Criteria Does the Secretary Use?** The selection criteria can also be reviewed in the Notice Inviting New Applications.

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 (5th Cir.) cert. denied, Texas v. Hopwood, 115 S. CT. 2581 (1996).

Narrative Page Limits:

1. Single discipline must be limited to the equivalent of no more than 40 pages.
2. Interdisciplinary applications, as defined below, must be limited to the equivalent of no more than 60 pages.
3. Multidisciplinary applications, as defined below, must be limited to the equivalent of no more than 40 pages for each academic discipline included in the proposal.

***Note:** An interdisciplinary application must request funding for a single proposed program of study that involves in two or more disciplines. A multidisciplinary application must request funding for two or more proposed programs of study that are independent and unrelated to one another. Applicants must abide by the definitions of interdisciplinary and multidisciplinary when applying page limits.

Page limitation requirements do not apply to the following standard forms: the SF 424 Form; the Budget Spreadsheet Form; the Assurances and Certifications; the Project Abstract Form; or the Appendices.

Note: 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.

Formatting Requirements

ALL applications (single, interdisciplinary, or multidisciplinary) must apply the following standards:

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

- Use not less than a 12-point font. However, you may use a 10-point font in charts, tables, figures, graphs, footnotes, and endnotes.

3. 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.

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 “Other Attachments Form” section in the Grants.gov system.

FORMS:

PART II

GAANN Budget Forms

GAANN Statutory Assurances Form

GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED (GAANN) FELLOWSHIP PROGRAM

PART II. - BUDGET INFORMATION

| SECTION A: FELLOWSHIP DATA FOR EACH SINGLE DISCIPLINE | | | | | | | | |
|---|--|-------------|----------|--|----------|-------------|---------|-------------|
| 1. Discipline and CIP code | 2. Number of fellowships from Federal funds 1st year: 2nd year: 3rd year: | | | 3. Additional fellowships from institutional matching contributions 1st year: 2nd year: 3rd year: | | | | |
| SECTION B: FEDERAL FUNDS REQUESTED AND REQUIRED INSTITUTIONAL MATCHING CONTRIBUTIONS | | | | | | | | |
| | 1st Year | | 2nd Year | | 3rd Year | | Total | |
| Allowable Cost Categories | 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.)

GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED (GAANN) FELLOWSHIP PROGRAM

FELLOWSHIP DATA SUMMARY FOR TWO OR MORE DISCIPLINES

| SECTION C: FELLOWSHIP DATA SUMMARY FOR TWO OR MORE DISCIPLINES | | |
|---|--|--|
| 1. Disciplines and CIP codes | 2. Total number of fellowships from Federal funds 1st year: 2nd year: 3rd year: | 3. Total additional fellowships from institutional matching contributions 1st year: 2nd year: 3rd year: |

| SECTION D: SUMMARY OF FEDERAL FUNDS REQUESTED AND REQUIRED INSTITUTIONAL MATCHING CONTRIBUTIONS | | | | | | | | |
|--|----------|-------------|----------|-------------|----------|-------------|---------|-------------|
| | 1st Year | | 2nd Year | | 3rd Year | | Total | |
| Allowable Cost Categories | 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) | | | | | | | | |

(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).

GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED PROGRAM

STATUTORY ASSURANCES

NOTE: DO NOT MODIFY OR AMEND THIS PAGE. COPY, SAVE AND ATTACH TO THE "OTHER ATTACHMENTS FORM".

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, 2006, 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.

Signature of Authorized Certifying Official

Date

Application Checklist

Use this Checklist while preparing your Application Package. These parts are organized in the same manner that the submitted application should be organized. The parts are as follows:

Part I:

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

Part II:

- GAANN Budget Spreadsheet(s) Form**
Attach GAANN Budget Spreadsheet(s) Form in “Other Attachments Form”
- Assurances, Certifications, and Survey Forms**
All “Assurances, Certifications, and Survey Forms” must be completed
 - ED GEPA 427 Form
 - Assurances for Non-Construction Programs (SF 424B)
 - Grants.gov Lobbying Form (formerly Certification Regarding Lobbying (ED 80-0013)
 - Disclosure of Lobbying Activities (SF-LLL)
- GAANN Statutory Assurances**
Attach GAANN Statutory Assurances in “Other Attachments Form”.

Part III:

- SF-424 Project Abstract Form**
Attach Abstract to the “ED Abstract Form” in Grants.gov
- Project Application Narrative Attachment Form**
Attach Table of Contents (optional), and Responses to selection criteria
- Attachments**
Attach Appendices to “Other Attachments Form”

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 20202-5247. **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., 6th floor, Washington, DC 20006-8521.