

# Archived Information

## European Union-United States Atlantis Program

Fiscal Year 2009

**APPLICATION FOR GRANTS  
(CFDA NUMBER: 84.116J)**

**U.S. DEPARTMENT OF EDUCATION  
Fund for the Improvement of Postsecondary Education  
Washington, DC 20006-8544**

**CLOSING DATE: March 23, 2009**



**Forms Approved: OMB No. 1840-0636, Expiration Date: 11/30/2009  
and OMB No. 1840-0785, Expiration Date: 06/30/2009**



# Table of Contents

Dear Applicant: .....	4
<b>1. Introduction</b> .....	5
<b>2. What are the objectives of Atlantis?</b> .....	7
<b>3. What is the proposed timetable for 2009?</b> .....	8
<b>4. What is the budget available for 2009?</b> .....	8
<b>5. Who is eligible for funding and what constitutes a consortium?</b> .....	8
<b>6. Exclusion criteria</b> (for EU applicants) .....	22
<b>7. Selection criteria</b> (for EU applicants).....	22
<b>8. What are the award criteria for funding?</b> .....	22
<b>9. What are the funding amounts?</b> .....	26
<b>10. Financial conditions</b> .....	31
<b>11. Sub-contracting and award of procurement contract</b> (for EU applicants) .....	31
<b>12. Publicity</b> (for EU applicants) .....	31
<b>13. What are the procedures for submitting a proposal?</b> .....	31
<b>14. What are the requirements for performance reports?</b> .....	33
<b>15. What are the contents of the proposal?</b> .....	34
<b>Grants.gov Submission Procedures and Tips for Applicants</b> .....	38
<b>Grants.gov Registration Instruction for Organizations</b> .....	40
<b>Application Transmittal Instructions</b> .....	42
<b>Executive Order 12372 (Intergovernmental Review of Federal Programs)</b> .....	69
<b>General Education Provisions Act (GEPA) Section 427</b> .....	70
<b>Government Performance and Results Act (GPRA)</b> .....	71
<b>Instructions for attachments and FIPSE specific application forms</b> .....	72
<b>Ed FIPSE Consortium Partner Identification Forms (Atlantis)</b> .....	76
<b>Instructions for FIPSE Budget Summary Form—Atlantis 2009</b> .....	78
<b>Instructions for the SF 424</b> .....	81
<b>Instructions for Department of Education Supplemental Information for SF 424</b> .....	83
<b>Definitions for Department of Education Supplemental Information for SF 424</b> .....	84
<b>Application Checklist</b> .....	90

December 18, 2008

Dear Applicant:

Thank you for your interest in applying for a grant under the European Union – United States (EU-U.S.) Atlantis Program. This program is administered jointly by the U.S. Department of Education’s Fund for the Improvement of Postsecondary Education (FIPSE) and the European Commission’s Directorate General for Education and Culture (DG EAC). The EU-U.S. Atlantis Program is designed to assist colleges and universities in the United States and the European Union in developing and offering joint or dual degrees, integrated curricula with short-term study abroad, and policy studies

The origin of European Union-United States cooperation in education and training dates from the Transatlantic Declaration on EU-U.S. Relations adopted in November 1990. In 1993, a two-year exploratory phase of cooperation was launched and the experience gained during this period provided the basis for a formal EU-U.S. Cooperation Agreement signed in June 1995. Since that time a total of 137 transatlantic consortia have been funded involving more than 800 European and United States institutions of higher education and vocational education and training. More than 4500 U.S. and EU students have completed programs of study abroad with these consortia projects.

This letter highlights a few items in the 2009 instructions document that will be important to applicants in the United States. You should review the entire application package carefully before preparing and submitting your application. The Department requires that for FY 2009 you submit applications for the EU-U.S. Atlantis Program electronically through the portal page at: <http://www.grants.gov>.

The application must be submitted on or before the closing date of **March 23, 2009** unless you follow the procedures in the Federal Register Notice and qualify for an exception to the electronic submission requirement. We suggest that you submit your electronic application at the portal page several days before the closing date. The Department is required to enforce the established deadline to ensure fairness to all applicants. Please note that grants.gov does not allow applicants to “un-submit” applications. If you discover that changes or additions are needed once your application has been accepted and validated by the Department but prior to the closing date, you must “re-submit” the application. If you submit duplicate applications, we will accept and process the application with the latest “date/time received” validation. If you think you may need an exception you are urged to review the requirements promptly.

The notice published in the Federal Register contains specific information governing page limits. You should note that the Federal Register Notice is the official document and that you should not rely on any information inconsistent with that. Again, thank you for your interest in the EU-U.S. Atlantis Program.

Sincerely,

Ralph Hines /signed/

Acting Director, Fund for the Improvement of Postsecondary Education (FIPSE)

# **EU-U.S. ATLANTIS PROGRAM--2009**

## **GUIDELINES AND APPLICATION INFORMATION**

### **1. Introduction**

The European Community-United States of America Cooperation Agreement in Higher Education and Vocational Education and Training aims primarily to promote understanding between the peoples of the European Union and the United States of America and improve the quality of their human resource development. The Cooperation Agreement includes the Fulbright-Schuman scheme administered by the U.S. Department of State and the European Commission. The other cooperation actions in the field of higher education and vocational training are grouped under the title of “Atlantis” (Actions for Transatlantic Links and Academic Networks for Training and Integrated Studies). Atlantis is jointly funded by the European Commission and U.S. Department of Education’s Fund for the Improvement of Postsecondary Education (FIPSE). The European Commission has entrusted the implementation of Atlantis to the Education, Audiovisual, and Culture Executive Agency (hereafter referred to as the Agency). The following guidelines describe Atlantis actions (hereafter referred to as Atlantis).

There are three main “actions” under Atlantis:

#### **ACTION 1 – Transatlantic Degree Consortia Projects**

This Action provides support for consortia of EU and U.S. higher education institutions (hereafter called “consortium or consortia”) to implement dual/double or joint degree programs referred to in the present document as “Transatlantic Degrees”. Support includes grants for students and members of the academic and administrative staff (“faculty”).

#### **ACTION 2 - Excellence in Mobility Projects**

This Action provides funding for international curriculum development projects that involve short-term transatlantic mobility not directly related to award of a joint or dual/double degree. FIPSE and the European Commission encourage the application of projects funded under previous EU-US programs or other sources. Consortia applying for such a project are expected to have a solid experience in transatlantic cooperation and exchanges. The European Commission and FIPSE issue a special invitation for proposals that have a defined and designated curricular focus. Details on this focus are in section 5. Support includes mobility grants for students and members of the academic and administrative staff (“faculty”).

#### **ACTION 3 - Policy-oriented Measures**

This Action provides support to multilateral EU-U.S. projects and activities designed to enhance collaboration in the higher education and vocational training field.

The main focus of Atlantis is on supporting innovative projects for cooperation in the higher education field, including vocational training, which are designed to develop and implement double or joint “transatlantic degrees” for students in the EU and U.S. The program may also support projects to promote other forms of EU-U.S. cooperation in higher education and vocational training, including mobility projects and policy-oriented measures.

The origin of EU-U.S. cooperation in education and training dates from the 1990 Transatlantic Declaration on EU-U.S. Relations. Following a two-year exploratory phase (1993-95), the first five-year Cooperation Agreement between the European Community and the United States was signed in 1995. The Agreement was renewed in 2000 for another five years until 2005 and it has been renewed again in 2006, inaugurating the Atlantis program on higher education and training. Since 1997 the Agreements have more than 150 transatlantic consortia to be funded, involving 900 European and United States institutions of higher education and vocational education and training. More than 6000 U.S. and EU students were involved with these consortia projects and have participated in the study abroad programs.

The third agreement became effective in 2006 for program support until 2013. The agreement moves the EU-U.S. Program in a new direction. From implementing small curriculum components among consortia composed of six partners, the program now pursues the more ambitious aim of implementing joint or dual transatlantic undergraduate degrees within a smaller consortium. The rationale for this is that the growing pace of global interconnectedness in virtually all aspects of human life means that our postsecondary institutions must rethink how best to prepare students for a lifetime of work that will be in an international environment. In doing so, the European Commission and FIPSE intend to support collaborative projects that can contribute to innovation and to the acquisition of skills required to meet the challenges of the global knowledge-based economy. The most successful colleges and universities of the future will increasingly define themselves as international in terms of their educational and training activities and the demographic profile of their faculty and students. In the EU-U.S. context, Atlantis seeks to address this challenge by developing and testing a more integrated form of international education: transatlantic dual or joint degrees. By implementing transatlantic degree programs that provide students with an education in the United States and in Europe, we will be helping to create an environment in which professional skills and language capability will better prepare students to participate in the workforce and meet the social challenges of the 21st century.

The agreement also provides opportunities for funding policy-oriented measures and for supporting consortia with proven track record for shorter-term mobility. Details on each of the three options are provided below.

### **Two new features of the 2009 call for proposals**

Language assessments. With the new call for proposals in 2009, we are requiring the addition of an evaluation component that focuses on language assessment of all U.S. mobility students. Additional funds are provided in the U.S. budget. More information is in the budget instructions. This is not a requirement for the EU partner schools.

Evaluation. The budget for the required evaluation report has been increased. See the U.S. budget instructions for more details. This applies to the U.S. applicants only.

## **2. What are the objectives of Atlantis?**

The objectives of the Atlantis program are same as those of the 2006-2013 agreement and are divided into general, specific, and operational categories.

### **The general objectives shall be to:**

promote mutual understanding between the peoples of the European Community and the United States of America including broader knowledge of their languages, cultures and institutions;

and improve the quality of human resource development in both the European Community and the United States of America, including the acquisition of skills required to meet the challenges of the global knowledge-based economy;

### **The specific objectives shall be to:**

enhance collaboration between the European Union and the U.S. in the domains of higher education and vocational training;

contribute to the development of higher education and vocational training institutions;

contribute to individual participants' personal development for their own sake and as a way to achieve the general objective of the program;

and contribute to transatlantic exchanges between EU and U.S. citizens.

### **The operational objectives shall be to:**

support collaboration between higher education and vocational training institutions with a view to promoting joint study programs and mobility;

improve the quality of transatlantic student mobility by promoting transparency, mutual recognition of qualifications and periods of study and training, and, where appropriate, portability of credits;

support collaboration between public and private organizations active in the field of higher education and vocational training with a view to encouraging discussion and exchange of experience on policy issues; and

support transatlantic mobility of professionals with a view to improving mutual understanding of issues relevant to EU-U.S. relations.

### 3. What is the proposed timetable for 2009?

December 2008	Publication of the call for proposals
March 23, 2009	Deadline for submission of applications
April 2009	Assessment of applications by independent experts
May 2009	Joint selection by European Commission and FIPSE
June 2009	Awarding of grants
Sept 2009	Start of project activities (grant performance period)

Applications must reach the Agency and FIPSE no later than March 23, 2009. Please read carefully section 13 of this call for proposals concerning the procedures for submitting applications. Late applications will be ineligible.

**For EU applicants only:** Activities must start between 1 September 2009 and 31 December 2009. Activities must end before 31.12.2013.

The maximum duration of projects varies between 24 and 48 months depending on the action.

Transatlantic Degree projects	48 months
Excellence in Mobility	48 months
Policy oriented Measures	24 months

No applications will be accepted for projects scheduled to run for a longer period than that specified in this call for proposals. However, if after the signing of the agreement and the start of the project it becomes impossible for the beneficiary, for fully justified reasons beyond his control, to complete the project within the scheduled period, an extension to the eligibility period may be granted. A maximum extension of 12 months may be granted, if requested before the deadline specified in the agreement.

The intention is to inform applicants of the outcome of the selection procedure no later than the month of July 2009 . It is planned that beneficiaries will receive their agreements for signature in July/August 2009 .

### 4. What is the budget available for 2009?

For EU institutions, the budget available amounts to approximately EUR 5 million. The largest portion of this will be devoted to Action 1- Transatlantic Degree Projects. For U.S. institutions comparable funding will be provided. U.S. new and continuing awards are made pending annual congressional appropriations. For details on funding amounts for the different type of projects please refer to section 9.

### 5. Who is eligible for funding and what constitutes a consortium?

#### 5.1. General Eligibility



Atlantis is based on the development of a multilateral consortium of postsecondary higher education educational institutions or organizations in the United States and in the Member States of the European Union. For the purpose of this action:

“higher education institution” means any recognized establishment according to the applicable laws or practices that offers qualifications or diplomas at the higher education level, whatever such establishment may be called;

“vocational education and training institution” means any type of public, semi-public or private body, which, irrespective of the designation given to it, in accordance with the applicable laws and practices, designs or undertakes vocational education or training, further vocational training, refresher vocational training or retraining; and

“student” means any person following learning or training courses or programs leading to degree completion that are run by higher education or vocational education and training institutions.

## **5.2. Eligible consortia**

A consortium applying for the Atlantis program must meet the following membership criteria. FIPSE and DGEAC recommend only the minimum numbers for the degree and mobility applications. There is no competitive advantage for more members and no additional budget.

- Transatlantic Degree Projects must include one of two membership options:
  - 1) a minimum of one U.S. institution and two EU institutions from different EU Member States or
  - 2) a minimum of two U.S. institutions (from the same or different states) and two EU institutions from different EU Member States.
- Excellence in Mobility projects must include at least two U.S. institutions (from the same or different states) and two EU institutions from different EU Member States. Additional partners above the minimum number do not increase the budget.
- Policy-oriented Measures must include at least two U.S. institutions (from the same or different states) and two EU institutions from different EU Member States. Additional partners above the minimum number do not increase the budget.

For a table of membership requirements and funding amounts see Section 9.

Membership may include higher education and/or vocational education and training institutions or organizations (including industry and business groups, non-governmental organizations, publishers, government departments, chambers of commerce, and research institutes).

All consortia must have a non-profit lead institution or organization in the European Union and in the United States responsible for submitting the common proposal, for coordinating the

project, and for grant management and fiscal control. In all projects for-profit partners may represent business and industry groups and that may help give your project the national and international visibility necessary for it to succeed beyond the funding period. These partners may offer internships or may offer professional advice and expertise as part of Atlantis.

With regard to mobility grants, eligible beneficiaries are students, faculty, and staff enrolled in / employed by one of the partner institutions and selected by the consortia, which will also disburse those grants.

### **5.3. Eligible countries and individuals**

Eligible institutions and organizations must be from the United States and from one of the twenty-seven Member States of the European Union (Austria, Belgium, Bulgaria, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, the Netherlands, Poland, Portugal, Romania, Slovak Republic, Slovenia, Spain, Sweden, and the United Kingdom).

Eligible EU students and faculty must be citizens of the European Union or third-country nationals who had been legal residents in the European Union for at least three years (and for the purpose other than study) before the start of the outgoing mobility. Eligible U.S. students and faculty must be U.S. citizens or permanent residents.

### **5.4 Eligible Activities**

#### **5.4.1. Transatlantic Degree Consortia Projects**

Atlantis focuses on supporting multilateral consortia over a four-year grant period for the purpose of developing and implementing dual/double or joint “**Transatlantic Degrees**” only at the undergraduate (first cycle) or the masters (second cycle) level. The program does not support doctoral level study. Projects should focus primarily on curriculum development. Projects that focus primarily on research will not be competitive for funding.

A “transatlantic degree” is defined as an undergraduate or graduate program of study undertaken at institutions located in the European Union and in the United States that leads to the awarding of two separate degrees (dual or double degree) or a single degree (joint degree) by the participating EU and U.S. award institutions and that students are able to attain in considerably less time and a lower cost than would be required to obtain two separate degrees.

An “undergraduate degree” is defined as any degree or diploma below the master’s level that is recognized by the appropriate authorities in the Member State where the degree awarding institution is located and in the United States.

A “graduate degree” is defined as any degree or diploma at the master’s level that is recognized by the appropriate authorities in the Member State where the degree awarding institution is located and in the United States.

Applicants must clearly stipulate whether they are applying for an undergraduate project or a graduate/masters project and whether a dual/double or joint degree will be awarded. Applicants should note that in the present call, support is limited to either undergraduate or graduate (masters) programs. Combinations of bachelors and masters degrees are not supported. Transatlantic degree proposals that focus on doctoral students or doctoral degrees will not be supported.

Transatlantic degree projects may award degrees in one of three ways:

- a) The first option for awarding degrees is a consortium of one U.S. institution and two EU institutions but only one of the EU institutions awards the degree to the U.S. student.
- b) The second option for awarding degrees is a consortium of one U.S. institution and two EU institutions and both of the EU institutions are able to award the degree to the U.S. student.
- c) The third option for awarding degrees is a consortium of two U.S. institutions and two EU institutions and all four institutions are able to award the degree.

Regardless of the number of awarding institutions in the consortium, each EU or U.S. student must receive the Transatlantic Degree from one institution in the U.S. and one institution in the EU. **Consortia formed by two EU and two U.S. institutions, each of which is committed to awarding a transatlantic joint or dual degree are particularly encouraged. Such consortia would receive additional funding. For budget details please see section 9.**

The key curricular components of the Transatlantic Degree must be included in the proposal and be in place before the application for support is submitted. The most competitive proposals are those based on existing courses. Agreements on programs of study leading to the Transatlantic Degree must include provisions on credit recognition and /or credit transfer, tuition and other fees, language study, visa requirements, recruitment, and student services.

**Transatlantic Degree projects are selected for four years of funding.** The Agency and FIPSE reserve the right to increase or decrease funding, or to terminate a project based on annual performance reviews. All four years of the grant may be used for student and faculty mobility although it is expected that in the first year some adjustments in the curriculum and in the administration of the project will be made. Disbursement of funding will be made conditional on the consortium providing evidence that the transatlantic degree is operational and that students are selected to undertake the required period of study abroad. It is expected that transatlantic degree or programs will be institutionalized at the participating institutions and will be sustained beyond the funding period.

### **Memorandum of Understanding for Transatlantic Degree Projects**

Proposals for transatlantic degree projects will be implemented only with signed agreements or memoranda of understanding that demonstrate the commitment of the partner institutions. The most competitive proposals submit signed agreements as part of their application package. Memoranda may be signed in the first few months of the first year but no student may commence study abroad until all partners sign the document.

Copies of signed memoranda must be submitted to the Agency and to FIPSE by July 15 as part of first year performance report as a precondition for receiving second-year funding. The Agency and FIPSE reserve the right to terminate any project that has not demonstrated sufficient progress or fulfilled grant requirements.

A memorandum of understanding may include many items to be determined by the parties. However, all memoranda must include agreements on the recognition of credits and the agreement on tuition and fees. Memoranda must include specific references to the degrees that will be awarded. The agreement may also cover student services, housing assistance, cultural preparation, and special fees such as health insurance.

Proposals that focus on implementing a transatlantic degree must describe in detail six components: i) joint study program, ii) student mobility, iii) faculty mobility, iv) language and culture training, v) evaluation, and vi) dissemination.

### **i) Joint Study Program for Transatlantic Degree Projects**

Proposals for Transatlantic Degrees may focus on any undergraduate or graduate (masters level) postsecondary program of study provided it clearly demonstrates how such an international degree program will better prepare students for work in an international context. A proposal for a Transatlantic Degree program should include the following components:

Integrated program of study. The description of a jointly developed curriculum or full recognition by the Transatlantic Degree consortium of courses that are developed and delivered separately, but make up a common study program, is the central component of the proposal. The program of study (including the courses, methods, modules and internships in which students will participate in the U.S. and in the EU, leading to the awarding of the undergraduate or graduate Transatlantic degree) must be fully described in the application. . The transatlantic degree project must include for all students a diploma supplement from the EU institution and a comparable description of the program of study by the U.S. institution.

Duration of the program of study. Applicants must explain how long it will take a full-time student to complete the entire proposed dual or joint degree program. Competitive proposals will make it feasible for students to complete the Transatlantic degree as close as possible to the time needed to finish the longer of the two original degree programs. Proposals must also indicate how many months will be required to complete the study abroad component of the transatlantic degree.

Integrated admission standards. Students must apply to the degree program through a shared application procedure or through institutional application procedures that are accepted by and meet the requirements of each partner institution in the consortium. Consortia institutions should therefore agree on shared admission standards and entry requirements, a shared application procedure, and a shared student selection process. For EU institutions, this must be in accordance with national legislation.

Examinations and progression (transfer) requirements. Consortia institutions must agree that the examinations passed and credits earned at one institution will be fully and automatically

recognized by the partner institutions on the other side of the Atlantic. This is one required component of the memorandum of understanding. Whenever possible, the use of ECTS (European Credit Transfer System) is recommended. Consortia institutions must agree on progression and transfer arrangements for students prior to student mobility.

Mobility: EU and U.S. students seeking an undergraduate or graduate Transatlantic degree must carry out a program of study in at least three participating institutions (at least two EU institutions located in different Member States, and at least one U.S. institution). This mobility cannot be replaced by virtual mobility. For both the undergraduate and the graduate dual or joint degree the duration of the program of study abroad must be at least one full academic year.

Degree award: The awarding of a recognized joint or double/dual undergraduate or graduate degree must be guaranteed by one or two EU and one or two U.S. institution after successful conclusion of a period of study in three of the partner institutions. Such a commitment must be provided through letters of commitment that are signed and attached to the proposal by the appropriate governing persons or bodies from the participating degree-awarding institutions and must be guaranteed by the time the Memorandum of Understanding is submitted. Formal legal agreements will have to be submitted in the first-year performance report. The nature and form of the Transatlantic degree must be described in the application. Applying consortia must prove that the participating countries involved recognize the degrees delivered. For EU applicants the appropriate arrangements must exist at the national level if this is a legal requirement for degree award in the countries concerned. Appropriate national or state authorities may be consulted on the formal recognition of the proposed degrees.

Language requirements: Transatlantic degrees must provide EU and U.S. students with the possibility of using at least two European languages spoken in the Member States where the consortia institutions are located. The language (non-English) spoken in the country where the student will receive their degree must be studied intensively and the student's language skills must be assessed. This is a requirement for all U.S. students. The second language may be a shorter introduction to the language and the culture of the partner country and language assessment is optional.

## ii) Student mobility for Transatlantic Degree Projects

Selected Transatlantic degree consortia projects will receive funding to support the Transatlantic mobility of students at the participating institutions. The following aspects of the mobility component of the degrees should be carefully addressed in the project proposal.

The length of the study abroad must be carefully negotiated between the institutional partners in order to meet the requirements for graduation at the institutions issuing the degree. It should be of comparable length and may not be less than a full academic year. For **U.S. students** this includes a period of study at two EU institutions, one of which allows the student to earn 15 ECTS credits (10 ECTS for graduate joint/double degrees), with a total of at least 60 ECTS credits for a full academic year. In addition to studying at their home institution and at least one institution in the U.S., **EU students** must spend a period of study at one additional EU institution in a different Member State bearing at least 15 ECTS credits for an undergraduate joint/double

degree and at least 10 ECTS for a graduate joint/double degree. Mobility at an institution other than the home institution cannot be replaced by virtual mobility.

Applicants should note that **the mobility costs of European students within Europe will not be funded by the Atlantis program**. As a result, consortia institutions are invited to arrange additional sources of funding for students, including the Erasmus/Lifelong Learning program, in relation to the period of study to be spent in the second EU institution. See Section 9 of these guidelines for more information on mobility budgets.

If the Transatlantic degree curriculum involves work placements or training experience, the application for support should describe the objectives and the intended learning outcomes in relation to the proposed double degree, and how the internships or work placements will be organized (how long they will last, how and by whom they will be monitored and assessed, and how they will conform to the applicable laws and regulations of the host country). Inclusion of the names and locations of the host organizations for such placements (industry, business, government, non-government organizations) will be positively assessed when processing the application.

The issue of tuition and fees must be carefully negotiated and finalized before the proposal is submitted, and the application for support must contain a detailed description of the agreed arrangements. We recommend that students studying abroad pay tuition and fees at their home institution and incur no additional payments to the host institution, though other mutually acceptable arrangements are possible.

The arrangements for the award of academic credits for the transatlantic degree program must also be agreed between the partners prior to the submission of the proposal and described in detail. The text must demonstrate clearly that all participating institutions have agreed on the credits to be awarded.

Student services: Institutions participating in a transatlantic degree will need to pay particular attention to the support and guidance students will need to help navigate these new degree programs. Students will need to be well prepared for foreign study and well received at host institutions. Applications should therefore contain a description of the pre-departure orientation activities at the home institution and arrival orientation activities at the receiving institution. Each partner institution should have an “international office” or equivalent to assist with housing, coaching, language courses, and activities for social integration, visas, health insurance, and special needs.

The application for support should describe the consortium’s plan to mobilize students in each of the four years and the duration of the study abroad period.

### **iii) Faculty mobility for Transatlantic Degree Projects**

Transatlantic degree projects will be expected to arrange for transatlantic mobility of faculty (academic staff members) to carry out teaching and research assignments related to the program, and may receive specific funding for this purpose. Mobility of administrators is welcome but

will be funded from the flat rate in the EU budget and the faculty mobility section in the U.S. budget. For more budget details for this aspect of the program see section 9.

#### iv) Language and cultural training/assessment for Transatlantic Degree Projects

A key objective of transatlantic degrees is to enable students to gain international expertise and competence. Cultural and linguistic preparation and training must be a vital part of each project proposal.

Transatlantic degrees must provide students with the possibility of using at least two European languages spoken in the Member States where the consortia institutions are located. However, the use of at least two languages does not imply the use of two different languages of instruction. Also, there is no obligation that the institutions use the national language as the language of instruction

Projects where English is the language of instruction at the host university but not the language generally spoken in the host country, must provide for students to participate in a program of intensive study of the host country language. For example, students studying in a non English speaking country might be instructed in English, but every student must take intensive courses in the language of the host country. Proposals failing to include detailed plans for this language and culture training will not be competitive in the assessment process.

For U.S. students, the basic approach to language learning may be defined as “one plus one.” That means that as a result of obtaining a second degree in Europe, the student must gain sufficient knowledge and skill in an EU language other than English in order to use that language in a professional capacity. The second European language may be more of an introductory nature and based on a lower proficiency. The method of assessing students’ competence in the host country language must be included in the evaluation plan proposed by the project and will be taken into account in selecting the projects to be supported. For example, undergraduate students participating in a dual degree program that is issued in the United Kingdom but includes study in Hungary, would have instruction in the culture of the UK, but not its language. At the second institution in Hungary the students would receive a solid introduction to the host language. As indicated above, applicants should describe what institutional and other resources will be used to prepare students to study abroad within the framework of the program. The language resources at their institutions or elsewhere that will be used for EU and U.S. students should be described, as should the methods by which the sending institutions will assess whether students are ready for instruction in English or the designated European languages. For US applicants the evaluation plan must include methods to assess gains in language acquisition.

#### **v) Evaluation for Transatlantic Degree Projects**

Consortia should include in their proposals a detailed evaluation plan that states the goals and anticipated outcomes of the project and indicates what qualitative and quantitative indicators will be used to measure the success of the project.

For U.S. applicants: U.S. applicants must follow the instructions for budgeting funds in the budget to support project evaluation throughout the life of the project. Proposals must include detailed evaluation plans plus information about who will conduct the evaluation. U.S. applicants must use an independent (i.e. independent of the program but not necessarily outside the institution) evaluator and submit evaluation progress reports as part of their annual performance reports as well as their final performance report. This is a condition of the U.S award.

#### **vi) Dissemination for Transatlantic Degree Projects**

Strategies for sustainability and dissemination of products, outcomes, and results from the project to a wider public should be incorporated in every proposal.

#### **5.4.2. Excellence in Mobility Projects**

Excellence in Mobility projects are funded for four years. A consortium applying for an Excellence in Mobility project must include a minimum of two U.S. institutions (from the same or different U.S. states) and two EU institutions from different EU Member States.

Excellence in Mobility projects are intended to give recognition, visibility and financial support to consortia of EU and U.S. higher education and/or vocational training institutions that possess a demonstrated track record of excellence in innovative curriculum development and Transatlantic mobility of students, with full recognition of the study period abroad. Applicant consortia should already be established and operational at the time of the application. They should demonstrate that they operate on the basis of a well-established partnership and provide evidence for this. Excellence in Mobility projects should be sustainable beyond the funding period. An important aspect of every project is the dissemination of products, outcomes and results. Strategies for sustainability and dissemination should be incorporated in every project proposal.

Excellence in Mobility projects must include for all students a diploma supplement from the EU institution and a comparable description of the program of study from the U.S. institution. Excellence in Mobility proposals that lead to the development and implementation of programs of study designated as a certificate, concentration, track, focus, or similar term defined by the home institution are strongly encouraged. The certificate or concentration is offered by the home institution for its own students but is based in part on the study abroad component. The Excellence in Mobility project must include for all students a diploma supplement from the EU institution and a comparable description of the program of study by the U.S. institution.

#### **Memorandum of Understanding for Excellence in Mobility Projects**

Proposals for excellence in mobility projects will be implemented only with signed agreements or memoranda of understanding that demonstrate the commitment of the partner institutions. The most competitive proposals should submit signed agreements as part of their application package and be prepared to move students in the first year. However, the signed memorandum must be submitted with the first year performance report (please see the section on reporting requirements for detailed timetable). No transatlantic student mobility may be implemented until



the document is signed by all partners. FIPSE and the Agency reserve the right to discontinue any project that does not submit a signed memorandum.

A memorandum of understanding may include many items to be determined by the parties. However, all memoranda must include agreements on the recognition of credits and the agreement on tuition and fees. The agreement may also cover student services, housing assistance, cultural preparation, and special fees such as health insurance.

Excellence in Mobility projects must address the following six components: i) curriculum development, ii) language and cultural preparation, iii) student mobility, iv) faculty mobility, v) evaluation and vi) dissemination.

### **i) Development of innovative international curricula for Excellence in Mobility Projects**

The proposal must address an important international curricular problem or challenge and describe a specific EU-US educational strategy to add value to this field of study. The proposal should address how the project implements a new educational program or improves current practice to prepare students for work in an international context.

Although it is not compulsory, Excellence in Mobility projects are invited to develop or implement international certificates in new or existing disciplines. This applies mainly to the U.S. partners of consortia. The certificate may be called by a variety of names like minor, track, specialization, concentration, or another term. Such an educational term may not exist at all institutions, particularly in the EU. In such a case, the U.S. institutions will offer the certificate for U.S. students while the EU institutions may simply use the Diploma Supplement for their students. For example, the U.S. partners may develop a certificate or concentration in international marketing for their business and marketing majors. This could include perhaps 5-7 courses. U.S. students would take some courses prior to the study abroad, continue taking courses or participating in an internship at the host institution and then complete the certificate upon return to the home institution. That designated program would then be recognized in the U.S. diploma and transcript. Students in the EU in the same program would make it part of their study without the specific designation of a certificate. Unlike the degree programs, the home institution offers the special designation of the study abroad only to its own students.

The proposal should describe the program of study in terms of courses and modules that students might typically take at both the home and the host institution and the teaching materials and methods that will be used. The EU partner institutions must use the Diploma Supplement to describe the program of study. The U.S. institutions must develop a comparable mechanism for explaining the program of study.

It should describe the role that each partner institution in the EU and in the US has in developing and implementing the curriculum and indicate to whether the proposed curriculum is based on existing programs of study offered at partner institutions or will involve new programs of study that are to be developed by the consortium – or both.

The proposal must describe in detail the mechanisms in place among the partner institutions to ensure full recognition of the study abroad period. Although all higher education and vocational training institutions are eligible to apply for support under this action, applications from U.S. community colleges and their partner EU institutions are strongly encouraged.

### **ii) Student services, language, and cultural preparation for Excellence in Mobility Projects**

Since a key objective of this Program is to encourage and enable students to experience an academic, cultural, and linguistic milieu different from their own, applicants must clearly address the cultural and linguistic instruction that they plan to give students before, during, and after their study period abroad.

Students will need to be well prepared for foreign study and well received at host institutions. Applications should therefore contain a description of the pre-departure orientation activities at the home institution and arrival orientation activities at the receiving institution. Each partner institution should have an “international office” or equivalent to assist with housing, coaching, language courses, and activities for social integration, visas, health insurance, and special needs.

Please note that applications proposing international programs of study with weak provision for language and cultural preparation will be considered less competitive. Language proficiency and cultural study prior to and during the study abroad period is key to a student's integration in the academic and training culture of the host institution and country. The proposal must include specific provisions for language study as part of the study abroad.

### **iii) Organizational frameworks for student mobility for Excellence in Mobility Projects**

Selected Excellence in Mobility consortia projects will receive funding to support Transatlantic mobility of students at the participating institutions that are as a minimum of one academic semester or term on the other side of the Atlantic. The focus of the proposed project must be a coherent program of study and obtain full recognition for the study abroad period by the home institution. Study abroad periods are not expected to lead to a Transatlantic joint or a double degree.

Participation in these programs should not prolong time to degree completion. For each of the following aspects of the mobility component, applicants should describe their experience, the solutions identified and results obtained in the past as well as outline how they intend to address them in the implementation of the project.

Length of study abroad. The length of time a student spends abroad in study or training is closely related to the greater acquisition of cross cultural skills and academic knowledge needed to prepare for a global workforce. All participating students are expected to conduct a study abroad period on the other side of the Atlantic of at least one full academic term. The study abroad period should be of comparable length for both U.S. and EU students and should include at least 30 ECTS credits. Proposals that include study abroad only during the summer are generally not competitive.

Number of mobile students. Applicants should demonstrate the capacity of arranging Transatlantic mobility for 24 EU and 24 U.S. students over the life of the project. On average, applicants should plan to move no fewer than six EU and six U.S. students annually over the four-year span of the project. Consortium projects must plan for student mobility among all partner institutions. Students may select one of the transatlantic partner institutions for their study abroad. Unlike the transatlantic degree projects, Excellence in Mobility projects require study abroad at only one overseas institution.

Work placements and internships. If your project involves work or training experience, the application should address the objectives and the intended learning outcomes, and how the internships or work placements will be organized (how long they will last, how and by whom they will be monitored and assessed, how they will be recognized as being part of the student's designated study program by the home institution, etc). Competitive proposals should include the names and locations of participating industry, business, government and non-government organizations in which the applicant intends to place the students.

Student recruitment strategies. Also for this element, applicants are expected to outline the results obtained in recruiting for transatlantic mobility in the past and the strategies that they intend to follow for implementing the project. Since language learning is a key and required component of this program, applicants are expected to get students thinking about the program early and help guide students to make the proper language course choices to ensure that they can acquire an adequate level of proficiency.

Agreements on tuition and fees. Students studying abroad will pay tuition and fees at their home institution and should incur no additional payments to the host institution. This includes fees for tuition, registration, examinations, and the use of library and laboratory facilities. Partner institutions should have an agreement and this should be evident in the signed memoranda of understanding or agreements that applicants should submit, if possible, together with the application form.

Agreements on recognition or transfer of credit. Recognition of credit for periods of study and training is a crucial component in successful organizational frameworks. In order to assure that students do not increase the length of their program of study applicants should secure administrative assurances from the home institutions so that the students' study or work abroad will be fully credited upon their return. Applicants, as part of the proposal should submit formal signed agreement for credit recognition and protocols for study or work placement from all participating institutions.

The academic credit systems in the European Union and in the United States are very complex. An European Credit Transfer System (ECTS) has been used in Europe for more than a decade and has been implemented successfully in several EU-U.S. projects. ECTS has become more widely used in the EU. We encourage you to use this system to facilitate credit recognition and transfer. DG EAC provides budget funds for an ECTS consultant to work with project participants. Information on ECTS can be obtained at [http://europa.eu.int/comm/education/programs/socrates/ects\\_en.html](http://europa.eu.int/comm/education/programs/socrates/ects_en.html) .

A variety of approaches to credit recognition and transfer across borders may be found in the American Council on Education publication, *Where Credit is Due*. An electronic version of this publication is available on the ACE website at [www.acenet.edu/bookstore/](http://www.acenet.edu/bookstore/). If your project focuses on professional education or vocational training, you should discuss how your project might work with EU and US, state, and national professional associations and/or accrediting organizations to explore means for international quality assurance and certification. What are the challenges of Transatlantic certification, licensure, or accreditation that your project touches on? What solutions are you proposing?

#### **iv) Faculty mobility for Excellence in Mobility Projects**

Excellence in Mobility projects will be expected to arrange for Transatlantic mobility of faculty (academic staff members) to carry out teaching and research assignments related to the program, and may receive specific earmarked funding for this purpose. Mobility of administrators is welcome but will be funded from the flat rate in the EU budget and the faculty mobility section in the U.S. budget. For more budget details for this aspect of the program see section 9.

#### **v) Evaluation for Excellence in Mobility Projects**

Consortia should include in their proposals a detailed evaluation plan that states the goals and anticipated outcomes of the project and indicates what qualitative and quantitative indicators will be used to measure the success of the project.

For U.S. applicants: U.S. applicants must follow the instructions for budgeting funds in the budget to support project evaluation throughout the life of the project. Competitive proposals should include detailed evaluation plans plus information about who will conduct the evaluation. U.S. applicants must use an independent evaluator and submit an evaluation progress report as part of their annual performance report as well as an evaluation report as part of their final performance report. Submission of these reports in the U.S. is a condition of the award.

#### **vi) Dissemination for Excellence in Mobility Projects**

Strategies for sustainability and dissemination of products, outcomes and results from the project to a wider public should be incorporated in every proposal.

### **5.4.3. Policy-oriented Measures.**

Policy-oriented Measures are funded for two years. A consortium applying for a Policy-oriented Measures project must include a minimum of two U.S. institutions from the same or different states and two EU institutions from two different Member States.

Atlantis may provide financial support to multilateral projects involving institutions or organizations active in the field of higher education and vocational training with a view to enhancing collaboration between the European Community and the United States of America. Joint curriculum development activities and preparatory or planning work for the setting up of a

Transatlantic joint/double degree project or an Excellence in Mobility project are excluded from Policy Oriented projects.

Proposals addressing the following issues are strongly encouraged:

- a) Access to higher education and to international exchanges
- b) University-industry cooperation
- c) Recognition of degrees and qualifications;
- d) Higher education and life long learning;
- e) Comparing and “tuning” learning outcomes and competences to enhance comparability and transparency of educational structures and programs;
- f) Higher Education reforms in Europe and in the U.S. and their implications for cooperation and mobility;
- g) Credit accumulation and transfer systems
- h) Quality measurement, Accreditation and Quality Assurance;
- i) Accountability and assessment in higher education

The projects may also include comparative studies and analyses, language and content integration, dissemination of projects, software and Web development, e-learning and open education, and infrastructure and resources development.

Competitive proposals for policy measures are those providing evidence of maximum impact for the future of transatlantic cooperation in education and training. It is expected that a policy project will result in a product that is of use to more than just the original participants in the project. Policy grants do not include student mobility but may include faculty and staff exchanges.

Competitive proposals for policy studies must include i) a project design, ii) evaluation, and iii) a plan for dissemination.

#### i) Project Design for Policy-oriented Measures projects

Proposals should describe in detail the nature and purpose of the proposed policy studies project. Explain how the results will enhance understanding about the proposed issue and how each U.S. and EU institution and organization will contribute to the project. This should include a description of the collaborative activities to be carried out, the personnel who will execute these activities and the intended results. Explain how this policy project will increase knowledge within a particular discipline or a group of disciplines. Describe what the consortium expects to accomplish on a two-year schedule. What skills and resources will each partner contribute to the project? How will the requested resources increase knowledge about issues important to the United States and the European Union?

## **ii) Evaluation for Policy-oriented Measures projects**

Consortia partners should define the project goals and outline an evaluation plan based on quantitative and qualitative evidence. The evaluation should include both the process of the work and the result of that work. The goal should be to evaluate the entire project. If you engage evaluators in the U.S. and Europe, it is expected that they will work in cooperation. See the budget instructions for more information.

U.S. applicants must follow the instructions for budgeting funds to support project evaluation throughout the life of the project. Competitive proposals should include a detailed evaluation plan plus information about who will conduct the evaluation. U.S. applicants must submit an evaluation progress report as part of the annual performance report as well as a final evaluation report as part of the final performance report.

## **iii) Dissemination for Policy-oriented Measures projects**

Strategies for sustainability and dissemination of products, outcomes and results from the project to a wider public should be incorporated in every proposal. This dissemination effort should be quite detailed.

### **5.5 Eligible proposals** (for EU applicants)

### **6. Exclusion criteria** (for EU applicants)

### **7. Selection criteria** (for EU applicants)

## **8. What are the award criteria for funding?**

The selection of Atlantis grants will be a competitive process based on the assessment of the quality of the proposals against the background of the description of the Actions under section 5.3.

The Education, Audiovisual and Culture Executive Agency (the Agency) and FIPSE will be assisted in their joint selection of projects for funding by panels of independent experts. The quality of the proposals meeting the eligibility and selection criteria will be judged on the basis of the award criteria set out below, which will be the main basis on which the selection decision is taken.

However, when drawing up the final list of projects to be funded, attention will be paid to ensuring the participation of institutions from as many EU Member States as possible and as broad a diversity of U.S. institutions.

Note carefully that the final list of selected projects will be such that any EU Member State is not represented with its institutions in the role of coordinator in more than one project for each of the three actions covered by the present call for proposals, provided there are other proposals of a sufficient quality where that country is not represented.

## 8.1. Transatlantic Degree consortia projects

The following quality criteria will be applied to determine the overall quality score of each eligible proposal:

The significance of the proposed project, (representing **30%** of the total score) will be determined by –

the utility of the products (such as information, materials, processes, or techniques) that will result from the proposed project, including the potential for their being used in a variety of other settings; and

the importance or magnitude of the results or outcomes likely to be attained by the proposed project, especially improvements in teaching and student achievement.

In particular proposals will be assessed with regard to:

1. What are the objectives of the transatlantic degree and what is its contribution to educational excellence and innovation?
2. What is the significance of the project's outcomes for improvements in teaching and student achievement?
3. What is the distinctive transatlantic added value for the proposed discipline and profession?

The quality of the proposed project design, (representing **70%** of the total score) as determined by:

The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable; and

The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs.

In particular proposals will be assessed with regard to:

1. How **well integrated** is the transatlantic degree or certificate among the consortia institutions?
2. What is the **level of commitment** for the delivery of the degree or certificate as evidenced by the letters from the institutions?
3. What is the soundness and clarity of the **arrangement for academic credits**, including, if applicable, the extent to which ECTS mechanisms such as the grading scale and other mechanisms for study periods compatible with ECTS will be used?
4. How well does the proposal describe the **cooperation mechanisms and administrative structure** of the transatlantic consortium for institutionalization, meetings, defined roles for partners, and communications? Does the proposal describe clearly the agreements reached within the consortium on student tuition and other fees?

5. How well does the proposal describe the consortium structure **for student and faculty mobility** between hosting institutions? If work placements or training experiences are foreseen, are the host organizations clearly identified as well as the duration and context in which these activities will take place?
6. What is the quality of the **language plan**, particularly, the use of training facilities, training and evaluation methods, mentors and tutors, local language resources, and assessment?
7. How well does the proposal describe the **resources available for hosting foreign students** and faculty, particularly, the availability of an office and persons dedicated to linguistic assistance, housing, coaching, visas and insurance, and activities for social integration?
8. What is the **quality of the evaluation plan**, including formative and summative evaluations, feedback mechanisms, and assessments by independent and external entities?
9. What is the **quality of the dissemination plan**? Is there a clear strategy for the project's sustainability after the Atlantis funding period?

## **8.2. Excellence in Mobility Projects**

The following quality criteria will be applied to determine the overall quality score of each eligible proposal:

The significance of the proposed project, (representing **30%** of the total score) will be determined by –

the utility of the products (such as information, materials, processes, or techniques) that will result from the proposed project, including the potential for their being used in a variety of other settings; and

the importance or magnitude of the results or outcomes likely to be attained by the proposed project, especially improvements in teaching and student achievement.

In particular the significance of a proposal will be assessed with regard to:

1. What are the objectives of the mobility project and what is its contribution to educational excellence and innovation?
2. What is the significance of the project's outcomes for improvements in teaching and student achievement?
3. What is the distinctive transatlantic value of the special designation for the program of study for the proposed discipline and profession?

The quality of the proposed project design, (representing **70%** of the total score) will be determined by –

the extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable; and



the extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs.

In particular the quality of the project design proposals will be assessed with regard to:

1. **How well integrated is the mobility program** among the consortia institutions?
2. What is the **level of commitment** for the delivery of the mobility program as evidenced by the letters from the institutions?
3. What is the soundness and clarity of the **arrangement for academic credits**, including, if applicable, the extent to which ECTS mechanisms such as the grading scale and other mechanisms for study periods compatible with ECTS will be used?
4. How well does the proposal describe the **cooperation mechanisms and administrative structure** of the transatlantic consortium for institutionalization, meetings, defined roles for partners, and communications? Does the proposal describe clearly the agreements reached within the consortium on students' tuition and other fees?
5. How well does the proposal describe the **consortium structure for student and faculty mobility** between hosting institutions? If work placements or training experiences are foreseen, are the host organizations clearly identified as well as the duration and context in which these activities will take place?
6. What is the **quality of the language plan**, particularly, the use of training facilities, mentors and tutors, language resources, and assessment?
7. How well does the proposal describe the **resources available for hosting foreign students and faculty**, particularly, the availability of an office and persons dedicated to linguistic assistance, housing, coaching, visas and insurance, and activities for social integration?
8. What is the **quality of the evaluation plan**, including formative and summative evaluations, feedback mechanisms, and assessments by independent and external entities?
9. What is the **quality of the dissemination plan**? Is there a clear strategy for the project's sustainability after the Atlantis funding period?

### **8.3. Policy-oriented Measures**

The following quality criteria will be applied to determine the overall quality score of each eligible proposal:

The significance of the proposed project, (representing **30%** of the total score) as determined by :

the extent to which the proposed project involves the development or demonstration of promising new ideas or strategies; and

the utility of the products (such as information, materials, processes, or techniques) that will result from the proposed project, including the potential for their being used in a variety of other settings; and

the importance or magnitude of the results or outcomes likely to be attained by the proposed project, especially improvements in teaching and student achievement.

The quality of the project design, (representing **70%** of the total score) as determined by:

the extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable; and

the extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs.

## 9. What are the funding amounts?

The European Commission will provide funding for the direct use of the EU partners, and the U.S. Department of Education (FIPSE) will provide funding for the direct use of the United States partner(s). **It is anticipated that six to eight Transatlantic Degree projects, three to five Excellence in Mobility and three to five Policy-Oriented Measures projects will be funded in 2009.** A summary of funding amounts is provided in the table below.

	Minimum Consortium Membership	Administrative (Flat) Rate	Faculty Mobility Grants	Student Mobility Grants	Project Total (U.S. + EU)
<b>Transatlantic Degree Projects (2 EU and 1 US institution awarding the joint/dual degree)</b>	1 U.S. 2 EU	\$72,000* €60,000	\$60,000 €60,000	\$288,000 €288,000	\$420,000 €408,000
<b>Transatlantic Degree Projects (2 EU and 2 US institutions awarding the joint/dual degree)</b>	2 U.S. 2 EU	\$92,000* €60,000	\$80,000 €80,000	\$288,000 €288,000	\$460,000 €428,000
<b>Excellence in Mobility Projects</b>	2 U.S. 2 EU	\$42,000* €30,000	\$30,000 €30,000	\$120,000 €120,000	\$192,000 €180,000
<b>Policy Oriented Measures</b>	2 U.S. 2 EU	N/A	N/A	N/A	\$76,000 €70,000

\* Includes additional funds for 2009 annual meeting, increased evaluation, and language assessment.

### 9.1. Transatlantic Degree consortia projects

Transatlantic degree consortia may apply for three types of funding: i) flat rates/fixed amounts for administering the project, ii) transatlantic mobility grants for EU and U.S. students and iii) travel grants for EU and U.S. faculty.

## EU applicants

The amounts of funding EU consortia institutions can apply for in relation to the three categories mentioned above for a four-year project are explained below. The overall amount of funding on the EU side for a four-year consortia project cannot exceed a maximum of €408.000/428.000.

Flat rates for EU consortia institutions: A flat-rate amount of €60.000 will be granted for a four-year period to each selected transatlantic degree consortium. This flat-rate amount is calculated at a maximum of €7.500 per institution per year and is to be distributed between the EU partner institutions and covers the entire contractual duration of the project.

Transatlantic mobility grants to EU students: Transatlantic mobility grants are calculated at €12.000 per student. Each student is supposed to spend on the other side of the Atlantic at least one full academic year. The purpose of the grant is pay for those costs associated with study abroad that are over and above the cost for conducting the same study at the home institution. Mobility grants are intended for full-time studies. The maximum amount of mobility grants to EU students for a four-year project will not exceed €288.000. Consortia should plan to mobilize in total at least 24 students from each side of the Atlantic or six students for each year of the four-year project duration.

Transatlantic degree consortia are free to charge tuition and fees to students as they wish according to their national legislation and according to the agreement reached within each consortium. However, all students participating in a joint or dual degree must be treated in the same way regardless of whether or not they receive a stipend or grant. In other words, students receiving a grant must not be charged more than students without a grant. Transatlantic degree consortia must determine how mobility grants will be allocated within the consortia, taking into account the mobility requirements of the double or joint degree as well as an appropriate balance in the distribution of students. However, consortia will have some flexibility for adjustments.

Transatlantic mobility grants to EU faculty: Each successful project will be awarded a maximum of €60.000 for faculty travel grants in the case of consortia with only one U.S. institution and €80.000 in the case of a consortium with two U.S institutions awarding the joint/dual degree. Transatlantic mobility grants are calculated at €1,000 per week plus a fixed amount of €1.000 for travel per scholar in relation to scholarly work at the partner U.S. institutions with a minimum of one week and a maximum of eight weeks. Any number of faculty members may participate in mobility provided that the grant allocation and the minimum and maximum duration requirements are respected. This budget may also be used for attending the annual conference that will be held in Europe, Canada or in the United States.

## U.S. applicants

The award for a four-year undergraduate or graduate degree project is based on support for 24 students, six students in each of four years. The total award for the project will be divided across all four years. Funds not used in any given year will be carried forward into the next year.

Flat rates for U.S. consortia with one US institution: In 2009 a flat-rate amount of \$72,000 will be granted for a four-year period to each selected transatlantic degree consortium. See the budget instructions for how this is budgeted over four years.

Flat rates for U.S. consortia with two US institution awarding transatlantic joint/dual degrees: A flat-rate amount of \$92,000 will be granted for a four-year period to each selected transatlantic degree consortium. This flat-rate amount is to be distributed between the U.S. partner institutions and covers the entire duration of the project. See the budget instructions for how this is budgeted over four years.

Transatlantic mobility stipends for U.S. students: Each student will receive a stipend of \$12,000 to defray the difference between study at home and study abroad. Each student must spend at least one full academic year in Europe. The purpose of the stipend is pay for those costs associated with study abroad that are over and above the cost for conducting the same study at the home institution. The travel stipends are intended for full-time studies. The amount of travel stipends to U.S. students for a four-year project will be \$288,000.

Transatlantic degree consortia are free to charge tuition and fees to students as they wish according to their national legislation and according to the agreement reached within each consortium. However, all students participating in a joint or dual degree must be treated in the same way regardless of whether or not they receive a stipend or grant. In other words, students receiving a stipend must not be charged more than students without a stipend. Transatlantic degree consortia must determine how stipends will be allocated within the consortia, taking into account the mobility requirements of the double or joint degree as well as an appropriate balance in the distribution of students. However, consortia will have some flexibility for adjustments.

Transatlantic mobility stipends for U.S. faculty: Each successful project will be awarded \$60,000 in case of consortia with only one US institution and \$ 80,000 in case of consortia with two U.S. institutions awarding the transatlantic joint/dual degree for faculty travel stipends. Faculty travel stipends are \$1,000 per week plus a fixed amount of \$1,000 for travel per scholar in relation to scholarly work and teaching at a partner EU institution with a minimum of one week and a maximum of eight weeks. Teachers, trainers, administrators, and other relevant specialists are encouraged to participate in structured exchanges. Such exchanges for teaching or research assignments must be done within the consortium and be directly related to the project's focus. Any number of faculty members may participate in mobility provided that the stipend allocation and the minimum and maximum duration requirements are respected.

## 9.2. Excellence in Mobility projects

Excellence mobility projects may apply for three types of funding: i) flat rate/fixed amounts for administering the project, ii) transatlantic mobility grants or stipends to EU and U.S. students and, iii) travel stipends for EU and U.S. faculty.

### EU applicants

The overall amount of funding on the EU side for a four-year consortia project cannot exceed a maximum of €180.000.

The maximum amounts of funding EU consortia institutions can apply for in relation to the three categories mentioned above for a three-year project are fixed as follows:

Flat rates for EU consortia institutions: A maximum flat-rate amount of €30.000 will be granted for a four-year period to each selected transatlantic degree consortium. This flat-rate amount is calculated at €3.750 per institution per year and is to be distributed between the EU partner institutions and covers the entire contractual duration of the project.

Transatlantic mobility grants to EU students: Transatlantic mobility grants are calculated at €5.000 per student. Grants are intended for full-time studies. Each mobile student is supposed to spend on the other side of the Atlantic at least one academic semester or term of no less than four months and such to bear at least 30 ECTS. The purpose of the grant is pay for those costs associated with study abroad that are over and above the cost for conducting the same study at the home institution. . Excellence consortia project should plan to mobilize at least six (24) students from each side of the Atlantic over the life of the four-year project duration. The maximum amount of students mobility grants for a four-year project will be €120.000.

Transatlantic mobility grants to EU faculty: Each successful project will be awarded a maximum of €30.000 for faculty travel grants. Transatlantic mobility grants are calculated at €1.000 per week plus a fixed amount of €1.000 for travel per scholar in relation to scholarly work and teaching at the partner U.S. institutions with a minimum of one week and a maximum of four weeks. Any number of faculty members may participate in mobility provided that the grant allocation and the minimum and maximum duration requirements are respected.

### U.S. applicants

The amount on the U.S. side for a four-year consortia project is \$192,000. The amount of funding U.S. consortia institutions may apply for in relation to the three categories mentioned above for a four-year project are fixed as follows:

The fixed amount for administering the Mobility project is \$42,000 for four years. That administrative budget amount covers salaries and benefits, evaluation costs, attendance at the annual meeting, and additional consortia meetings. Indirect costs may be applied to this part of the budget. More details are provided in the U.S. budget instructions.

The fixed amount for scholar/faculty travel stipends in a Mobility program grant is \$7,500 per year or \$30,000 total. Teachers, trainers, administrators, and other relevant specialists are encouraged to participate in structured exchanges. Such exchanges for teaching or research must be done within the consortium and be directly related to the project's focus. Faculty travel stipends are \$1,000 per week plus \$1,000 for travel expenses. Faculty travel stipends may support expenses for travel from one to four weeks. The amount of the grant or stipend per U.S. scholar therefore ranges between \$2,000 and \$5,000 depending on the actual duration of transatlantic mobility. Faculty stipends are restricted to travel expenses and may not be used for salaries. See the U.S. budget instructions for additional information.

Transatlantic mobility stipends to U.S. students: Transatlantic mobility grants are fixed at \$5,000 per student. Stipends are intended for full-time studies. Each mobile student must spend at least one academic term of no less than four calendar months on the other side of the Atlantic and include at least 30 ECTS. The purpose of the stipend is pay for those costs associated with study abroad that are over and above the cost for conducting the same study at the home institution. Consortia should plan to mobilize at least six students annually from each side of the Atlantic over the life of the four-year project duration. This means that the U.S. and the EU would each support 24 students. The total amount of student mobility grants for a four-year project will be \$120,000. U.S. student mobility stipends are restricted to overseas expenses and may not be used for other budget lines

Proposals that are based on a summer program of study of less than a full academic term of four months will not be competitive for funding.

### 9.3 Policy-oriented Measures change amounts change

In the U.S., policy-oriented measures projects will be funded for two years for a total of \$76,000. Budgets may be submitted that include all line items except student grants. Indirect costs are applicable. See the U.S. budget instructions for additional information.

The EU side of the consortia implementing policy oriented measures may apply for a funding of up to 75% of the project cost incurred by the EU side up to a maximum of €70,000 for projects with a maximum duration of two years.

### **The annual conference**

An important part of Atlantis is the annual conference. All faculty and staff participants are expected to attend the annual meeting. The participation of all U.S. and EU partners at these conferences is essential because it provides the only opportunity for your consortium and both funding agencies to meet together. We recommend that you also arrange for the participation of some selected students to this event. This conference is intended to serve as a medium where EU and U.S. project participants can meet together to share ideas on what works. It is also intended as a forum for discussion to help the EU and U.S. administrations make important decisions on how best to coordinate the program. Project partners are also given ample time during the annual meeting to work as a group by themselves as well as with their program officers. Consortia

should make provisions for participation in these meetings with at least one partner from each participating institution. It is also expected that the independent evaluator will be at one of meetings, preferably the first meeting. **Participation in this conference may be covered from either the flat rate/administrative costs or grants for faculty mobility.** No other specific funding will be provided. The Atlantis meeting is held in the fall or winter and alternates between Europe and the United States. The meeting may be held in conjunction with the EU-Canada Program. The 2009 meeting will be in the United States, 2010 in the EU, 2011 in Canada, and 2012 in the EU.

## **10. Financial conditions**

### 10.1. Grant Agreements

For EU applicants a grant agreement for a transatlantic degree or Excellence in Mobility project with a maximum duration of four (4) years will be signed between the Commission and the coordinator of the project. For Policy-oriented measures the grant agreement would normally be two (2) years. For U.S. applicants the grant agreement is with the institutional applicant and the same durations apply.

### 10.2. General financial conditions **(for EU applicants)**

### 10.3. Payment procedures **(for EU applicants)**

### 10.4. Audit report **(for EU applicants)**

### 10.5. Guarantee (for EU applicants)

### 10.6. Double financing **(for EU applicants)**

## **11. Sub-contracting and award of procurement contract** (for EU applicants)

## **12. Publicity** (for EU applicants)

## **13. What are the procedures for submitting a proposal?**

The present call for proposal is implemented by the Education, Audiovisual and Culture Executive Agency Executive (the Agency) on behalf of the European Commission (DG EAC) and by the U.S. Department of Education's Fund for the Improvement of Postsecondary Education (FIPSE). European partners should read the guidelines and forms published by the Agency. **Applicants from the European Union and the United States must include in their application forms to be submitted to the Agency and to FIPSE a common proposal narrative.**

**The closing date for submitting proposals is March 23, 2009.** Proposal applications not received by both agencies in time for this submission date will not be eligible for funding.

Selection results will be communicated in June 2009 and awards will be made by FIPSE and by EACEA in June/July .

### **Submission of the grant application in the United States.**

The U.S. Department of Education and other U.S. federal agencies and departments have a single point of information and submission for all grant programs. If you are applying to FIPSE for the EU-U.S. Atlantis Program, you will find information and instructions in the application packet at [www.grants.gov](http://www.grants.gov). The package is available as soon as the Federal Register Notice is published. It is important to note that U.S. institutions must register for this site in order to apply for federal grants. If your institution has not already done so, a representative for your institution should register several weeks in advance of the submission date in order to apply in time for this federal grant program. If you wish to request an exemption from this electronic submission, note the conditions listed on the website. You may also register for email notification for federal grant programs.

**It is important to note that U.S. submissions logged in by grants.gov after 4:30:00 pm EST on the due date are marked as “late” and are not eligible for review or funding.**

For U.S. applicants seeking further information, please contact:

Frank Frankfort, Ph.D.  
EU-U.S. Atlantis Program Coordinator  
U.S. Department of Education  
Fund for the Improvement of Postsecondary Education (FIPSE)  
1990 K Street, NW, 6th Floor  
Washington, D.C. 20006-8544  
Tel: 202-502-7513  
Fax: 202-502-7877  
[frank.frankfort@ed.gov](mailto:frank.frankfort@ed.gov)

Submission of the grant application in the European Union.

The call for proposals is being published on the Internet sites:

[http://eacea.ec.europa.eu/extcoop/usa/index\\_en.htm](http://eacea.ec.europa.eu/extcoop/usa/index_en.htm)  
[http://europa.eu.int/comm/education/programs/calls/callg\\_en.html](http://europa.eu.int/comm/education/programs/calls/callg_en.html)

Applications on behalf of the EU lead institution must be submitted on the correct form, duly completed, signed the person authorised to enter into legally binding commitments on behalf of the applicant organization and dated.

The European lead institution must submit the original application plus two copies by registered mail postmarked before the deadline to the following address:



The Education, Audiovisual and Culture Executive Agency  
EU-US Atlantis Call for proposals 2009  
Avenue du Bourget 1 (BOUR 00/37)  
B-1040 Brussels

In addition the European lead institution must send an electronic version of the proposal of the following email address: [eacea-eu-us@ec.europa.eu](mailto:eacea-eu-us@ec.europa.eu)

Applications sent by fax will not be accepted. Applications sent by e-mail will not be accepted unless they are backed up by an original (signed) application submitted before the deadline.

No changes to the dossier can be made after the application has been submitted. However, if there is a need to clarify certain aspects, the Commission may contact the applicant for this purpose.

Applicants will be informed of the receipt of their proposal within 15 working days.

Only applications that fulfill the eligibility criteria will be considered for a grant. If an application is deemed ineligible, a letter indicating the reasons will be sent to the applicant.

All unsuccessful applicants will be informed in writing.

Selected proposals will be subjected to a financial analysis, in connection with which the Commission may ask the persons responsible for the proposed actions to provide additional information and, if appropriate, guarantees.

The list of accepted applications with details of beneficiary, project description, amount and percentage of subsidy will also be published on DG EAC web site after the completion of the award procedure.

For EU applicants seeking further information, please contact the following mailbox:  
[EACEA-EU-US@ec.europa.eu](mailto:EACEA-EU-US@ec.europa.eu)

#### **14. What are the requirements for performance reports?**

The European Commission, through the Agency and FIPSE carefully monitor the progress of projects towards their goals through communication with their respective lead and partner institutions and through communication among themselves. Although the timing may vary somewhat, both the Agency and FIPSE require annual performance reports to be submitted on the project goals, curricular development, evaluation, memoranda of understanding, student mobility, project expenditures, and a plan for upcoming activities. In addition a final report is required at the conclusion of the project. FIPSE has a website for filing U.S. project descriptions, annual performance and evaluation reports, final reports, and requests for administrative changes. FIPSE and the Agency will send instructions for submitting performance reports to the respective lead institutions or organizations. FIPSE annual reports are due July 15 and final reports are due 90 days after the grant ends. Agency interim reports are due at the end of each year of implementation, the final report is due 60 days after the end of the contract.

Transatlantic Degree and Excellence in Mobility projects must submit signed memoranda of understanding at the time of the first annual report.

If funded, the U.S. grantees will be required to report data on student persistence and graduation/completion rates. In the U.S. this is explained in the application package under the Government Performance and Results Act (GPRA).

## **15. What are the contents of the proposal?**

EU and U.S. applications packages for Atlantis consist of three components: proposal narrative, application forms, and annexes/attachments. It is important to remember that the proposal narrative must be identical for both submissions. There are differences only in the EU and U.S. application forms and required annexes or attachments.

The forms for U.S. applicants and the instructions for filling them out are in [www.grants.gov](http://www.grants.gov). The forms for EU applicants and the instructions for filling them out are in [http://europa.eu.int/comm/education/programs/eu-usa/call\\_en.html](http://europa.eu.int/comm/education/programs/eu-usa/call_en.html) [http://europa.eu.int/comm/education/programs/calls/callg\\_en.html](http://europa.eu.int/comm/education/programs/calls/callg_en.html) EU and U.S applicants must submit the identical proposal narrative in their respective application packages The requirements for the proposal narrative that is submitted by EU and U.S. applicants are the same and are listed below. Proposal narratives for Atlantis grants may not exceed 6000 words (excluding annexes and attachments) and must address the following points.

For a Transatlantic Degree project:

1. The objectives of the transatlantic degree and its potential contribution to educational excellence and innovation.
2. The project's outcomes for improving teaching and student achievement.
3. The added value for the proposed discipline and profession and the proposed Transatlantic degree compared with courses and programs that may already exist in the same field at national and international levels.
4. The joint study program and how it is integrated among the consortia institutions (including its work placement and internship elements if any).
5. The commitment and the formal administrative arrangements for the delivery of the degree as evidenced by letters from the highest administrative and academic levels at the partner institutions.
6. The guarantee that the proposed joint or dual degrees awarded by the institutions in the EU and the U.S. will be recognized and accredited by Member States and relevant U.S. agencies.

7. The arrangement for academic credits, including, if applicable, the extent to which ECTS mechanisms such as the grading scale and other mechanisms for study periods compatible with ECTS will be used.
8. The use of the Diploma Supplement and the plan to improve international transparency in order to facilitate academic and professional recognition of qualifications and accreditation.
9. The cooperative mechanisms and administrative structure for institutionalization, meetings, roles for partners, and communications.
10. The shared arrangements for student selection and admission to the transatlantic degree.
11. The arrangement for tuition and fees.
12. The consortium structure and mechanisms for student and faculty mobility between hosting institutions.
13. The language plan, particularly, the use of training facilities, mentors and tutors, and local language resources.
14. The resources available for hosting foreign students and faculty, particularly, the availability of an office and persons dedicated to linguistic assistance, housing, coaching, visas and insurance, and activities for social integration.
15. The evaluation plan, including formative and summative evaluations, feedback mechanisms, and assessments by independent entities.
16. The plans for promoting and disseminating the results of the project as well as for ensuring its sustainability after the end of the Atlantis funding.

For an Excellence in Mobility project:

1. The objectives of the mobility project, the definition of the designated program such as a specialization if applicable, and its potential contribution to educational excellence and innovation, including the discipline.
2. The project's outcomes for improving teaching and student achievement.
3. The added value for the proposed discipline and profession and the proposed mobility project compared with courses and programs that may already exist in the same fields at national and international levels.
4. The mobility program and how it is integrated among the consortia institution (including its work placement and internship elements if any).

5. The commitment and the formal administrative arrangements for the mobility program as evidenced by letters from the highest administrative and academic levels at the partner institutions.
6. The arrangement for academic credits, including, if applicable, the extent to which ECTS mechanisms such as the grading scale and other mechanisms for study periods compatible with ECTS will be used.
7. The cooperative mechanisms and administrative structure for institutionalization, meetings, roles for partners, and communications.
8. The arrangement for tuition and fees.
9. The consortium structure and mechanisms for student and faculty mobility between hosting institutions.
10. The language plan, particularly, the use of training facilities, mentors and tutors, and local language resources.
11. The resources available for hosting foreign students and faculty, particularly, the availability of an office and persons dedicated to linguistic assistance, housing, coaching, visas and insurance, and activities for social integration.
12. The evaluation plan, including formative and summative evaluations, feedback mechanisms, and assessments by independent entities.
13. The plans for promoting and disseminating the results of the project as well as for ensuring its sustainability after the end of the Atlantis funding.
14. The use of the Diploma Supplement, if applicable, and the plan to improve international transparency in order to facilitate academic and professional recognition of qualifications and accreditations received during the transatlantic study period.

For a Policy-oriented Measures project:

1. The goals, objectives, and activities of the project, including the role of each of the partners in the project.
2. The development or demonstration of innovative ideas or strategies within the proposed discipline or group of disciplines.
3. The utility of the information, materials, processes, or techniques that will result from the proposed project.

4. The impact of the proposed project on improvements in teaching, research, and student achievement.

5. The evaluation and dissemination plan of the project.

eu-us guidelines/2009 guidelines dec 18 final

**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.

**ATTENTION**

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov. We strongly recommend that you review these details on [www.Grants.gov](http://www.Grants.gov) before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Applicants will no longer need to use the PureEdge software to create or submit an application. 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.

- 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 4:30:00 p.m. Washington, DC time on the deadline date.

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

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov and the Department 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 4:30:00 p.m. Washington, DC time, 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 4:30:00 p.m. Washington, D.C. time, on the deadline 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/applicants/applicant\\_faqs.jsp#54](http://www.grants.gov/applicants/applicant_faqs.jsp#54). 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 <http://www.grants.gov/contactus/contactus.jsp>, 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).

If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date.

If electronic submission is required, you must submit an electronic application before 4:30:00 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

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 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 may need to use the Citrix solution discussed on Grants.gov to submit an application using Grants.gov. For additional information, review the FAQs for non-windows users [http://www.grants.gov/help/download\\_software.jsp](http://www.grants.gov/help/download_software.jsp). **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.)

### Attaching Files – Additional Tips

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

1. Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). Also, do not upload any password protected files to your application.
2. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
3. When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend you keep your file names to less than 50 characters. In addition, applicants should avoid including special characters in their file names (for example, %, \*, /, etc.) Both of these conditions (lengthy file names and/or special characters including in the file names) could result in difficulties opening and processing a submitted application.
4. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

### Grants.gov Registration Instruction for Organizations



The Grants.gov registration process involves three basic steps:

1. Register your organization
  - Obtain a D-U-N-S 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 (<https://apply.grants.gov/OrcRegister>)
  - Register with Grants.gov (<https://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 both the E-Business POC and an AOR, you should authorize your own AOR request

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 own 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/assets/IndividualRegCheck.pdf>. If you apply as an individual to a grant application package designated for organizations, your application will be rejected.

#### D-U-N-S Number Instructions

To successfully submit an application using Grants.gov, you must provide your organization's D-U-N-S Number. A D-U-N-S Number is a unique nine-digit number issued by 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 D-U-N-S numbers. Ask your grant administrator or chief financial officer to provide your organization's D-U-N-S Number.

If your organization does not have a D-U-N-S Number, you can obtain one at no charge by calling 1-866-705-5711 or by completing a D-U-N-S Number Request Form ([http://www.dnb.com/US/duns\\_update/index.html](http://www.dnb.com/US/duns_update/index.html)). You will need to provide the following information:

- Legal name
- Tradestyle, doing business as (DBA), or 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)
- Is this 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 website

(<http://www.bpn.gov/ccrinq/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 website (<https://www.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 D-U-N-S 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/ccrinq/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 by 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 deadline date.**

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

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

#### Applications Delivered by Mail

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

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.116M)  
LBJ Basement Level 1  
400 Maryland Avenue, SW  
Washington, DC 20202-4260

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

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

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

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

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

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

### **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 84.116M)  
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.

4000-01-U  
DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

Fund for the Improvement of Postsecondary Education (FIPSE)--

Special Focus Competition: European Union-United States

Atlantis Program

Notice inviting applications for new awards for fiscal year (FY)  
2009.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.116J.

Dates:

Applications Available: December 22, 2009.

Deadline for Transmittal of Applications: March 23, 2009.

Deadline for Intergovernmental Review: May 25, 2009.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The purpose of the program is to provide grants to or enter into cooperative agreements with eligible applicants to improve postsecondary education.

Priority: Under this competition, we are particularly interested in applications that address the following priority.

Invitational Priority: For FY 2009, this priority is an invitational priority. Under 34 CFR 75.105(c)(1) we do not give

an application that meets this invitational priority a competitive or absolute preference over other applications.

This priority is designed to support the formation of educational consortia of American and European institutions to support cooperation in the coordination of curricula, the exchange of students, and the opening of educational opportunities between the United States (U.S.) and the European Union (EU). This priority relates to the purpose of the European Union-United States Atlantis (Atlantis) Program to develop and implement undergraduate joint or dual degree programs, or short-term exchange programs.

This invitational priority is established in cooperation with the EU. These awards support only the participation of U.S. institutions and students in the educational consortia established under this priority. EU institutions participating in any consortium proposal responding to the invitational priority may apply to the Directorate-General for Education and Culture (DG EAC), European Commission, for funding under a separate but parallel EU competition.

Program Authority: 20 U.S.C. 1138-1138d.

Applicable Regulations: The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99.

Note: The regulations in 34 CFR part 79 apply to all applicants except federally recognized Indian tribes.

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

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: The Administration has requested \$37,433,000 for the FIPSE programs, of which we intend to allocate \$4,486,000 for new awards for the European-Union-United States Atlantis program in FY 2009. The actual level of funding, if any, depends on final congressional action.

However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

Estimated Range of Awards: \$35,000-\$116,000 for the first year only.

Estimated Average Size of Awards: \$35,000 for a Policy Oriented Measures grant, \$45,000 for a Mobility grant, and \$116,000 for a Transatlantic Degree grant. These figures are for the first year of funding in a multi-year grant. You can find a detailed description of each of these three types of grants in the program guidelines in the application package for this competition.

Maximum Award: We will reject any application that proposes a budget exceeding \$150,000 for a single budget period of 12 months. The Assistant Secretary for Postsecondary Education may change the maximum amount through a notice published in the Federal Register.

Estimated Number of Awards: 45.

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

Project Period: Up to 48 months.

### III. Eligibility Information

1. Eligible Applicants: Institutions of higher education (IHEs) or combinations of IHEs and other public and private nonprofit institutions and agencies.

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: You can obtain an application package via the Internet or from the Education Publications Center (ED Pubs). To obtain a copy via the Internet, use the following address: [www.grants.gov](http://www.grants.gov). To obtain a copy from ED Pubs, write, fax, or call the following: Education Publications Center, P.O. Box 1398, Jessup, MD 20794-1398. Telephone, toll free: 1-877-433-7827. FAX: (301) 470-



1244. If you use a telecommunications device for the deaf (TDD), call, toll free: 1-877-576-7734.

You can contact ED Pubs at its Web site, also:  
www.ed.gov/pubs/edpubs.html or at its e-mail address:  
edpubs@inet.ed.gov

If you request an application from ED Pubs, be sure to identify this program or competition as follows: CFDA number 84.116J.

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

## 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 competition.

**Word Limit and Application Format:** The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the application narrative (Part III) to no more than 6000 words. The page format for the application must comply with the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- 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 6000-word limit applies only to the application narrative (Part III). It does not apply to Part I, the Application for Federal Assistance sheet (SF 424); the supplemental information form required by the Department of Education; Part II, the budget summary form (ED Form 524); and Part IV, the assurances, certifications, and survey forms. In addition, the 6000-word limit does not apply to the one-page abstract, appendices, the short bios, letters of commitment, line item budget, or 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 the purpose of the word limit. You must include your

complete response to the selection criteria in the program narrative.

We will reject your application if you exceed the 6000 word limit.

3. Submission Dates and Times:

Applications Available: December 22, 2008

Deadline for Transmittal of Applications: March 23, 2009.

Applications for grants under this competition 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 of this notice.

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

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

Deadline for Intergovernmental Review: May 25, 2009.

4. Intergovernmental Review: This competition 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 competition.

5. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Other Submission Requirements: Applications for grants under this competition 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 EU-U.S. Atlantis Program, CFDA Number 84.116J, must be submitted electronically using the Governmentwide Grants.gov Apply site at [www.Grants.gov](http://www.Grants.gov). Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission

requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

You may access the electronic grant application for the EU-U.S. Atlantis Program at [www.Grants.gov](http://www.Grants.gov). You must search for the downloadable application package for this competition by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.116, not 84.116J).

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 competition to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov at <http://e-Grants.ed.gov/help/GrantsgovSubmissionProcedures.pdf>

- To submit your application via Grants.gov, you must complete all steps in the Grants.gov registration process (see [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 [www.grants.gov/section910/Grants.govRegistrationBrochure.pdf](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.

- 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 word-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 of 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: Frank Frankfort, U.S. Department of Education, 1990 K Street, NW., room 6152, Washington, DC 20006-8544. FAX: (202) 502-7877.

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:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.116J)  
LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

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

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.

(3) A dated shipping label, invoice, or receipt from a commercial carrier.

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

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

(1) A private metered postmark.

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

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

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

c. Submission of Paper Applications by Hand Delivery.

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

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.116J)

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

Selection Criteria: The selection criteria for this competition are from 34 CFR 75.210 of EDGAR and are listed in the application package.

VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notice (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 of this notice.

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

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to [www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html)

4. Performance Measures: Under the Government Performance and Results Act of 1993 (GPRA), the following two measures will

be used by the Department in assessing the performance of the FIPSE program as a whole:

(1) The percentage of FIPSE grantees who report project dissemination to others; and

(2) The percentage of FIPSE projects that report institutionalization on their home campuses.

In addition, the program has developed two performance measures specifically for the FIPSE European Union-United States Atlantis Program:

(1) The percentage of students pursuing a joint or dual degree who persist from one academic year to the next (persistence); and

(2) The percentage of students who graduate within the project's stated time for completing a joint or dual degree (graduation).

If funded, you will be asked to collect and report data in your project's annual performance report (EDGAR, 34 CFR 75.590) on the program's four measures. Consequently, applicants are advised to include these four measures in conceptualizing the design, implementation, and evaluation of their proposed projects. Consideration of the performance measures is an important part of many of the review criteria. Thus, it is important to the success of your application that you include these measures. These measures should be a part of the project

evaluation plan, along with any measures of your progress on the goals and objectives that are specific to your project.

#### VII. Agency Contact

For Further Information Contact: Frank Frankfort, Fund for the Improvement of Postsecondary Education, European Union-United States Atlantis Program, 1990 K Street, NW., room 6152, Washington, DC 20006-8544. Telephone: (202) 502-7513 or by e-mail: frank.frankfort@ed.gov. The contact person does not mail application materials and does not accept applications.

If you use a TDD, call the Federal Relay Service (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 person 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:

---

Vickie L. Schray,  
Acting Deputy Assistant Secretary  
Higher Education Programs.

## **1998 Amendments to Higher Education Act of 1965 [excerpt]**

P.L. 105-244

### **TITLE VII--GRADUATE AND POSTSECONDARY IMPROVEMENT PROGRAMS SEC. 701. REVISION OF TITLE VII.**

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

### **TITLE VII--GRADUATE AND POSTSECONDARY IMPROVEMENT PROGRAMS SEC. 700. PURPOSE.**

It is the purpose of this title--

(1) to authorize national graduate fellowship programs--

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

(B) that are designed to--

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

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

(2) to promote postsecondary programs.

### **PART A--GRADUATE EDUCATION PROGRAMS [not shown; not applicable]**

### **PART B--FUND FOR THE IMPROVEMENT OF POSTSECONDARY EDUCATION SEC. 741. FUND FOR THE IMPROVEMENT OF POSTSECONDARY EDUCATION.**

(a) **AUTHORITY-** The Secretary is authorized to make grants to, or enter into contracts with, institutions of higher education, combinations of such institutions, and other public and private nonprofit institutions and agencies, to enable such institutions, combinations, and agencies to improve postsecondary education opportunities by--

(1) encouraging the reform, innovation, and improvement of postsecondary education, and providing equal educational opportunity for all;

(2) the creation of institutions, programs, and joint efforts involving paths to career and professional training, and combinations of academic and experiential learning;

(3) the establishment of institutions and programs based on the technology of communications;

(4) the carrying out, in postsecondary educational institutions, of changes in internal structure and operations designed to clarify institutional priorities and purposes;

(5) the design and introduction of cost-effective methods of instruction and operation;

(6) the introduction of institutional reforms designed to expand individual opportunities for entering and reentering institutions and pursuing programs of study tailored to individual needs;

(7) the introduction of reforms in graduate education, in the structure of academic professions, and in the recruitment and retention of faculties; and

(8) the creation of new institutions and programs for examining and awarding credentials to individuals, and the introduction of reforms in current institutional practices related thereto.

(b) PLANNING GRANTS- The Secretary is authorized to make planning grants to institutions of higher education for the development and testing of innovative techniques in postsecondary education. Such grants shall not exceed \$20,000.

**SEC. 742. BOARD OF THE FUND FOR THE IMPROVEMENT OF POSTSECONDARY EDUCATION.**

(a) ESTABLISHMENT- There is established a National Board of the Fund for the Improvement of Postsecondary Education (in this part referred to as the 'Board'). The Board shall consist of 15 members appointed by the Secretary for overlapping 3-year terms. A majority of the Board shall constitute a quorum. Any member of the Board who has served for 6 consecutive years shall thereafter be ineligible for appointment to the Board during a 2-year period following the expiration of such sixth year.

(b) MEMBERSHIP-

(1) IN GENERAL- The Secretary shall designate one of the members of the Board as Chairperson of the Board. A majority of the members of the Board shall be public interest representatives, including students, and a minority shall be educational representatives. All members selected shall be individuals able to contribute an important perspective on priorities for improvement in postsecondary education and strategies of educational and institutional change.

(2) APPOINTMENT OF DIRECTOR- The Secretary shall appoint the Director of the Fund for the Improvement of Postsecondary Education (hereafter in this part referred to as the 'Director').

(c) DUTIES- The Board shall--

(1) advise the Secretary and the Director on priorities for the improvement of postsecondary education and make such recommendations as the Board may deem appropriate for the improvement of postsecondary education and for the evaluation, dissemination, and adaptation of demonstrated improvements in postsecondary educational practice;

(2) advise the Secretary and the Director on the operation of the Fund for the Improvement of Postsecondary Education, including advice on planning documents, guidelines, and procedures for grant competitions prepared by the Fund; and

(3) meet at the call of the Chairperson, except that the Board shall meet whenever one-third or more of the members request in writing that a meeting be held.

(d) INFORMATION AND ASSISTANCE- The Director shall make available to the Board such information and assistance as may be necessary to enable the Board to carry out its functions.

**SEC. 743. ADMINISTRATIVE PROVISIONS.**

(a) TECHNICAL EMPLOYEES- The Secretary may appoint, for terms not to exceed 3 years, without regard to the provisions of title 5, United States Code, governing appointments in the competitive service, not more than 7 technical employees to administer this part who may be paid without regard to the provisions of chapter 51 and

subchapter III of chapter 53 of such title relating to classification and General Schedule pay rates.

(b) PROCEDURES- The Director shall establish procedures for reviewing and evaluating grants and contracts made or entered into under this part. Procedures for reviewing grant applications or contracts for financial assistance under this section may not be subject to any review outside of officials responsible for the administration of the Fund for the Improvement of Postsecondary Education.

**SEC. 744. SPECIAL PROJECTS.**

(a) GRANT AUTHORITY- The Director is authorized to make grants to institutions of higher education, or consortia thereof, and such other public agencies and nonprofit organizations as the Director deems necessary for innovative projects concerning one or more areas of particular national need identified by the Director.

(b) APPLICATION- No grant shall be made under this part unless an application is made at such time, in such manner, and contains or is accompanied by such information as the Secretary may require.

(c) AREAS OF NATIONAL NEED- Areas of national need shall initially include, but shall not be limited to, the following:

(1) Institutional restructuring to improve learning and promote productivity, efficiency, quality improvement, and cost and price control.

(2) Articulation between 2- and 4-year institutions of higher education, including developing innovative methods for ensuring the successful transfer of students from 2- to 4-year institutions of higher education.

(3) Evaluation and dissemination of model programs.

(4) International cooperation and student exchange among postsecondary educational institutions.

**SEC. 745. AUTHORIZATION OF APPROPRIATIONS.**

There are authorized to be appropriated to carry out this part \$30,000,000 for fiscal year 1999 and such sums as may be necessary for each of the 4 succeeding fiscal years.

**PART C--URBAN COMMUNITY SERVICE [not shown; not applicable]**

**PART D--DEMONSTRATION PROJECTS TO ENSURE STUDENTS WITH DISABILITIES RECEIVE A QUALITY HIGHER EDUCATION [not shown; not applicable]**

## **Executive Order 12372 (Intergovernmental Review of Federal Programs)**

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

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

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

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

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

Proof of mailing will be determined on the same basis as applications (see 34 CFR §75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (eastern time) on the closing date indicated in this notice.

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

## **General Education Provisions Act (GEPA) Section 427**

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 is included in the EU-U.S. Atlantis Program application package that must be downloaded from [Grants.gov](https://www.Grants.gov).

Attach the statement under Assurances and Certifications

## **Government Performance and Results Act (GPRA)**

The Government Performance and Results Act (GPRA) of 1993 is a statute that requires all federal agencies to manage their activities with attention to the consequences of those activities. Each agency clearly states what it intends to accomplish, identifies the resources required, and regularly reports its progress to the Congress. In doing so, GPRA is improving accountability for the expenditures of public funds, improving Congressional decision-making with more thorough and objective information on the effectiveness of federal programs, and promoting a new government focus on results, cost-effectiveness, service delivery, and customer satisfaction.

The indicators of success for four-year degree projects in the European Union-United States Atlantis Program will be measured by:

the percentage of students pursuing a joint or dual degree who persist from one academic year to the next (persistence); and,

the percentage of students who graduate within the project's stated time for completing a joint or dual degree (completion).

These two results constitute indicators of the success of our program. If funded, you will be asked to collect and report data from your project on steps taken toward these goals. Consequently, applicants to the European Union-United States Atlantis Program are advised to include these two outcomes in conceptualizing the design, implementation, and evaluation of the proposed project. The measures of these two important outcomes should be part of the project evaluation plan along with measures of objectives specific to your project.

An applicant that receives a grant award will be required to submit annual progress reports and a final report as a condition of the award. The reports will document the extent to which project goals and objectives are met. Currently, the forms for these reports can be viewed at <http://www.ed.gov/programs/fipsecomp/performance.html>.

## **Instructions for attachments and FIPSE specific application forms**

Each EU-U.S. consortium must prepare a common proposal narrative submitted to FIPSE and to the Directorate-General for Education and Culture (DG EAC). The U.S. application package contains the elements listed below. The proposal should contain sufficient information and details to allow the EU and U.S. reviewers to assess the merits of the project in relation to the criteria and objectives of the EU-U.S. Atlantis Program. **U.S. applicants must download, complete, and submit the U.S. application on [www.grants.gov](http://www.grants.gov). Note carefully that forms must be attached in under specified attachment forms in grants.gov.**

**Standard Form (SF) 424--Application for Federal Assistance.** Please follow the attached instructions. Note: Applicants must complete the SF 424 form first because some of the information you provide here is automatically inserted into other sections of Grants.gov. NOTE: Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although this form accepts attachments, the Department of Education will only review materials/files attached to the attachment forms listed above.

**Supplemental Information (SF 424) required for Department of Education grants.** Please follow the attached instructions.

Human Subjects Regulations. In accordance with Department of Education's policy on the protection of human subjects (CFR 97. 101), FIPSE grants are exempt from the regulations that govern the involvement of human subjects because the projects involve activities, including evaluation, that are defined as "(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (i) research on regular and special education instructional strategies, or (ii) 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." Although FIPSE grants are exempt from federal regulations on human subjects, institutional applicants may involve federal regulations and protocols according to their institutional practices and requirements.

**ED FIPSE Project Title Form.** Complete each applicable item using the instructions below. This Project Title Form must be attached under Other Attachments Form.

**Program:** Select EU-U.S. Program

### **ED FIPSE Consortium Partners Identification Form Consortium Members.**

Enter the name of the applicant institution or organization after Lead

Enter the name of the second U.S. Partner if applicable or type n/a (You must type something in this space in order to submit a complete application.)

Enter the name of the third U.S. Partner if applicable or leave blank



Enter the name of the lead EU applicant institution or organization after Lead  
Enter the name of the second EU Partner  
Enter the name of the third EU partner if applicable or leave blank

**Project Title:** (60 character limit) Enter the project title.

**Abstract of Proposal:** (1000 character limit) Enter the project abstract. Do not leave this space blank. The abstract must include the following information:

- Names of U.S. and EU participating institutions
- Summary of program and project activities.
- Length of study abroad and total time needed to award the degrees (if applicable).
- Number of planned consortium meetings among partner institutions for the entire grant period (note: the annual meeting counts as one per year).

**Select project format:** Select “Four-year” for a Transatlantic degree project or a Mobility project or “Two-year” for Policy-oriented Measures.

**Federal Funds Requested:** Enter the amount of federal funds requested from FIPSE for each year of the project. Calculate the budget from the instructions in Section 9 of the guidelines and the instructions for the budget form. The total will be entered automatically.

**Project Narrative Attachment Form.** You must attach your project narrative under this form. The U.S. Department of Education can only accept attachments in the following formats, .doc, .rtf., or .pdf. Documents formatted in any other manner will not be accepted. Follow the instructions provided in the guidelines and in the Federal Register Notice. Word Limit: 6000. All pages must be formatted with one (1) inch margins at the top, bottom, and both sides. Double space (no more than three lines per vertical inch) all text in the application narrative, except titles, headings, footnotes, quotations, reference, and captions, as well as all text in charts, tables, figures, and graphs. Use 12-point font. The 6000 word limit applies to the project narrative and not the budget section, budget narrative, assurances and certifications, personnel descriptions, bibliography, or letters of commitment. The narrative must be the same as that submitted in Brussels.

**Budget Narrative Attachment Form.** You must attach the budget form (**U.S. Department of Education Budget Summary**) here. In addition, you may attach an optional budget narrative here that explains any expenses in the project and indicates how budget figures have been calculated. U.S. applicants must submit budget figures in whole U.S. dollars. A budget narrative or explanation is recommended but not required. Please follow the attached instructions to complete the ED FIPSE Budget Summary form.

**Other Attachments Form.** Please create electronic documents in .doc, .pdf. or .rtf formats and attach here:

- **Personnel:** State the qualifications of the project director and other related U.S. and EU personnel. Submit only personnel descriptions of one page or less. Do not submit lengthy resumes.

- ED FIPSE Project Title Form
- ED FIPSE Consortium Partners Identification Form
- Timetable: Include a chart listing goals and planned outcomes.
- Letters of Commitment: Attach letters of commitment from the senior executive or academic officer of each partner in the consortium, indicating the commitment of the institution to implement an international degree program, a mobility project, or a policy project. We recommend that you submit signed letters in pdf.

## **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 1840-0636. The time required to complete this information collection is estimated to average 30 hours for the project director per application, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Fund for the Improvement of Postsecondary Education, Office of Postsecondary Education, U.S. Department of Education, 1990 K Street, N.W., 6<sup>th</sup> Floor, Washington, D.C. 20006.

OMB No. 1840-0636  
Expiration Date: 11/30/2009

## **Ed FIPSE Consortium Partner Identification Forms (Atlantis)**

When completing the consortium partner identification forms, it is essential that you list the lead and partner institutions for both the U.S. and the EU before moving back to the application package. The forms serve as identification for all U.S. and foreign partners involved in your consortium.

You are required to complete the original form for both the Lead Partner and Partner Two(if applicable), and two extracted copies.

PLEASE NOTE: You are required to complete this form for both the lead partner and partner two on the original form and the first extracted copy.

### **STEPS FOR COMPLETING THE CONSORTIUM PARTNERS IDENTIFICATION FORM:**

1. Enter all information on the first page for lead partner (lead U.S. institution).
2. Select “Next” at the top of the page
3. Enter all information for Partner Two (U.S. partner institution)
4. Select “Next” at the top of the page
5. Do not fill out any information for Partner Three, simply select “Next” at the top of the page.
6. On this page you are required to extract a new form and complete it for the lead partner and partner two for the European union. To extract the form select the button “Select to extract the Consortium Partners Identification Form Attachment.”
7. Save the extracted file (blank copy of the original form) to your computer.
8. Using the extracted file you saved enter all information on the first page for lead EU partner.
9. Select “Next” at the top of the page
10. Enter all information for Partner Two (EU partner institution, if applicable)
11. Select “Next” at the top of the page
12. Do not fill out any information for Partner Three, simply select “Next” at the top of the page.
13. Save the completed document to your computer.
14. Return to the original form where you “extracted” the copy and attach the copy you completed for the EU partner under “Please Attach Attachment 1” using the “Add Attachment” button.

Reminder: In order to complete these forms correctly you must extract and complete a copy of the form. When extracting a form you are basically saving a clean copy of the pure edge form to your computer, completing that form, and reattaching it to the pure edge application.

Reminder: To extract the forms fill out the original form, select the “Next” button at the top of the page until you reach button that says “Select to extract the Consortium Partners Identification Form Attachment.” Select that button, you will be prompted to save a copy of the form onto your computer, complete that form and attach it to the page where you selected to extract the

attachment. To attach the extracted form you must select “Add Attachment” on the page where you extracted the form and select the form you completed and saved on your computer.

**Instructions for FIPSE Budget Summary Form—Atlantis 2009**  
(U.S. Department of Education Budget Summary)

**General Information.** Read the instructions below very carefully before submitting a budget. The budget summary form and the optional budget narrative must be attached under the Budget Narrative Attachment Form.

Standard budget formats. The budgets for a four-year consortia degree project, a four-year mobility project, or a two-year policy projects are based on standard amounts and are distributed over the stated budget period. Unused funds from one year are carried forward into the next year.

Single project budget. There is only one budget submitted for each application and it covers all U.S. partner schools. There is no line item for the partner school(s). If you wish, you may attach a separate budget narrative for an explanation of the budget division with your partner school(s). But the applicant institution is the sole grantee for the project and is solely responsible for the grant funds.

Cost Sharing. Cost sharing is not required for this grant competition and is not part of this budget form. Institutional resources that are part of the project may be described in the project narrative but do not appear in the budget. Leave blank all items in the budget dealing with cost share and foreign partner funds.

Annual meeting fee. All grants funded in 2009 will be awarded an additional \$4,000 for the annual meeting to be held in the U.S. in October 2009. Grantees will be directed by FIPSE as to the disbursement of this budget item. See line 10 for instructions. If you receive a grant, the award document will include a special term and condition regarding this fee.

Consortia with two US and two EU awarding degrees. The additional \$10,000 per year available for consortia if both U.S. and both EU partners award a dual degree may be allocated in any direct budget line. The amounts we stipulate for each line item may be adjusted for allowable indirect costs.

Indirect costs. Indirect costs do not apply to student mobility stipends. See line 12 for further information.

- 1. Program:** Select EU-U.S. Program.
- 2. Lead (fiscal agent) and partner:** Leave blank
- 3. Name of Institution/Organization:** Enter the name of the applicant institution/organization.
- 4. Personnel (salaries & wages):** Enter annual and total amounts for faculty and staff. The funds for the evaluator are entered under contractual in line 9.
- 5. Fringe Benefits (employee benefits):** Enter annual and total amounts.

**6. Travel:** Travel funds for all grants include funds for: 1) the project director and partner faculty to attend the annual program meeting, 2) attend other consortium meetings and, 3) participating faculty to receive travel stipends to teach and conduct research at EU partner institutions. See section five of the guidelines for details.

For a four-year degree grant with one U.S. institution issuing a degree enter \$15,000 for each year (\$60,000 total, minus indirect costs). For a four-year degree grant with two U.S. institutions each issuing a degree enter \$20,000 for each year (\$80,000 total, minus indirect costs). For a four-year mobility grant enter \$7,500 for each year (\$30,000 total, minus indirect costs). Two-year policy projects may calculate funds for travel in accordance with project goals. Annual meetings of the Atlantis program alternate between Europe and the United States. Typically a consortium meets twice in each year of the grant—once at the annual program meeting in the fall and once at a separate meeting for the individual consortium.

**7. Equipment (purchase).** FIPSE does not fund equipment purchases.

**8. Supplies and materials:** Enter annual and total amounts.

**9. Contractual (evaluation):** Enter annual and total amounts for evaluation. For transatlantic degree projects enter \$3,000 each year for a four-year total of \$12,000. For excellence in mobility projects enter \$2,500 each year for a four-year total of \$10,000. For policy projects enter \$4,000 each year for a two-year total of \$8,000.

**10. Other (equipment rental, printing, etc.):** On this line enter amounts for annual language assessments plus a one-time annual meeting fee in year one (2009). For transatlantic degree and excellence in mobility projects enter \$1,500 each year for a four-year total of \$6,000 for language assessment expenses. For policy projects do not enter language assessment funds.

For all grants (degree, mobility, and policy) add \$4,000 in the first budget year (2009) for the annual meeting fee. This money is set aside for purposes designated by FIPSE and will be listed as a term and condition of the award document. If funded, you will receive instructions for this \$4,000 budget item.

**11. Total Direct Cost.** Field is calculated automatically.

**12. Indirect Costs:** Indirect costs are limited to items totaled under line 10 (Total Direct Cost). The U.S. Department of Education uses a training rate of 8 percent for grants in the EU-U.S. Atlantis Program. The 8 percent training rate also applies to additional U.S. partners. Be aware that in order to receive second, third, or fourth-year continuation funds, the grantee institution must maintain its current indirect cost agreement or negotiate a new agreement.

**13. Mobility (travel) and Language Stipends:** In the Atlantis program these are combined. For a degree grant each of the 24 U.S. students will receive \$12,000 to defray living expenses and language fees. Enter \$72,000 (6 students X \$12,000) in each of the four years. For a mobility grant each of the 24 U.S. students will receive a \$5,000 stipend for living expenses and

language fees. Enter \$30,000 (6 students X \$5,000) in each of the four years. Read section nine (9) of the guidelines carefully to check the budget instructions for mobility stipends. U.S. students may use a portion of the mobility stipend for language instruction. Mobility stipends are considered “training stipends” and are restricted to student use only. Note: Consistent with EDGAR 75.562, c, and 75.564, training stipends are not subject to indirect cost.

**14. Language Stipends:** Leave blank

**15. Subtotal of stipends:** Enter same amounts as line 13

**16. Total requested from FIPSE (lines 11 + 12+ 15) (These figures should appear on the Title Form):** Field is calculated automatically. It is important that you request exactly these amounts or as close as possible and no more. If you request lower funds, you will be awarded lower funds and you may endanger your chances at being funded. If you request more than the stated amounts, your grant will be reduced to the stated amounts.

The annual total for a transatlantic degree grant with one U.S. partner is \$108,000 in year one and \$104,000 in the remaining three years for a four-year total award of \$420,000. The annual total for a transatlantic degree grant with two U.S. partners is \$118,000 in year one and \$114,000 in the remaining three years for a four-year total award of \$460,000.

The annual total for an excellence in mobility grant is \$51,500 in year one and \$47,500 in the remaining three years for a four-year total award of \$194,000.

The annual total for a policy measures grant is \$40,000 in year one and \$36,000 in year two for a two-year total award of \$76,000.

**Project Costs Not Requested from FIPSE in lines 17 and 18:** Since there is not cost sharing in Atlantis grants, leave blank.

**Funds Requested by Foreign Partners in lines 19 a-d:** Leave blank.

**Indirect Cost Information:** If you are requesting reimbursement for indirect costs on line 12, (1): Indicate whether or not your institution/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 Education 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 not applicable.



## 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.

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:
1.	<b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Preapplication</li> <li>• Application</li> <li>• Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.</li> </ul>	10.	<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:</b> (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time. <ul style="list-style-type: none"> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> </ul> </li> <li>• Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.  A. Increase Award      B. Decrease Award  C. Increase Duration    D. Decrease Duration  E. Other (specify)</li> </ul>	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.
		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 preapplications, 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:		

	<p><b>a. Legal Name:</b> (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.</p> <p><b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.</p> <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 Grants.gov website.</p> <p><b>d. Address:</b> Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p> <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>17.</p> <p>18.</p> <p>19.</p> <p>20.</p>	<p><b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.</p> <p><b>Estimated Funding:</b> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.</p> <p><b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p> <p><b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>		
<p>9.</p>	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0"> <tr> <td data-bbox="269 1121 548 1824"> <p>A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority</p> </td> <td data-bbox="548 1121 828 1824"> <p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)</p> </td> </tr> </table>	<p>A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)</p>	<p>21.</p>	<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. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p>
<p>A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)</p>				

## Instructions for Department of Education Supplemental Information for SF 424

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

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

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

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

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

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

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

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

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

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

**Paperwork Burden Statement.** According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, 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 subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

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

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

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

##### —Research

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

##### —Human Subject

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

#### B. Exemptions.

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

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

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

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

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

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

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

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

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

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

### A. Exempt Research Narrative.

If you marked “Yes” for item 3 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to

allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### B. Nonexempt Research Narrative.

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

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

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

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

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

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

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

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

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

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

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

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

---

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



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

**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.

### **Paperwork Burden Statement for Survey**

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.

## **Application Checklist**

Use this Checklist while preparing your application package: All items listed on this checklist are required except for the optional budget narrative.

The Application Package includes five parts:

- Part I -Application for Federal Assistance (SF-424)
  - Department of Education Supplemental Information for SF-424
- Part II -Project Narrative Attachments Form:
  - Attach Project Narrative
- Part III -Budget Narrative Attachment Form:
  - Attach ED FIPSE Budget Summary Form
  - Attach Budget Narrative (optional)
- Part IV -Other Attachments Form:
  - ED FIPSE Project Title Form
  - ED FIPSE Consortium Partners Identification Form:
  - Personnel Information
  - Planning Timetable
  - Letters of Commitment
- Part V -Assurance and Certifications
  - Assurance for Non-Construction Programs (SF424B)
  - Lobbying Disclosure Form (SF LLL)
  - Certification Regarding Lobbying (ED80-0013)
  - General Education Provisions Act (GEPA)
  - Survey Ensuring Equal Opportunity for Applicants