

# Archived Information

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

Office of Postsecondary Education  
Washington, DC 20006-8517



**Fiscal Year 2008**

**APPLICATION FOR GRANTS  
UNDER THE  
MINORITY SCIENCE & ENGINEERING  
IMPROVEMENT PROGRAM  
(CFDA NUMBER: 84.120A)**

**Form Approved  
OMB No. 1840 - 0109, Exp. Date: 5/31/2009**

**CLOSING DATE: May 22, 2008**

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Dear Applicant:

Thank you for your interest in applying for a grant in the fiscal year (FY) 2008 competition for new awards under the Minority Science and Engineering Improvement Program (MSEIP). The MSEIP supports the Federal government's effort to improve and expand the scientific and technological capacity of the United States by increasing the number of better prepared scientists, engineers, and technical experts from underrepresented ethnic minorities, particularly minority women.

This letter highlights a few items in the FY 2008 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 MSEIP is accessible at the U.S. Department of Education's (Department) Web site at:

<http://www.ed.gov/programs/idesmsi/index.html>

The application booklet includes the program introduction, instructions, and forms needed to submit a complete application package to the U. S. Department of Education. Please be sure to thoroughly review the entire application booklet for information concerning the MSEIP application requirements. Applicants should pay particular attention to the section entitled "Competition Highlights" that outlines invitational and competitive priorities as well as other program and competition details.

In FY 2008, there are three competitive preference priorities and three invitational priorities for this program. The Department strongly encourages all applicants to give consideration to the invitational priorities. However, applications that meet these invitational priorities will not receive a competitive or absolute preference over other applications.

For information (including dates and times) about how to submit your application electronically, please refer to the official Notice Inviting Applications for New Awards for FY 2008 published in the Federal Register. You are reminded that the document published in the Federal Register (the Closing Date Notice) is the official document describing the requirements for applying for a MSEIP grant. You should not rely upon any information that is inconsistent with the guidance contained within the official document.

We also urge you to consider the following three extremely important administrative factors if you are planning to apply for this program.

1. We strongly encourage you to register with Grants.gov early. Registration procedures may require five or more days to complete.
2. We strongly recommend that you submit your application 2-3 days prior to the closing date. The time it takes to upload an application will vary depending on your application and the speed of your Internet connection. The application submission process must be completed prior to the deadline for transmittal of applications.
3. In order to submit successfully, you must remember to provide the DUNS number of your application that was used when your organization registered with the Central Contractor Registry (CCR).

Finally, we would like to share with you the importance of ensuring that your application includes a strong evaluation plan. The peer reviewers will be instructed to look closely at the potential of applicants to successfully reach their individual project goals, which are driven by the performance indicators for the MSEIP. The evaluation plan should not only include formative and summative measures, but also, address the use of appropriate controls and techniques that provide for independent evaluation. The evaluation plan should shape the development of the project from the beginning of the grant period and provide benchmarks for the monitoring of progress and measurement of that progress throughout the grant award period. You should pay close attention to the information provided in the Instructions for Project Narrative section of this application regarding the development of your evaluation activity. Technical assistance workshops will be held to help grantees design and implement strong evaluations. These workshops will also emphasize the need for developing strong project-level performance objectives and measures that capture the impact of the activities grantees pursue toward their project goals. The Department is committed to helping grantees use data to achieve their goals and, in turn, the goals of the MSEIP.

If you have questions or require additional information, please email [OPE.MSEIP@ED.GOV](mailto:OPE.MSEIP@ED.GOV) or contact Dr. Bernadette M. Hence at [Bernadette.Hence@ed.gov](mailto:Bernadette.Hence@ed.gov) or by phone at (202) 219-7038 or (202) 502-7777.

We appreciate your interest in and support of the Minority Science and Engineering Improvement Program and look forward to receiving your application.

Sincerely,

/signed/  
James E. Laws, Jr., Ed.D.  
Director  
Institutional Development and  
Undergraduate Education Service

## Competition Highlights

1. **MSEIP Applications submitted for FY 2008 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. 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 2008 and qualify for one of the exceptions to the electronic submission requirement.
3. 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.

4. In the FY 2008 competition, the Department is particularly interested in applications that meet the following program priorities:

Invitational Priorities (3):

- i. Invitational Priority 1. Applications that focus on the development of bridge programs that target pre-freshmen entering into science, technology, engineering, or mathematics (STEM) fields.
- ii. Invitational Priority 2. Applications that focus directly on student learning that encourage and facilitate implementation of proven effective pedagogical approaches to increase student retention and achievement in STEM fields.
- iii. Invitational Priority 3. Applications that focus on mentoring programs designed to increase the number of underrepresented students who graduate with STEM undergraduate degrees.

**Please note that these priorities are explained in detail in the Closing Date Notice contained in this application package. You are urged to fully review the Closing Date Notice carefully before preparing your application.**

4. An additional five competitive points will be given to applications from institutions that meet Competitive Preference Priority 1. Additionally, we will give preference to an application that meets Competitive Preference Priority 2 and Competitive Preference Priority 3 over an application of comparable merit that does not meet these priorities.

The Competitive Priorities for FY 2008 are as follows:

Competitive Priorities (3):

- i. Competitive Preference Priority 1. Applications from institutions that have not received a MSEIP grant within five years prior to this competition.
- ii. Competitive Preference Priority 2. Applications from previous grantees with a proven record of success.
- iii. Competitive Preference Priority 3. Applications that contribute to achieving balance among funded projects with respect to -- (a) geographic region; (b) academic discipline; and (c) project type.

**Refer to the Federal Register Notice Inviting Applications for New Awards for FY 2008 for additional details explaining the competitive preference priorities.**

5. New MSEIP grants will be awarded on a competitive basis for the following three types of grants: institutional, cooperative, and special projects. An applicant may apply for more than one type of MSEIP grant. Please note, for FY 2008, we will not award new grants under the 'design project' category.
6. The point distribution for FY 2008 is included in the Federal Register notice. Field readers will assign points based on their assessment of the applicant's ability to address the selection criteria.
7. Information provided in the program abstract is limited to one double spaced page and must be uploaded into the ED Abstract Form. **Be sure to specify which type of MSEIP grant you are applying for.**
8. The application must be received on or before the deadline date and time. Late applications will not be accepted. **We suggest that you submit your application several days before the deadline.** The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date.

9. All applicants are required to adhere to the page limit for the Program Narrative portion of the application. The notice, published in the Federal Register, contains specific information governing page limits for each grant type, and formatting instructions. The page limits for the FY 2008 competition are as follows:

Institutional Project Applications – 40 pages

Special Project Applications – 35 pages

Cooperative Project Applications – 50 pages

10. The maximum award amount for an Institutional Project Application is \$200,000 per single budget period of 12 months. The maximum project period is up to 36 months, for a total award amount not to exceed \$600,000.

The maximum award amount for a Special Project Application is \$100,000 per single budget period of 12 months. The maximum project period is up to 36 months, for a total award amount not to exceed \$300,000.

The maximum award amount for a Cooperative Project Application is \$300,000 per single budget period of 12 months. The maximum project period is up to 36 months, for a total award amount not to exceed \$900,000.

We will not fund any application at an amount exceeding the maximum amounts specified above for a single budget period of 12 months.

11. This program has no cost sharing or matching requirements.
12. This program does not support scholarships or new construction. It does support stipends and renovations.
13. All attachments must be in .DOC, .RTF, or .PDF format. Other types of files will not be accepted.
14. Please note that Grants.gov does not currently support the new Microsoft Vista Operating system. The PureEdge software used by Grants.gov for forms is not compatible with Vista. In addition, the new version of Microsoft Word saves documents with the extension .DOCX. The Grants.gov system does not process Microsoft Word documents with the extension .DOCX. When submitting Microsoft Word attachments to Grants.gov, please use the version of Microsoft Word that ends in .DOC. If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

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 the DUNS number that was used when your organization registered with the Central Contractor Registry (CCR).**

For help with Grants.gov, please go to <http://www.grants.gov/ForApplicants> and click on "help" at the top of the screen. Also, refer to the "Submission Procedures and Tips for Applicants" found on page eight of this application booklet.

## IMPORTANT – PLEASE READ FIRST

### U.S. Department of Education GRANTS.GOV SUBMISSION PROCEDURES AND TIPS FOR APPLICANTS

To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education.

- 1) **REGISTER EARLY** – Grants.gov registration may take five or more business 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 registration steps are complete. For detailed information on the Registration Steps, please go to: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). [Note: your organization will need to update its Central Contractor Registry (CCR) registration annually.]
- 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 pm on the deadline date.

**Note: To submit successfully, you must provide the same 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 of Education receive your Grants.gov submission timely and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30 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/help/submit\\_application\\_faqs.jsp#10](http://www.grants.gov/help/submit_application_faqs.jsp#10). For more detailed information on why an application may be rejected, you can review Application Error Tips <http://www.grants.gov/section910/ApplicationErrorTips.pdf>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

### **Submission Problems – What should you do?**

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or use the customer support available on the Web site: [http://www.grants.gov/applicants/applicant\\_help.jsp](http://www.grants.gov/applicants/applicant_help.jsp).

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 logon to Grants.gov to upload and submit the application. **You must provide on your application the same DUNS number that was used when your organization registered with the CCR.**

Please go to [http://www.grants.gov/applicants/applicant\\_help.jsp](http://www.grants.gov/applicants/applicant_help.jsp) for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov [http://www.grants.gov/help/submit\\_application\\_faqs.jsp](http://www.grants.gov/help/submit_application_faqs.jsp).

### **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 the Citrix solution discussed on Grants.gov or a Windows Emulation program to submit an application using Grants.gov. For additional information, review the FAQs for non-windows users [http://www.grants.gov/resources/download\\_software.jsp#non\\_window](http://www.grants.gov/resources/download_software.jsp#non_window). Also, to view white paper for Macintosh users published by Pure Edge go to the following link: <http://www.grants.gov/section678/PureEdgeSupportforMacintosh.pdf>, and/or contact Grants.gov Customer Support (<http://www.grants.gov/contactus/contactus.jsp>) for more information. **If electronic submission is required and you are concerned about your ability to submit electronically as a non-windows user, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

## **ATTENTION – Microsoft Vista and Word Users**

Please note that Grants.gov does not currently support the new Microsoft Vista Operating system. The PureEdge software used by Grants.gov for forms is not compatible with Vista. In addition, the new version of Microsoft Word saves documents with the extension .DOCX. The Grants.gov system does not process Microsoft Word documents with the extension .DOCX. When submitting Microsoft Word attachments to Grants.gov, please use the version of Microsoft Word that ends in .DOC. If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

## Grants.gov Registration Instructions for Organizations

The Grants.gov registration process involves three basic steps:

1. Register your organization
  - Obtain a DUNS Number (see below for instructions.)
  - Register with the Central Contractor Registry (see below for instructions)
2. Register yourself as an Authorized Organization Representative (AOR)
  - Obtain a username and password from the Grants.gov credential provider (<http://apply.grants.gov/OrcRegister>)
  - Register with Grants.gov (<http://apply.grants.gov/GrantsgovRegister>)
3. Get authorized as an AOR by your organization
  - Receive approval from your organization's E-Business POC (see CCR instructions below for details)
  - If you are the E-Business POC and an AOR, you should authorize your own

For more information, go to [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp)

Note: If you are a grant applicant who is submitting a grant application on your behalf and not on behalf of a company, institution, state, local or tribal government, or other type of organization, refer to <http://www.grants.gov/assests/IndividualRegCheck.pdf>. If you apply as an individual to a grant application package designated for organizations, your application will be rejected.

### DUNS NUMBER INSTRUCTIONS

You must provide your organization's DUNS Number, to successfully submit an application using Grants.gov. The DUNS Number is a unique nine-digit number issued by Dun & Bradstreet (D&B), a global information services provider, that identifies your organization and is used by the Federal government to track how Federal money is distributed. Most large organizations, libraries, colleges, and research universities already have DUNS Numbers. Ask your grant administrator or chief financial officer to provide your organization's DUNS Number.

If your organization does not have a DUNS Number, you can obtain one at no charge by calling 1-866-705-5711 or by completing a DUNS Number Request Form

([http://www.dnb.com/USduns\\_update/index.html](http://www.dnb.com/USduns_update/index.html)). You will need to provide the following information:

- Legal name
- Tradestyle, doing business as (DBA), other name by which your organization is commonly recognized
- Physical address, city, state and zip code
- Mailing address (if separate)
- Telephone number
- Contact name
- SIC code (Line of Business)
- Number of employees at your location
- Headquarters name and address (if there is a reporting relationship to a parent corporate entity)
- Whether this is a home-based business

Obtaining a DUNS Number places your organization on D&B's marketing list, which is sold to other companies. You can request not to be added to this list during your application.

Live help from D&B is available Monday-Friday, 8 a.m. – 5 p.m. (EST) at 1-888-814-1435.

## **CENTRAL CONTRACTOR REGISTRATION (CCR) INSTRUCTIONS**

The Central Contractor Registration (CCR) is a web-enabled government-wide application that collects, validates, stores, and disseminates business information about the Federal government's trading partners in support of the contract award, grants, and electronic payment processes. Check to see if your organization is already registered at the CCR Web site (<http://www.bpn.gov/ccring/scripts/search.asp>).

If your organization is already registered, take note of who is listed as your E-Business Point of Contact (E-Business POC). This person will be responsible for authorizing who within your organization is able to submit applications using Grants.gov.

If your organization is not already registered, you can register using the CCR Web site (<http://bpn.gov/ccr/scripts/indexnew.asp>) or by phone (1-888-227-2423). When your organization registers with CCR, you will need to designate an E-Business Point of Contact (POC). This designee authorizes individuals to submit grant applications on behalf of the organization. A special Marketing Partner ID Number (MPIN) is established as a password to verify the E-Business POC.

The E-Business POC will be notified by e-mail when individuals from their organization register with Grants.gov. This registration is a request to be designated as an Authorized

Organization Representative (AOR). To assign AOR rights, E-Business POCs need to log into Grants.gov ([http://www.grants.gov/applicants/e\\_biz.jsp](http://www.grants.gov/applicants/e_biz.jsp)) using the organization's DUNS Number and MPIN. Grants.gov will send the AOR a confirmation e-mail when this process has been completed. Please note that your CCR registration must be renewed once a year. You can check your registration status using the CCR search page (<http://www.bpn.gov/ccring/scripts/search.asp>).

If you have further questions about creating, updating or renewing your CCR registration, please visit the CCR Frequently Asked Questions page (<http://www.ccr.gov/FAQ.asp>) or contact the CCR Help Desk at 1-888-227-2423.

## **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 for New Awards 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 84.120A)  
400 Maryland Avenue, SW  
Washington, DC 20202 – 4260**

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

- (a) A legibly dated U. S. Postal Service Postmark;
- (b) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service;
- (c) A dated shipping label, invoice, or receipt from a commercial carrier; or



(d) 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 Delivered 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: CDF# (84.120A)  
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 - 84.120A  
550 12<sup>th</sup> 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

Minority Science and Engineering Improvement Program

(MSEIP)

Notice inviting applications for new awards for fiscal year  
(FY) 2008.

Catalog of Federal Domestic Assistance (CFDA) Number:

84.120A.

Dates:

Applications Available: April 22, 2008.

Deadline for Transmittal of Applications: May 22, 2008.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The MSEIP is designed to effect long-range improvement in science and engineering education at predominantly minority institutions and to increase the flow of underrepresented ethnic minorities, particularly minority women, into scientific and technological careers.

Priorities: In accordance with 34 CFR 75.105(b)(2)(iv), these priorities are from allowable activities specified in section 352 of the Higher Education Act of 1965, as amended (HEA) (20 U.S.C. 1067b(b)).

Competitive Preference Priorities: For FY 2008, three priorities are competitive preference priorities based on 34 CFR 637.31(c). Under 34 CFR 75.105(c)(2)(i) we award an additional five (5) points to an application that meets Competitive Preference Priority 1. Under 34 CFR 75.105(c)(2)(ii) we give preference to an application that meets Competitive Preference Priority 2 and Competitive Preference Priority 3 over an application of comparable merit that does not meet these priorities.

These priorities are:

Competitive Preference Priority 1. Applications from institutions that have not received a MSEIP grant within five years prior to this competition.

Competitive Preference Priority 2. Applications from previous grantees with a proven record of success.

Competitive Preference Priority 3. Applications that contribute to achieving balance among funded projects with respect to--(a) geographic region; (b) academic discipline; and (c) project type.

Invitational Priorities: For FY 2008, three priorities are invitational priorities. Under 34 CFR 75.105(c)(1) we do not give an application that meets these invitational priorities a competitive or absolute preference over other applications.

These priorities are:

Invitational Priority 1. Applications that focus on the development of bridge or articulation programs that target pre-freshmen entering into science, technology, engineering, or mathematics (STEM) fields.

Invitational Priority 2. Applications that focus directly on student learning and encourage and facilitate implementation of pedagogical approaches that have been proven effective in increasing student retention and achievement in STEM fields.

Invitational Priority 3. Applications that focus on mentoring programs designed to increase the number of underrepresented students who graduate with STEM undergraduate degrees.

Program Authority: 20 U.S.C. 1067-1067k.

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 637.

Note: The regulations in 34 CFR part 86 apply to institutions of higher education only.

## II. Award Information

Type of Award: Discretionary grant.

Estimated Available Funds: \$2,932,725.

Estimated Range of Awards: Institutional Project Grant: \$25,000-\$200,000. Special Project Grant: \$25,000-\$100,000. Cooperative Project Grant: \$100,000-\$300,000.

Estimated Average Size of Awards: Institutional Project Grant: \$120,000. Special Project Grant: \$50,000. Cooperative Project Grant: \$200,000.

Maximum Awards: Institutional Project Grant: \$200,000. Special Project Grant: \$100,000. Cooperative Project Grant: \$300,000. For each type of grant, we will not fund any application at an amount exceeding the specified maximum amount for a single budget period of 12 months. We may choose not to further consider or review applications with budgets that exceed the maximum amounts; if we conclude, during our initial review of the application, that the proposed goals and objectives cannot be obtained with the specified maximum amount. The Assistant Secretary for Postsecondary Education may change the maximum amounts through a notice published in the Federal Register.

Estimated Number of Awards: Institutional Project Grants: 10. Special Project Grants: 10. Cooperative Project Grants: 3.

Note: The Department is not bound by any estimates in this notice. Applicants should periodically check the MSEIP Web

site for further information on this program. The address is: <http://www.ed.gov/programs/idadesmsi/index.html>

Project Period: Up to 36 months.

### III. Eligibility Information

1. Eligible Applicants: The eligibility of an applicant is dependent on the type of MSEIP project. There are four types of MSEIP projects: institutional, design, special projects, and cooperative. We will not award design grants in the FY 2008 competition.

A. For institutional and special projects described in 34 CFR 637.12 through 637.14, eligible applicants include public and private nonprofit minority institutions of higher education as defined in section 361(1) and (2) of the HEA.

B. For special projects described in 34 CFR 637.14(b) and (c), eligible applicants are, in addition to those described in paragraph A, nonprofit science-oriented organizations, professional scientific societies, institutions of higher education that award baccalaureate degrees and meet the requirement of section 361(3) of the HEA, and consortia of organizations that meet the requirements of section 361(4) of the HEA.

C. For cooperative projects described in 34 CFR 637.15, eligible applicants are groups of nonprofit

accredited colleges and universities whose primary fiscal agent is an eligible minority institution as defined in 34 CFR 637.4(b).

Note: As defined in 34 CFR 637.4(b), a minority institution means an accredited college or university whose enrollment of a single minority group or a combination of minority groups exceeds 50 percent of the total enrollment.

2. Cost Sharing or Matching: This program does not require cost sharing or matching.

#### IV. Application and Submission Information

1. Address to Request Application Package: Dr. Bernadette M. Hence, Institutional Development and Undergraduate Education Service, U.S. Department of Education, 1990 K Street, NW., 6<sup>th</sup> floor, Washington, DC 20006-8517. Telephone: (202) 219-7038 or (202) 502-7777, by fax: (202) 502-7861, or by e-mail: Bernadette.Hence@ed.gov or OPE.MSEIP@ED.GOV.

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

Individuals with disabilities can obtain a copy of the application package in an 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 Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. We have established a mandatory page limit for the narrative portion for each type of project application. The page limits are as follows: Institutional Project Application: 40 pages. Special Projects Application: 35 pages. Cooperative Project Application: 50 pages. You must limit the application narrative (Part III) to the equivalent of no more than these page limits. You must use 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 a document identifier may be within the 1" margin.
- Double space (no more than three lines per vertical inch) all text in the application narrative, except titles, headings, footnotes, quotations, references, captions, and all text in charts, tables, and graphs.

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

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

The page limit does not apply to Part I, the Application for Federal Assistance face sheet (SF 424); the supplemental information form required by the Department of Education; Part II, the budget information summary form (ED Form 524); or Part IV, the assurances and certifications. The page limit also does not apply to a table of contents. If you include any attachments or appendices not specifically requested, these items will be counted as part of the Program Narrative (Part III) for purposes of the page limit requirement. You must include your complete response to the selection criteria in the program narrative.

We will reject your application if you exceed the page limit; or if you apply other standards and exceed the equivalent of the page limit.

### 3. Submission Dates and Times:

Applications Available: April 22, 2008.

Deadline for Transmittal of Applications: May 22, 2008.

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 in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 6. Other Submission Requirements in this notice.

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

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

Deadline for Intergovernmental Review: August 5, 2008.

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 reference regulations outlining funding restrictions in the Applicable Regulations section in 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 Minority Science and Engineering Improvement Program (MSEIP), CFDA Number 84.120A, must be submitted electronically using the Governmentwide 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 MSEIP 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 (e.g., search for 84.120, not 84.120A).

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 date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30:00 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not accept your application if it is received--that is date and time stamped by the Grants.gov system--after 4:30:00 p.m., Washington, DC time, on the application deadline date. We

do not consider an application that does not comply with the deadline requirements. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30:00 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 program 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 steps in the Grants.gov registration process (see [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp)). These steps include (1) registering your organization, a

multi-part process that includes registration with the Central Contractor Registry (CCR); (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 submit successfully an application via Grants.gov. In addition you will need to update your CCR registration on an annual basis. This may take three or more business days to complete.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information you typically provide on the following forms: Application for Federal 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 in this paragraph or submit a password-protected file, we will not review that material.

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

- After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. (This notification indicates receipt by Grants.gov only, not receipt by the Department.) The Department then will retrieve your application from Grants.gov and send a second notification to you by e-mail. This second notification indicates that the Department has received your application



and has assigned your application 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 experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

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 4:30:00 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 described elsewhere in this notice.

If you submit an application after 4:30:00 p.m., Washington, DC time, on the application deadline date, please contact the person listed under For Further Information Contact in section VII in this notice and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov

Support Desk Case Number. 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 4:30:00 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: The extensions to which we refer 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 application 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: Karen W. Johnson, U.S. Department of Education, 1990 K Street, NW., Washington, DC 20006-8517. FAX: (202) 502-7861.

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 84.120A)  
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 84.120A)  
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.
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

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

(1) A private metered postmark.

(2) A mail receipt that is not dated by the U.S. Postal Service.

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

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

c. Submission of Paper Applications by Hand Delivery.

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

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.120A)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

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

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

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

(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

#### V. Application Review Information

1. Selection Criteria: The selection criteria for this program are from 34 CFR 637.32 (a) through (j), and are as follows. Applicants must address each of the section criteria. The total weight of the selection criteria is 100 points; the weight of each criterion is noted in parentheses.

(a) Identification of need for the project (Total 10 points).

(b) Quality of key personnel (Total 5 points).

(c) Budget and cost effectiveness (Total 5 points).

(d) Evaluation plan (Total 10 points).

(e) Adequacy of resources (Total 5 points).

(f) Plan of operation (Total 15 points).

(g) Potential institutional impact of the project (Total 10 points).

(h) Institutional commitment to the project (Total 10 points).

(i) Expected Outcomes (Total 15 points).

(j) Scientific and educational value of the proposed project (Total 15 points).

2. Review and Selection Process: Additional factors we consider in selecting an application for an award are in 34 CFR 75.217.

Tiebreaker for Institutional, Special Project, and Cooperative Grants. If there are insufficient funds for all applications with the same total scores, applications will receive preference in the following order: first, applications that satisfy the requirement of Competitive Preference Priority 1; second, applications that satisfy the requirements of both Competitive Preference Priorities

2 and 3; and third, applications that satisfy the requirements of Competitive Preference Priority 2.

#### VI. Award Administration Information

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

If your application is not evaluated or not selected for funding, we 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 in this notice.

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

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance



report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to

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

4. Performance Measures: The Secretary has established the following key performance measures for assessing the effectiveness of the MSEIP program: (1) the percentage change in the number of full-time, degree-seeking minority undergraduate students at grantee institutions enrolled in the fields of engineering or physical or biological sciences, compared to the average minority enrollment in the same fields in the three-year period immediately prior to the beginning of the current grant; (2) the percentage of full-time undergraduate minority students who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same institution in the fields of engineering or physical or biological sciences; and (3)(a) in four-year grantee institutions, the percentage of minority students who enrolled in the fields of engineering or physical or biological sciences who

graduate within six years of enrollment; or (b) in two-year grantee institutions, the percentage of minority students enrolled in the fields of engineering or physical or biological sciences who graduate within three years of enrollment.

#### VII. Agency Contact

For Further Information Contacts: Karen W. Johnson, U.S. Department of Education, 1990 K Street, NW., 6<sup>th</sup> Floor, Washington, DC 20006-8517. Telephone: (202) 502-7642 or (202) 502-7777, by fax: (202) 502-7861, or by e-mail: Karen.Johnson@ed.gov or Dr. Bernadette M. Hence, U.S. Department of Education, 1990 K Street, NW., 6<sup>th</sup> Floor, Washington, DC 20006-8517. Telephone: (202) 219-7038 or (202) 502-7777, by fax (202) 502-7861, or by e-mail: Bernadette.Hence@ed.gov or OPE.MSEIP@ED.GOV.

If you use a TDD, call the FRS, toll free, at 1-800-877-8339.

#### VIII. Other Information

Alternative Format: Individuals with disabilities can obtain this document and a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the program contact persons listed under For Further Information Contact in Section VII in this notice.

Electronic Access to This Document: You can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site: [www.ed.gov/news/fedregister](http://www.ed.gov/news/fedregister)

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. 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: [www.gpoaccess.gov/nara/index.html](http://www.gpoaccess.gov/nara/index.html)

Dated:

/signed/  
Diane Auer Jones,  
Assistant Secretary for  
Postsecondary Education.

## **Authorizing Legislation**

### **Authorizing Legislation:**

**Title III, Part E, of the Higher Education Act of 1965, as amended:**

#### **PART E—MINORITY SCIENCE AND ENGINEERING IMPROVEMENT PROGRAM**

#### **SUBPART 1—MINORITY SCIENCE AND ENGINEERING IMPROVEMENT PROGRAM**

The legislative authorization for the Minority Science and Engineering Improvement Program is Title III, Part E, Subpart 1, Secs. 350-365 of the Higher Education Act of 1965, as amended. The legislative authorization can be downloaded from the following Web site: <http://www.ed.gov/programs/idadesmsi/legislation.html>.

# Code of Federal Regulations

## **[Code of Federal Regulations]**

[Title 34, Volume 3]

[Revised as of July 1, 2005]

From the U.S. Government Printing Office via GPO Access

[CITE: 34CFR637.1]

The Code of Federal Regulations governing the Minority Science and Engineering Improvement Program can be downloaded from the following Web site:

[http://www.access.gpo.gov/nara/cfr/waisidx\\_04/34cfr637\\_04.html](http://www.access.gpo.gov/nara/cfr/waisidx_04/34cfr637_04.html)

## **Intergovernmental Review State Single Points Of Contact**

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. This Order allows each state to designate an entity to perform this function.

Applicants must contact the appropriate State Single Point of Contact to find out about, and comply with, the State's process. A listing of the Single Point of Contact for each State may be viewed at:

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

States that are not listed on this link 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.

## 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.



# Government Performance and Results Act (GPRA)

## What is GPRA?

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

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

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

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

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

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

The performance indicators for the Minority Science and Engineering Improvement Program (MSEIP) are part of the Department's plan for meeting Goal 3. The Department's specific goal for this program is "to increase the participation of underrepresented ethnic minorities, particularly minority women, in scientific and technological careers".

## Performance Indicators for MSEIP

The following performance indicators are used to determine the effectiveness of MSEIP grants:

- 1) **Minority Enrollment in Science and Engineering:** the percentage change in the number of full-time, degree-seeking minority undergraduate students at grantee institutions enrolled in the fields of engineering or physical or biological sciences, compared to the average minority enrollment in the same fields in the three-year period immediately prior to the beginning of the current grant. (Source: IPEDS)
- 2) **Persistence of Minority Science and Engineering Undergraduates:** the percentage of full-time undergraduate minority students who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same institution in the fields of engineering or physical or biological sciences. (Source: APR)
- 3) **Graduation of Minority Science and Engineering Undergraduates:** a) in four-year grantee institutions, the percentage of minority students who enrolled in the fields of engineering or physical or biological sciences who graduate within six years of enrollment; or b) in two-year grantee institutions, the percentage of minority students enrolled in the fields of engineering or physical or biological sciences who graduate within three years of enrollment. (Source: IPEDS)

## Instructions for Completing the Application Package

**The MSEIP program application consists of four parts. 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:           U. S. Department of Education Budget Information for Non-Construction Programs (Section A- Budget Summary U.S. Department of Education Funds and Section B – Budget Summary Non-Federal Funds) (ED 524)

The “**U. S. Department of Education Budget Information for Non-Construction Programs**” (found in the Grants.gov application package) is where applicants provide budget information for Section A – Budget Summary U.S. Department of Education Funds and Section B – Budget Summary Non-Federal Funds Applicants should include costs for all project years. As noted below, Section C – Budget Narrative should be included in “Program Narrative Attachment Form,” located in Part III.

Part III:           ED Abstract Form  
                  Project Narrative Attachment Form  
                  Other Attachment Form

The “**ED Abstract Form**” (found in the Grants.gov application) is where applicants will attach a one page abstract narrative that will provide an overview of your proposed project. **Be sure to indicate which type of MSEIP grant you are applying for.**

The “**Project Narrative Attachment Form**” (found in the Grants.gov application) is where applicants will attach their narrative responses to the selection criteria that will be used to evaluate applications submitted for this competition. The Table of Contents should also be included in this section. (Applicants are not required to include a Table of Contents with their application). The “Budget Narrative” is part of the selection criteria and should be included in the “Program Narrative Attachment Form.”

The “**Other Attachments Form**” (found in the Grants.gov application package) is where applicants will attach the “MSEIP Eligibility Certification Form and the Letter(s) of Commitment.”

**Part IV: Assurances, Certifications, and Survey Forms**

All “Assurances, Certifications, and Survey Forms” **must be completed** and can be downloaded from the following Web site:

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

**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)**

**Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions (ED 80-0014)**

**Survey on Ensuring Equal Opportunity for Applicants**

**Instructions  
for  
STANDARD FORMS**

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 pre-applications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required 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.	<b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Pre-application</li> <li>• Application</li> <li>• Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.</li> </ul>	10.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the Federal agency from which assistance is being requested with this application.						
		11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.						
2.	<b>Type of Application: (Required) Select one type of application in accordance with agency instructions.</b> <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.               <table border="0" style="margin-left: 20px;"> <tr> <td>A. Increase Award</td> <td>B. Decrease Award</td> </tr> <tr> <td>C. Increase Duration</td> <td>D. Decrease Duration</td> </tr> <tr> <td colspan="2">E. Other (specify)</td> </tr> </table> </li> </ul>	A. Increase Award	B. Decrease Award	C. Increase Duration	D. Decrease Duration	E. Other (specify)		12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		A. Increase Award	B. Decrease Award						
		C. Increase Duration	D. Decrease Duration						
E. Other (specify)									
13.	<b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.								
14.	<b>Areas Affected By Project:</b> List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.								
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.						
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.								
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.	16.	<b>Congressional Districts Of:</b> (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5th <sup>th</sup> district, CA-012 for California 12 <sup>th</sup> district, NC-103 for North Carolina's 103 <sup>rd</sup> district. <ul style="list-style-type: none"> <li>• If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland.</li> <li>• If nationwide, i.e. all districts within all states are affected, enter US-all.</li> <li>• If the program/project is outside the US, enter 00-000.</li> </ul>						
5b.	<b>Federal Award Identifier:</b> For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.								
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.								
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.								
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.						
	<b>a. Legal Name:</b> (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the <a href="http://Grants.gov">Grants.gov</a> Web site.								
	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	<b>Estimated Funding:</b> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor.						

	<p><b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the <a href="http://Grants.gov">Grants.gov</a> Web site.</p> <p><b>d. Address:</b> Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p> <p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p> <p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>		<p>Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.</p>		
19.			<p><b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p>		
20.			<p><b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>		
9.	<p><b>Type of Applicant: (Required)</b>  <b>Select up to three applicant type(s) in accordance with agency instructions.</b></p> <table border="0" style="width: 100%;"> <tr> <td style="vertical-align: top; width: 50%;"> <ul style="list-style-type: none"> <li>A. State Government</li> <li>B. County Government</li> <li>C. City or Township Government</li> <li>D. Special District Government</li> <li>E. Regional Organization</li> <li>F. U.S. Territory or Possession</li> <li>G. Independent School District</li> <li>H. Public/State Controlled Institution of Higher Education</li> <li>I. Indian/Native American Tribal Government (Federally Recognized)</li> <li>J. Indian/Native American Tribal Government (Other than Federally Recognized)</li> <li>K. Indian/Native American Tribally Designated Organization</li> <li>L. Public/Indian Housing Authority</li> </ul> </td> <td style="vertical-align: top; width: 50%;"> <ul style="list-style-type: none"> <li>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</li> <li>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</li> <li>O. Private Institution of Higher Education</li> <li>P. Individual</li> <li>Q. For-Profit Organization (Other than Small Business)</li> <li>R. Small Business</li> <li>S. Hispanic-serving Institution</li> <li>T. Historically Black Colleges and Universities (HBCUs)</li> <li>U. Tribally Controlled Colleges and Universities (TCCUs)</li> <li>V. Alaska Native and Native Hawaiian Serving Institutions</li> <li>W. Non-domestic (non-US) Entity</li> <li>X. Other (specify)</li> </ul> </td> </tr> </table>	<ul style="list-style-type: none"> <li>A. State Government</li> <li>B. County Government</li> <li>C. City or Township Government</li> <li>D. Special District Government</li> <li>E. Regional Organization</li> <li>F. U.S. Territory or Possession</li> <li>G. Independent School District</li> <li>H. Public/State Controlled Institution of Higher Education</li> <li>I. Indian/Native American Tribal Government (Federally Recognized)</li> <li>J. Indian/Native American Tribal Government (Other than Federally Recognized)</li> <li>K. Indian/Native American Tribally Designated Organization</li> <li>L. Public/Indian Housing Authority</li> </ul>	<ul style="list-style-type: none"> <li>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</li> <li>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</li> <li>O. Private Institution of Higher Education</li> <li>P. Individual</li> <li>Q. For-Profit Organization (Other than Small Business)</li> <li>R. Small Business</li> <li>S. Hispanic-serving Institution</li> <li>T. Historically Black Colleges and Universities (HBCUs)</li> <li>U. Tribally Controlled Colleges and Universities (TCCUs)</li> <li>V. Alaska Native and Native Hawaiian Serving Institutions</li> <li>W. Non-domestic (non-US) Entity</li> <li>X. Other (specify)</li> </ul>	21.	<p><b>Authorized Representative:</b> (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.</p> <p>A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p>
<ul style="list-style-type: none"> <li>A. State Government</li> <li>B. County Government</li> <li>C. City or Township Government</li> <li>D. Special District Government</li> <li>E. Regional Organization</li> <li>F. U.S. Territory or Possession</li> <li>G. Independent School District</li> <li>H. Public/State Controlled Institution of Higher Education</li> <li>I. Indian/Native American Tribal Government (Federally Recognized)</li> <li>J. Indian/Native American Tribal Government (Other than Federally Recognized)</li> <li>K. Indian/Native American Tribally Designated Organization</li> <li>L. Public/Indian Housing Authority</li> </ul>	<ul style="list-style-type: none"> <li>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</li> <li>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</li> <li>O. Private Institution of Higher Education</li> <li>P. Individual</li> <li>Q. For-Profit Organization (Other than Small Business)</li> <li>R. Small Business</li> <li>S. Hispanic-serving Institution</li> <li>T. Historically Black Colleges and Universities (HBCUs)</li> <li>U. Tribally Controlled Colleges and Universities (TCCUs)</li> <li>V. Alaska Native and Native Hawaiian Serving Institutions</li> <li>W. Non-domestic (non-US) Entity</li> <li>X. Other (specify)</li> </ul>				

## INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

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

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

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

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

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

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

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

**3a . If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check “No” if some or all of the planned

research activities are covered (not exempt). In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the page entitled “Definitions for Department of Education Supplemental Information For SF 424

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

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

*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, DC 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12<sup>th</sup> Street, S.W. Room 7076, Washington, DC 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 sub-grant 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, DC 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education’s Protection of Human Subjects in Research Web Site: <http://www.ed.gov/about/offices/list/OCFO/humansub.html>*

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

## Instructions for ED 524

### General Instructions

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

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

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

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

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

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

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

### Indirect Cost Information:

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

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

### Section B - Budget Summary Non-Federal Funds

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

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

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

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

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

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

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.

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

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

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's Web site at:

[http://www.ed.gov/fund/grant/apply/appforms/appform\\_s.html](http://www.ed.gov/fund/grant/apply/appforms/appform_s.html).

You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

4. Provide other explanations or comments you deem necessary.

### **Paperwork Burden Statement**

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

you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202.

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

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

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

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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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

## Supplemental Information

### **General Information**

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

#### **A. Criteria for Funding**

All applications for grants under the Minority Science and Engineering Improvement Program (MSEIP) must include the MSEIP Eligibility Certification to be considered for funding. All applications are considered new submissions and evaluated using the selection criteria listed in the program regulations (34 CFR 637.32) and discussed in the next section of instructions.

#### **B. Length of New Award**

Applicants may apply for a maximum grant performance period up to 36 months in duration. Funding for the second and third performance periods are contingent upon additional funds being appropriated by Congress and the grantee making satisfactory progress.

#### **C. Evaluation of Applications for Awards**

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

#### **D. Selection of Grantees**

The Secretary will select an application for funding in rank order, based on the application’s total score for the selection criteria and competitive priority points. If there are insufficient funds to fund all applications with the same total score, the Secretary will choose among the tied applications so as to serve geographical areas and eligible populations that have been underserved by the MSEIP (34 CFR 637.31).

#### **E. Applicant Funding**

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

**F. Notice to Successful Applicants**

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

**G. Notice to Unsuccessful Applicants**

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



## Instructions for Program Narrative

Applicants will attach the program narrative to the “Project Narrative Attachment Form.”

### Formatting

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, except titles, headings, footnotes, quotations, references, captions and all text in charts, tables, and graphs. 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. Use not less than a 12-point font.

### Program Narrative Attachment Form and Page Limit

The page limit for the “Program Narrative Attachment Form” for each grant type is specified in the Federal Register notice.

#### **The page limit does not apply to:**

Application for Federal Assistance (SF 424)

Department of Education Supplemental Information for SF 424

U. S. Department of Education Budget Information for Non-Construction Programs (ED 524)

Abstract

Table of Contents (optional)

MSEIP Eligibility Certification Form

ED GEPA 427 Form

Assurance for Non-construction Programs (SF 424B)

Grants.gov Lobbying Form (formerly Certification Regarding Lobbying (ED 90-0013))

Disclosure of Lobbying Activities (SF-LLL)

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions (ED 80-0014)

Survey on Ensuring Equal Opportunity for Applicants

Before preparing the program narrative, applicants should review the Dear Applicant letter, the Federal Register notice, program statute, and program regulations for specific guidance and requirements. Note that applications will be evaluated according to the specific selection criteria specified in the Federal Register notice and this package.

The Secretary evaluates an application on the basis of the broad criteria in 34 CFR 637.32 of the MSEIP regulations as identified in this application (see “Authorizing Legislation and Regulations”). The Program Narrative should provide, in detail, the information that addresses

each selection criteria. The maximum possible score for each category of selection criterion is indicated in parenthesis in the Federal Register notice.

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

- (a) Identification of need for the project
- (b) Plan of operation
- (c) Quality of key personnel
- (d) Budget and cost effectiveness
- (e) Evaluation plan
- (f) Adequacy of resources
- (g) Potential institutional impact of the project
- (h) Institutional commitment to the project
- (i) Expected outcomes
- (j) Scientific & educational value of the proposed project

**The following guidance may assist you in addressing each of the selection criteria:**

(a) Identification of need

Describe the assessment that indicated a need for the project. What specific needs in science and engineering resulted from the assessment? Describe the individuals who were involved in identifying the institutional need, especially science faculty or community representatives.

(b) Plan of operation

Describe the project design. Provide a clear description of how the project objectives relate to the purpose of the program. Discuss the plan for managing the grant that ensures proper and efficient administration of the project, including methods of coordination across organizational units. Describe how resources and personnel will be used to achieve each of the project objectives.

(c) Quality of key personnel

Describe the qualifications for the project director and the qualifications of other key personnel to be used in the project. Include any evidence of past experience and training, in fields related to the objectives of the project, as well as other relevant information. Indicate the required time commitment of the project director and key personnel. The applicant should explain, as part of its nondiscriminatory employment practices, how it encourages applications for employment from persons who are members of groups that have been traditionally underrepresented, such as members of a racial or ethnic minority group, women, handicapped person, and the elderly. A restatement of the criteria will not be considered an adequate response.

(d) Budget and cost effectiveness

Prepare a separate, detailed, budget narrative for each proposed activity for each year you are requesting grant funds. Demonstrate and justify that all costs are reasonable in today's market and necessary to accomplish your activity objectives. Please pay particular attention in your justification to those (per item) costs exceeding \$25,000, excluding salaries and fringe benefits. For each activity, provide itemized costs (in dollars), and narrative justification to support your request for:

- Personnel
- Travel
- Equipment
- Supplies
- Contractual
- Indirect Costs
- Other
- Total

You must provide details so we can determine if the costs are allowable, necessary and reasonable. Discuss the budget in detail. Explain how the budget was determined and its adequacy to support the activities of the project and its cost effectiveness. Show how the costs are reasonable in relation to the project objectives. Note: Check all combined totals for the proposed activity budget(s) and compare it to the total on the ED Form 524. The totals should match.

(e) Evaluation plan

Describe the methods of evaluation. Present a proposed timetable for conducting evaluations. Discuss the data that will result from the planned assessment of the project and the use of evaluation results. A strong evaluation plan should be included and should be used, as appropriate, to shape the development of the project from the beginning of the grant period.

The evaluation plan should not only include formative and summative measures, but also, address the use of appropriate controls and techniques that provide for independent evaluation. The use of an outside evaluator is not required.

(f) Adequacy of resources

Explain what resources the applicant plans to use in accomplishing the project objectives. Describe specific resources, equipment, and supplies the applicant will use in the project.

(g) Potential institutional impact

**FOR INSTITUTIONAL/COOPERATIVE PROJECTS:** Explain how the proposed project will expand or strengthen the established program(s) in relation to the identified needs.

**FOR SPECIAL PROJECTS:** Explain how an established or existing institutional science program takes a new or exemplary approach toward improving the interest, entrance and

performance of minority students in science or engineering. Explain how the proposed project will improve the institutions approach and handling of minority students, especially women, entering science and math programs.

(h) Institutional commitment to the project

Describe the plans for continuing activities after funding ceases. Project a clear indication of how the after-the-grant burden will be absorbed into regular operations of the institution. Provide a letter of commitment from the institution's president or CEO or Dean in the "Other Attachment Form" discussed in earlier instructions, found in Part III.

(i) Expected outcomes

Discuss the assessed likelihood that the expected outcomes will be achieved as a result of the project. Explain the anticipated benefits for minority students, especially women, who participate in the program. Describe the possibility of long-term benefits to participating students, the faculty and the institution resulting from successful completion of the grant.

(j) Scientific and educational value of the proposed project

Provide information that explains the relationship of the proposed project to the present state of science education and how science education for minority students particularly women will improve. Provide how the project will contribute to the development of effective techniques and approaches to science education and the potential uses of the project at other institutions.

# Instructions for Budget Summary Form

**NOTE:** Applicants must submit (1) a budget information form to categorize requested funds (ED Form 524), **and** (2) a detailed budget narrative.

**The budget summary** is to be included on the “Budget Information – Non-Construction Programs (ED Form 524).”

**Both the detailed itemized budget AND budget narrative (budget notes),** should be included in “Program Narrative Attachment Form” as part of the **BUDGET selection criterion.**

This section requests information on the applicant’s financial plan for carrying out the project. Both the Federal and non-Federal shares are to be included on both the summary form (ED Form 524) and the itemized budget.

For this competition, applicants may receive funding for up to three years. The Department is requesting that you complete the Budget Summary Form (ED Form 524) for the total grant period requested and provide **a comprehensive and detailed budget narrative.** The funding level for the first year is stipulated in the “Maximum Award Section” of the Closing Date Notice.

The budget must include all costs that are allowable, reasonable and necessary for carrying out the objectives of the MSEIP project. Among the costs that may be supported with grant funds are:

1. **Personnel:** On line 1 (ED Form 524), enter only the project personnel salaries and wages. [Fees and expenses for consultants should be included on line 8.] The budget should include the total commitment of time and the total salary to be charged to the project for each key staff member. You should provide a breakdown of project personnel that includes: the position titles; the percent of time and number of months committed to the project for each key staff member; the salary for each key staff member; and the total salary costs to be charged to the grant.
2. **Fringe Benefits:** On line 2 (ED Form 524), enter the amount of fringe benefits. The institution’s normal fringe benefit contribution may be charged to the program. Leave this blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect costs. In the budget, include an explanation and appropriate justification if the institution’s normal fringe benefit contribution exceeds 20 percent of salaries.
3. **Travel:** On line 3 (ED Form 524), provide the costs for travel. [Consultants’ travel should be included on line 8.] In the budget, you should detail the proposed travel costs: for each trip explain the purpose and objective of the travel and provide the number of persons traveling. Transportation costs should not exceed tourist class

airfare. For automobile mileage, the established institution rate should be used. Reimbursement is allowed for taxicab, bus, train, or limousine transportation. Per diem at the established institution rate is permitted when an individual is away from home overnight on official project business (see OMB Circular A-21, J.48.c - Commercial Air Travel). No foreign travel will be authorized under the grant. All travel must be related to the project's overall purpose and proposed activities.

4. Equipment: On line 4 (ED Form 524), indicate the cost of equipment -- non-expendable personal property, which has a usefulness of greater than one year and an acquisition cost of \$5,000 or more per unit. [Consistent with an applicant's policy, a lower dollar amount may be used to define equipment.] In the budget, explain why the requested equipment is necessary to carry out project activities, and include a list of all equipment in the following format: item, quantity, cost per unit, and total cost.
5. Supplies: On line 5 (ED Form 524), include the costs of all tangible personal property that was not included as "equipment" on line 4. In the budget, provide an itemized list of the supplies.
6. Contractual: Not applicable. Leave blank.
7. Construction: Not applicable. Leave blank.
8. Other: On line 8 (ED Form 524), indicate all direct costs not covered on lines 1 through 5. The costs/fees for consultants and consultants' travel should be included here. Examples of "other" costs are: equipment rental, required fees, communications, rental of space, utilities, custodial services, and printing costs. In the budget, provide a breakdown of all direct costs not clearly covered by other budget categories.

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

9. Total Direct Costs: On line 9 (ED Form 524), provide the total direct costs requested -- the sum of lines 1 through 8.
10. Indirect Costs: On line 10 (ED Form 524), provide the amount of indirect costs that you propose to charge against the grant.

Some or all of the grants awarded under the Minority Science and Engineering Improvement Program (84.120A) are designated training grants. The Education Department Administrative Regulations (EDGAR) of the Department of Education (ED) limits reimbursement to grantees for indirect costs they incur under training grants to the grantee's actual indirect costs as determined by the grantee's negotiated indirect cost agreement or a maximum of 8% of a modified total direct cost base, **whichever is less**.

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

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

11. Training Stipends: On line 11(ED 524), provide the amount you are requesting. This grant does not support scholarships.
12. Total Costs: On line 12 (ED Form 524), provide the total amount that you are requesting (the sum of lines 9 and 10). Note: This amount should also be the same as that shown as 14a on the application face sheet (SF 424).

# Instructions for Completing the MSEIP Eligibility Certification Form

**INSTRUCTIONS:** All applicants must complete the eligibility certification.

Copy the Eligibility Certification document. **DO NOT MODIFY OR CHANGE THE CONTENTS IN ANY WAY.** Complete the Eligibility Certification document following the instructions below, and attach this document into the “Other Attachments Form” found in the Application Package on Grants.gov.

## **TYPE OF ELIGIBILITY**

All applicants must meet the criteria for eligibility as outlined for their type of organization. Check the appropriate box that identifies your organization.

## **IDENTIFICATION OF MSEIP PROJECT**

Select the type of MSEIP project for this application.

## **ACADEMIC DISCIPLINE**

- a. Identify all academic disciplines that this MSEIP project will address.
- b. If the academic discipline is not listed in the Academic Discipline Table, please fill-in the academic discipline.

## **SUPPORTING DATA**

Applicants should complete this section based on their response to Question 1 (above) Under TYPE OF ELIGIBILITY:

- If you selected “1a”, please complete Question 4a.
- If you selected “1b”, please complete Question 4B.
- If you selected “1c”, please complete Question 4c.
- If you selected “1d”, please complete Question 4d.

## **CALCUATING ENROLLMENT DATA**

Lines 1-7 – Enter the student enrollment number for each ethnic group for the academic period (July 1, 2006 – June 30, 2007).

Line 8 - Add lines 1-7 and enter the total student enrollment.

Line 9 – Enter the reference/source used to support the data used to complete the enrollment data.

Line 10 – Add lines 1-4 and enter the total minority enrollment.

## **CALULATING PERCENT OF MINORITY ENROLLMENT**

DIVIDE the Total Minority Enrollment by the Total Enrollment and MULTIPLY by 100.



For example, if your total minority enrollment = 600 and total student enrollment = 1000, then the calculation would be  $(600 \div 1000) \times 100 = .60 \times 100 = 60\%$ .

Calculate the percent for each ethnic group and enter that number on the appropriate line.

Add the calculated percentage for each line to get the total enrollment percentage for your institution and enter on Line 10.

If applicable, provide the Partner Institution or the Service Institution information. Use an additional sheet to provide information on additional partners and attach with this form. This form may be duplicated.

## MINORITY SCIENCE AND ENGINEERING IMPROVEMENT PROGRAM ELIGIBILITY CERTIFICATION FORM

Please copy the MSEIP Eligibility Certification Form. **DO NOT MODIFY OR CHANGE THE CONTENTS.** After completing this form, attach this document into the “Other Attachments Form” found in the Application Package on Grants.gov.

**1. Please select one of the four types of applicant criteria qualifying you to apply for this grant.**

- a.  A public and private, nonprofit minority institution of higher education that awards baccalaureate degrees and qualifies as a minority institution as defined in 637.4.  
**[Provide the supporting data for Question 5.]**
- b.  A public or private nonprofit institution of higher education that: awards associate degrees and qualifies as a minority institution as defined in Section 365 of the Higher Education Act of 1969, as amended ; has a curriculum that includes science or engineering subjects; and enters into a partnership with public or private nonprofit institutions of higher education that award baccalaureate degrees in science and engineering.  
**[Provide the supporting data for Question 6.]**
- c.  A nonprofit science-oriented organization, professional scientific society, and institution of higher education that awards baccalaureate degrees that-provide a needed service to a group of minority institutions; or provide in-service training to project directors, scientists, and engineers from minority institutions.  
**[Provide the supporting data for Question 7.]**
- d.  A consortia of organizations, that provide needed services to one or more minority institutions. The consortia membership may include: institutions of higher education which have a curriculum in science or engineering; institutions of higher education that have a graduate or professional program in science or engineering; research laboratories of, or under contract with, the Department of Energy; private organizations that have science or engineering facilities; or quasi-governmental entities that have a sufficient scientific or engineering mission.  
**[Provide the supporting data for Question 8.]**

**2. Please select the type of MSEIP project you are applying for:**

- a.  Institutional Project
- b.  Special Project
- c.  Cooperative Project

3. Please select the academic discipline(s) that this MSEIP project will address from the table below.

**ACADEMIC DISCIPLINE TABLE**

SCIENCE		PHYSICAL SCIENCES		ENGINEERING		ENGINEERING TECHNOLOGY	
Agricultural sciences	<input type="checkbox"/>	Astronomy	<input type="checkbox"/>	Chemical engineering	<input type="checkbox"/>	Civil Egr. Technology	<input type="checkbox"/>
Biological sciences	<input type="checkbox"/>	Chemistry	<input type="checkbox"/>	Civil engineering	<input type="checkbox"/>	Mechanical Egr. Technology	<input type="checkbox"/>
Computer sciences	<input type="checkbox"/>	Physics	<input type="checkbox"/>	Electrical engineering	<input type="checkbox"/>	Other Technology	<input type="checkbox"/>
Earth, atmospherics, and ocean sciences	<input type="checkbox"/>	Other physical sciences:	<input type="checkbox"/>	Mechanical engineering	<input type="checkbox"/>		
Mathematical sciences	<input type="checkbox"/>			Other engineering	<input type="checkbox"/>	BEHAVIORAL/SOCIAL SCIENCES	
						Psychology	<input type="checkbox"/>
						Social Sciences	<input type="checkbox"/>

4. Other Discipline (overlapping areas among two or more sciences), Technology, or Engineering:

\_\_\_\_\_

5. Please provide the supporting data for the applicant eligibility criteria based on your response to Question 1a.

- a. Please provide the enrollment figures of the qualifying minority institution.

**Enrollment figures should be based on enrollment from July 1 –2006 through June 30, 2007 and must be verifiable and should include full-time and part-time students in credit and non-credit courses.**

**ENROLLMENT TABLE**

Number of students enrolled by ethnic group	Ethnic Groups	
	AMERICAN INDIAN OR ALASKA NATIVE	{LINE 1}
	BLACK (NOT HISPANIC ORIGIN)	{LINE 2}
	HISPANIC (INCLUDING PERSONS OF MEXICAN, PUERTO RICAN, CUBAN, AND CENTRAL OR SOUTH AMERICAN ORIGIN)	{LINE 3}
	NATIVE HAWAIIAN OR PACIFIC ISLANDER	{LINE 4}
	ASIAN	{LINE 5}
	WHITE	{LINE 6}
	OTHER	{LINE 7}

**Total Enrollment {LINE 8}**

\_\_\_\_\_

SOURCE OF DATA:
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{LINE 9}

	TOTAL MINORITY ENROLLMENT {LINE 10} ADD LINES (1) + (2) + (3) + (4)
--	--

**b. Please calculate the percentage of minority enrollment.**

$$\frac{\text{TOTAL MINORITY ENROLLMENT (LINE 10)}}{\text{TOTAL ENROLLMENT (LINE 8)}} \times 100 = \text{TOTAL \% OF MINORITY ENROLLMENT}$$

**SUPPORTING DATA FOR APPLICANTS SELECTING “1b”.**

**6. Please provide the enrollment figures of the qualifying minority institution.**

**ENROLLMENT TABLE**

Enrollment figures should be based on enrollment from <i>July 1 –2006 through June 30, 2007</i> and <i>must</i> be verifiable and should include full-time and part-time students in credit and non-credit courses.
---

Number of students enrolled by ethnic group	Ethnic Groups	
	AMERICAN INDIAN OR ALASKA NATIVE	{LINE 1}
	BLACK (NOT HISPANIC ORIGIN)	{LINE 2}
	HISPANIC (INCLUDING PERSONS OF MEXICAN, PUERTO RICAN, CUBAN, AND CENTRAL OR SOUTH AMERICAN ORIGIN)	{LINE 3}
	NATIVE HAWAIIAN OR PACIFIC ISLANDER	{LINE 4}
	ASIAN	{LINE 5}
	WHITE	{LINE 6}
	OTHER	{LINE 7}

**\_\_\_\_\_ Total Enrollment {LINE 8}**

<b>SOURCE OF DATA:</b> {LINE 9}
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	<b>TOTAL MINORITY ENROLLMENT {LINE 10}</b> ADD (1) + (2) + (3) + (4)
--	---

a. Please calculate the percentage of minority enrollment.

$$\frac{\text{TOTAL MINORITY ENROLLMENT (LINE 10)}}{\text{TOTAL ENROLLMENT (LINE 8)}} \times 100 = \text{TOTAL \% OF MINORITY ENROLLMENT}$$

b. List the name(s) of partnering public or private nonprofit institutions of higher education that award baccalaureate degrees in science and engineering:

Partner Institution:

<b>Institution:</b>		
<b>Contact Name:</b>		
<b>Title of Contact Person</b>		
<b>Mailing Address:</b>		
<b>City:</b>	<b>State:</b>	<b>Zip:</b>
<b>Email:</b>	<b>Phone:</b>	<b>Fax:</b>

c. Please provide the evidence of this partnership under “Other Attachment” in Grants.gov.

**SUPPORTING DATA FOR APPLICANTS SELECTING “1c.”**

7. Provide the contact information for each minority institution that will receive services.  
[Applicants must provide services to at least two minority institutions.]

MINORITY INSTITUTION 1:

<b>Institution:</b>		
<b>Contact Name:</b>		
<b>Title of Contact Person</b>		
<b>Mailing Address:</b>		
<b>City:</b>	<b>State:</b>	<b>Zip:</b>
<b>Email:</b>	<b>Phone:</b>	<b>Fax:</b>

- a. Please provide the enrollment figures for the qualifying minority institution listed under Minority Institution 1.

Enrollment figures should be based on enrollment from *July 1 –2006 through June 30, 2007* and *must* be verifiable and should include full-time and part-time students in credit and non-credit courses.

**ENROLLMENT TABLE – MINORITY INSTITUTION 1**

Number of students enrolled by ethnic group	Ethnic Groups	
	AMERICAN INDIAN OR ALASKA NATIVE	<i>{LINE 1}</i>
	BLACK (NOT HISPANIC ORIGIN)	<i>{LINE 2}</i>
	HISPANIC (INCLUDING PERSONS OF MEXICAN, PUERTO RICAN, CUBAN, AND CENTRAL OR SOUTH AMERICAN ORIGIN)	<i>{LINE 3}</i>
	NATIVE HAWAIIAN OR PACIFIC ISLANDER	<i>{LINE 4}</i>
	ASIAN	<i>{LINE 5}</i>
	WHITE	<i>{LINE 6}</i>
	OTHER	<i>{LINE 7}</i>

**Total Enrollment *{LINE 8}***

**SOURCE OF DATA:**  
*{LINE 9}*

	<b>TOTAL MINORITY ENROLLMENT <i>{LINE 10}</i></b> ADD LINES (1) + (2) + (3) + (4)
--	--

- b. Please calculate the percentage of minority enrollment.

$$\frac{\text{TOTAL MINORITY ENROLLMENT } \{LINE 10\}}{\text{TOTAL ENROLLMENT } \{LINE 8\}} \times 100 = \text{TOTAL \% OF MINORITY ENROLLMENT}$$

- c. Please provide the enrollment figures for the qualifying minority institution listed under Minority Institution 2.

**MINORITY INSTITUTION 2:**

<b>Institution:</b>		
<b>Contact Name:</b>		
<b>Title of Contact Person</b>		
<b>Mailing Address:</b>		
<b>City:</b>	<b>State:</b>	<b>Zip:</b>
<b>Email:</b>	<b>Phone:</b>	<b>Fax:</b>

d. Please provide the enrollment figures of students for the qualifying minority institution listed under Minority Institution 2.

Enrollment figures should be based on enrollment from *July 1 –2006 through June 30, 2007* and *must* be verifiable and should include full-time and part-time students in credit and non-credit courses.

**ENROLLMENT TABLE – MINORITY INSTITUTION 2**

Number of students enrolled by ethnic group	Ethnic Groups	
	AMERICAN INDIAN OR ALASKA NATIVE	<i>{LINE 1}</i>
	BLACK (NOT HISPANIC ORIGIN)	<i>{LINE 2}</i>
	HISPANIC (INCLUDING PERSONS OF MEXICAN, PUERTO RICAN, CUBAN, AND CENTRAL OR SOUTH AMERICAN ORIGIN)	<i>{LINE 3}</i>
	NATIVE HAWAIIAN OR PACIFIC ISLANDER	<i>{LINE 4}</i>
	ASIAN	<i>{LINE 5}</i>
	WHITE	<i>{LINE 6}</i>
	OTHER	<i>{LINE 7}</i>

**Total Enrollment *{LINE 8}***

**SOURCE OF DATA:**  
*{LINE 9}*

	<b>TOTAL MINORITY ENROLLMENT <i>{LINE 10}</i></b> ADD LINES (1) + (2) + (3) + (4)
--	--

e. Please calculate the percentage of minority enrollment.

$$\frac{\text{TOTAL MINORITY ENROLLMENT } \{LINE 10\}}{\text{TOTAL ENROLLMENT } \{LINE 8\}} \times 100 = \text{TOTAL \% OF MINORITY ENROLLMENT}$$

**SUPPORTING DATA FOR APPLICANTS SELECTING “d”.**

8. Please provide the contact information and member type for each consortia of organization.

**Contact Information**

<b>Organization Name</b>		
<b>Contact Name:</b>		
<b>Title of Contact Person</b>		
<b>Mailing Address:</b>		
<b>City:</b>	<b>State:</b>	<b>Zip:</b>
<b>Email:</b>	<b>Phone:</b>	<b>Fax:</b>

a. Please select membership type for the consortia organization listed above.

**Memberships Type**

<input type="checkbox"/>	(1) institutions of higher education which have a curriculum in science or engineering;
<input type="checkbox"/>	(2) institutions of higher education that have a graduate or professional program in science or engineering;
<input type="checkbox"/>	(3) research laboratories of, or under contract with, the Department of Energy;
<input type="checkbox"/>	(4) private organizations that have science or engineering facilities; or
<input type="checkbox"/>	(5) Quasi-governmental entities that have a sufficient scientific or engineering mission.

b. Please provide the enrollment figures of students for the qualifying minority institution listed under Minority Institution 1

**MINORITY INSTITUTION 1:**

<b>Institution:</b>		
<b>Contact Name:</b>		
<b>Title of Contact Person</b>		
<b>Mailing Address:</b>		
<b>City:</b>	<b>State:</b>	<b>Zip:</b>
<b>Email:</b>	<b>Phone:</b>	<b>Fax:</b>



c. Please provide the enrollment figures for the minority institution that will receive the needed services.

Enrollment figures should be based on enrollment from *July 1 –2006 through June 30, 2007* and must be verifiable and should include full-time and part-time students in credit and non-credit courses.

Number of students enrolled by ethnic group	Ethnic Groups	
	AMERICAN INDIAN OR ALASKA NATIVE	<i>{LINE 1}</i>
	BLACK (NOT HISPANIC ORIGIN)	<i>{LINE 2}</i>
	HISPANIC (INCLUDING PERSONS OF MEXICAN, PUERTO RICAN, CUBAN, AND CENTRAL OR SOUTH AMERICAN ORIGIN)	<i>{LINE 3}</i>
	NATIVE HAWAIIAN OR PACIFIC ISLANDER	<i>{LINE 4}</i>
	ASIAN	<i>{LINE 5}</i>
	WHITE	<i>{LINE 6}</i>
	OTHER	<i>{LINE 7}</i>

**Total Enrollment *{LINE 8}***

**SOURCE OF DATA:**

*{LINE 9}*

	<b>TOTAL MINORITY ENROLLMENT <i>{LINE 10}</i></b> ADD LINES (1) + (2) + (3) + (4)
--	--

d. Please calculate the percentage of minority enrollment.

$$\frac{\text{TOTAL MINORITY ENROLLMENT } \{LINE 10\}}{\text{TOTAL ENROLLMENT } \{LINE 8\}} \times 100 = \text{TOTAL \% OF MINORITY ENROLLMENT}$$

**Note:** Use an additional sheet to provide information on additional partners and attach with this form.

**WARNING:** Any person who knowingly makes a false statement or misrepresentation on this form is subject to penalties, which may include fines, imprisonment, or both, under the United States Criminal Code and 20 U.S.C. 1097

# FORMS

**Application for Federal Assistance SF-424**

Version 02

- \*1. Type of Submission:                      \*2. Type of Application      \* If Revision, select appropriate letter(s)
- Preapplication                               New
- Application                                       Continuation                      \*Other (Specify)
- Changed/Corrected Application       Revision                      \_\_\_\_\_

3. Date Received:                              4. Applicant Identifier:
- 5a. Federal Entity Identifier:                              \*5b. Federal Award Identifier:

**State Use Only:**

6. Date Received by State:                              7. State Application Identifier:

**8. APPLICANT INFORMATION:**

- \*a. Legal Name:
- \*b. Employer/Taxpayer Identification Number (EIN/TIN):                              \*c. Organizational DUNS:

**d. Address:**

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

**e. Organizational Unit:**

- Department Name:                              Division Name:

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

- Prefix: \_\_\_\_\_                              \*First Name: \_\_\_\_\_
- Middle Name: \_\_\_\_\_
- \*Last Name: \_\_\_\_\_
- Suffix: \_\_\_\_\_
- Title:
- Organizational Affiliation:
- \*Telephone Number:                              Fax Number:
- \*Email:

**Application for Federal Assistance SF-424**

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

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\*Other (Specify)

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

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

\_\_\_\_\_

CFDA Title:

\_\_\_\_\_

**\*12 Funding Opportunity Number:**

\_\_\_\_\_

\*Title:

\_\_\_\_\_

**13. Competition Identification Number:**

\_\_\_\_\_

Title:

\_\_\_\_\_

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

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

16. Congressional Districts Of:

\*a. Applicant:

\*b. Program/Project:

17. Proposed Project:

\*a. Start Date:

\*b. End Date:

18. Estimated Funding (\$):

\*a. Federal

\*b. Applicant

\*c. State

\*d. Local

\*e. Other

\*f. Program Income

\*g. TOTAL

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

- a. This application was made available to the State under the Executive Order 12372 Process for review on \_\_\_\_\_
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E. O. 12372

\*20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)

- Yes       No

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

\*\* I AGREE

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

Authorized Representative:

Prefix: \_\_\_\_\_

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

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

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

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

\*Title:

\*Telephone Number:

Fax Number:

\* Email:

\*Signature of Authorized Representative:

\*Date Signed:

**Application for Federal Assistance SF-424**

Version 02

**\*Applicant Federal Debt Delinquency Explanation**

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

**SUPPLEMENTAL INFORMATION REQUIRED FOR DEPARTMENT OF EDUCATION**

**1. Project Director:**

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

Address:

\* Street1:   
Street2:   
\* City:   
County:   
\* State       \* Zip Code:       \* Country:

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

Email Address:

**2. Applicant Experience:**

Novice Applicant                    
   Yes      No      Not applicable to this program

**3. Human Subjects Research:**

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

       
Yes      No

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

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

Please attach an explanation Narrative:

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**ASSURANCES - NON-CONSTRUCTION PROGRAMS**

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

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

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

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

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.



9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, AAudits of States, Local Governments, and Non-Profit Organizations.≡
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

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



**U.S. DEPARTMENT OF EDUCATION  
BUDGET INFORMATION  
NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1890-0004  
Expiration Date: 10-31-2007

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY**  
U.S. DEPARTMENT OF EDUCATION FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs*						
11. Training Stipends						
12. Total Costs (lines 9-11)						

**\*Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

- (1) Do you have an Indirect Cost Rate Agreement approved by the Federal government?  Yes  No
- (2) If yes, please provide the following information:  
 Period Covered by the Indirect Cost Rate Agreement: From: \_\_\_/\_\_\_/\_\_\_\_\_ To: \_\_\_/\_\_\_/\_\_\_\_\_ (mm/dd/yyyy)  
 Approving Federal agency:  ED  Other (please specify): \_\_\_\_\_
- (3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:  
 Is included in your approved Indirect Cost Rate Agreement? or  Complies with 34 CFR 76.564(c)(2)?

Name of Institution/Organization	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.
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**SECTION B - BUDGET SUMMARY  
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (Lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (Lines 9-11)						

**SECTION C – BUDGET NARRATIVE** (see instructions)

## CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans and Cooperative Agreements.

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

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

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

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

Statement for Loan Guarantees and Loan Insurance.

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

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

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

# Survey on Ensuring Equal Opportunity for Applicants

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

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

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

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

**Applicant's (Organization) Name:** \_\_\_\_\_

**Applicant's DUNS Number:** \_\_\_\_\_

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

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

Yes  No

2. Is the applicant a faith-based organization?

Yes  No

3. Is the applicant a secular organization?

Yes  No

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

Yes  No

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

Yes  No

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

3 or Fewer  15-50  
 4-5  51-100  
 6-14  over 100

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

Less Than \$150,000  
 \$150,000 - \$299,999  
 \$300,000 - \$499,999  
 \$500,000 - \$999,999  
 \$1,000,000 - \$4,999,999  
 \$5,000,000 or more

## Survey Instructions on Ensuring Equal Opportunity for Applicants

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

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

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 1890-0014. The time required to complete this information collection is estimated to average five (5) 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 time estimate(s) or suggestions for improving this form, please write to:** The Agency Contact listed in this grant application package.

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

### Paperwork Burden Statement

**Disclosure of Lobbying Activities**

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

<p>1. Type of Federal Action:  a. contract  _____ b. grant  c. cooperative agreement  d. loan  e. loan guarantee  f. loan insurance</p>	<p>2. Status of Federal Action:  a. bid/offer/application  _____ b. initial award  c. post-award</p>	<p>3. Report Type:  a. initial filing  _____ b. material change</p> <p>For material change only:  Year _____ quarter _____  Date of last report _____</p>
<p>4. Name and Address of Reporting Entity:  _____ Prime _____ Subawardee  Tier _____, if Known:</p> <p>Congressional District, if known:</p>		<p>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</p> <p>Congressional District, if known:</p>
<p>6. Federal Department/Agency:</p>	<p>7. Federal Program Name/Description:</p> <p>CFDA Number, if applicable: _____</p>	
<p>7. Federal Action Number, if known:</p>	<p>9. Award Amount, if known:  \$ _____</p>	
<p>10. a. Name and Address of Lobbying Registrant  (if individual, last name, first name, MI):</p>	<p>b. Individuals Performing Services (including address if different from No. 10a)  (last name, first name, MI):</p>	
<p>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>	<p>Signature: _____  Print Name: _____  Title: _____  Telephone No.: _____ Date: _____</p>	
<p><b>Federal Use Only</b></p>	<p><b>Authorized for Local Reproduction  Standard Form - LLL (Rev. 7-97)</b></p>	

# 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:**
- U. S. Department of Education Budget Information for Non-Construction Programs (ED 524)
    - Section A- Budget Summary U.S. Department of Education Funds
    - Section B – Budget Summary Non-Federal Funds

- Part III:**
- ED Abstract Form
    - Attach Abstract
  - Project Narrative Attachment Form
    - Attach Table of Contents (optional), and
    - Responses to selection criteria (including Budget Narrative)
  - Other Attachment Form
    - Attach MSEIP Eligibility Certification Form

**Part IV: Assurances, Certifications, and Survey Form**

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)
- Survey on Ensuring Equal Opportunity for Applicants