

**Archived Information**

**U.S. DEPARTMENT OF EDUCATION**

**Office of Postsecondary Education**

**Washington, DC 20006-8544**



**Fiscal Year 2008**

**APPLICATION FOR GRANTS UNDER THE  
COMPREHENSIVE PROGRAM**

**(CFDA NUMBER: 84.116B)**

**Form Approved: OMB No. 1840-0514, Expiration Date: 5/31/2009**

**CLOSING DATE:**

**May 5, 2008**

**4:30 p.m. (Washington, D.C. Time)**

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March 2008

Dear Applicant:

Thank you for your interest in the Fund for the Improvement of Postsecondary Education's (FIPSE) FY 2008 Comprehensive Program grant competition. FIPSE supports innovation and change in postsecondary education. Its projects address significant reforms and improvements in teaching and learning that respond to problems of national importance and have potential as national models. Information about the Comprehensive Program is accessible on the FIPSE Web site at:

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

Please be advised that because very limited funds are available this year, the application process will be extremely competitive. We estimate the Comprehensive Program will be able to fund five to seven new awards in FY 2008 concentrated on testing promising practices at a larger scale and using more rigorous evaluation methodologies. For information about the program's two invitational priorities, refer to the *Federal Register* notice inviting applications for new awards for FY 2008.

The Notice Inviting Applications for New Awards published in the *Federal Register* is the official document describing the requirements for submitting a Comprehensive Program grant application. You should not rely upon any information that is inconsistent with the guidance contained in the official document. Please let us know if you have questions or require additional information. A brief conversation with a program officer about your proposal idea may save you considerable time and effort (202-502-7500).

The Department requires submission of grant applications through Grants.gov, an Internet-based electronic system, unless you have grounds for a waiver. A detailed description of the system is included in this application package. We urge you to acquaint yourself with the Grants.gov system early. The application process can be complicated and time consuming if you have not used it before. Make sure you allow yourself ample time to submit the electronic application by the deadline of May 5, 2008. Grants.gov is accessible through its portal page at:

<http://www.grants.gov>

We encourage applicants to review the "Competition Highlights" found in this application package for an overview of important items.

FIPSE appreciates your interest in the Comprehensive Program and looks forward to receiving your application.

Sincerely,

Ralph Hines  
Acting Director  
Fund for the Improvement of Postsecondary Education

## COMPETITION HIGHLIGHTS

1. **Comprehensive Program applications submitted for FY 2008 must be submitted electronically using Grants.gov.** You are urged to acquaint yourself with the requirements of Grants.gov early as the **registration procedures may require 5 or more days to complete.** A more thorough discussion is included later in this application package. Grants.gov is accessible through its portal page at:

**<http://www.grants.gov>**.

2. If you used the Department of Education's e-Application system to submit applications in the past, it is important to note that the Grants.gov site works differently.

Grants.gov does not allow applicants to "un-submit" applications. If, prior to the application closing date, you discover that changes or additions are needed once your application has been initially accepted and validated by the Department, you must "re-submit" the application. The Department considers re-submitted applications "duplicate" applications; the application with the latest "date/time received" validation will be the one accepted and processed.

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

### **Invitational Priorities:**

#### **Invitational Priority A:**

Under this priority we are particularly interested in projects that have demonstrated promising results in earlier evaluations and that will yield greater impact on a larger scale, using more rigorous evaluation methodologies (at least quasi-experimental). It is expected that the educational activities and interventions that are the subject of proposals will have demonstrated successful outcomes, but not necessarily with methods that meet the rigor of an experimental or quasi-experimental design. Less rigorous methodologies, such as pre- and post-tests and descriptive or attitudinal studies, were appropriate for use in generating the hypotheses that will now be tested on a larger scale, using more rigorous methodologies and reducing or eliminating biases that are common in smaller, anecdotal studies. Applicants are encouraged to consult the report by the Secretary's Academic Competitiveness Council (<http://www.ed.gov/about/inits/ed/competitiveness/acc-mathscience/index.html>) for a more detailed explanation about appropriate evaluation methodologies for rigorous evaluations, defined as being at least at the quasi-experimental level.

We are particularly interested in proposals for projects that can be expanded, scaled up, and evaluated rigorously to achieve one or more of the following goals:

- To encourage higher levels of access, persistence, and completion of graduation requirements for higher education;
- To align curriculum on a state or multi-state level between high schools and colleges, and between two-year and four-year postsecondary programs, to ensure continuing academic progress and transferability of credits;
- To improve the mathematics and science proficiency of postsecondary students, including pre-service mathematics and science teachers; and
- To enable postsecondary students, including pre-service teachers, to achieve proficiency or advanced proficiency or postsecondary institutions to develop programs in one or more of the less commonly taught languages: Arabic, Chinese, Korean, Japanese, Russian, and languages in the Indic, Iranian, and Turkic language families.

Invitational Priority B:

Under this priority we are particularly interested in projects that are designed to establish, improve, or expand Professional Science Master's degree programs, which combine traditional academic training with specialized knowledge and skills needed for work in science and technology research, product development, manufacturing, or other related areas. Projects must include industry partners to ensure that education and training in the Professional Science Master's degree program align with the expectations and needs of business and industry.

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

4. The project abstract is limited to one page double-spaced. The abstract must identify the problem being addressed; include a concise description of proposed project objectives and activities; and indicate intended outcomes. It should also indicate what makes the project innovative and a potential model for replication by others.

The abstract must be uploaded into the ED Abstract Form.

5. Please note that you must submit your application by 4:30 p.m. (Washington, D.C. time) on or before the application deadline date. **Late applications will not be accepted. We suggest that you submit your application several days before the deadline.** The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date and time.

6. Electronic submission of applications is required; therefore, you must submit an electronic application unless you follow the procedures outlined in the *Federal Register* notice inviting applications for new awards for FY 2008 and qualify for one of the exceptions to the electronic submission requirement.
7. All applicants are required to adhere to the 20-page limit for the Program Narrative portion of the application. Applications exceeding this page limit will not be considered. The *Federal Register* notice contains the specific standards for preparing the Program Narrative.
8. All attachments must be in .DOC, .RTF, or .PDF format. Other types of files will not be accepted.
9. Please note that Grants.gov does **not** currently support the new Microsoft Vista Operating system. The PureEdge software used by Grants.gov for forms is not compatible with Vista. In addition, the new version of Microsoft Word saves documents with the extension .DOCX. The Grants.gov system does not process Microsoft Word documents with the extension .DOCX. When submitting Microsoft Word attachments to Grants.gov, please use the version of Microsoft Word that ends in .DOC. If you have any questions regarding this matter please e-mail the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

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

For help with Grants.gov, please go to <http://www.grants.gov> and click on "For Applicants" or "Help" on the left side of the screen. Also, refer to the "Submission Procedures and Tips for Applicants" found in this application package.

You are reminded that the document published in the *Federal Register* is the official document, and that you should not rely upon any information that is inconsistent with the guidelines contained within the official document.

## SUPPLEMENTAL INFORMATION

The following information supplements the information provided in the “Dear Applicant” letter and the Closing Date Notice (CDN) inviting Applications for New Awards for Fiscal Year 2008.

### 1. Estimated Funding and Project Period

- Estimated Available Funds for FY 2008: \$2,584,000
- Estimated Range of Awards: \$400,000 - \$600,000 for a four-year project
- Estimated Average Size of Awards: \$500,000
- Estimated Number of New Awards: 5 to 7
- Project Period for New Awards: Up to 48 months

The U.S. Department of Education is not bound by these estimates.

### 2. Intergovernmental Review of Federal Programs

Intergovernmental Review of Federal Programs is designed to foster an intergovernmental partnership and to strengthen federalism by relying on state and local processes for the coordination and review of proposed federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the state's process under Executive Order 12372. A listing of the Single Point of Contact for each state may be viewed at:

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

### 3. Applicant Funding

The Department is often unable to award the full amount of funds requested. Applicants should pay close attention to the “Award Information” section of the Closing Date Notice. The Department will not fund any application at an amount exceeding \$600,000 over a four-year period.

### 4. Appendices to Applications

Appendices are limited to the following:

- Project evaluation chart
- Narrative summaries of the qualifications of key personnel (maximum one page each)
- Letters of support from partners and other project beneficiaries
- References cited in the proposal narrative (if applicable)

**NOTE:** These appendices must be attached to the “Other Attachment Form” in the Grants.gov application package.



**5. Evaluation of Applicants for Awards**

Three non-federal reviewers will evaluate each application using the selection criteria included in this application package.

**7. Selection Criteria**

The selection criteria for this program are from EDGAR 34 CFR part 75 section 75.210. They are listed in this application package under “Guide to Proposal Development.”

**8. Notice to Successful Applicants**

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

**9. Notice to Unsuccessful Applicants**

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

**10. Annual Performance Report Requirements**

If you receive a FY 2008 new grant award, you will be required during the funding cycle to submit annual and final performance reports using the FIPSE Grant Database. This online system collects narratives and data about funded projects to help program officers determine if a grantee is making substantial progress toward meeting approved project objectives. The database is accessible at: <http://www.fipse.aed.org>. The Annual Performance Report used for this program can be found at <http://www.ed.gov/programs/fipsecomp/performance.html>.

**11. Contact Information.**

**For Comprehensive Program program-related questions and assistance, please contact:**

Program Officer: Cassandra Courtney  
Address: Fund for the Improvement of Postsecondary Education  
U.S. Department of Education  
1990 K Street, N.W., Room 6166  
Washington, D.C. 20006-8544  
Telephone: (202) 502-7506  
Fax: (202) 502-7877  
E-mail Address: [cassandra.courtney@ed.gov](mailto:cassandra.courtney@ed.gov)

**For Grants.gov-related questions and assistance, please contact:**

Support Desk: Grants.gov Support Desk  
Telephone: (800) 518-4726  
Hours: Monday – Friday, 7:00 A.M. – 9:00 P.M. Eastern Time

## IMPORTANT – PLEASE READ BEFORE PREPARING YOUR APPLICATION

### 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 – Microsoft Vista and Word 2007 Users

Please note that Grants.gov does not currently support the new Microsoft Vista Operating system. The PureEdge software used by Grants.gov for forms is not compatible with Vista. Grants.gov will be reviewing this new product to determine if it can be supported in the future.

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

#### Attaching Files – Additional Tips

As described above applicants should not upload a Word 2007 (.docx) file when attaching narrative files to their application. In addition, please ensure that you only attach the Education approved file types detailed in the *Federal Register* application notice (.doc, .pdf or .rtf). Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Finally, 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 be less than 50 characters.

- 1) **REGISTER EARLY** – Grants.gov registration may take five or more business days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. For detailed information on the Registration Steps, please go to: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). [Note: Your organization will need to update its Central Contractor Registry (CCR) registration annually.]
- 2) **SUBMIT EARLY** – **We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded.** The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection,

and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30 pm on the deadline date.

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

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

If the date/time received is later than 4:30 p.m. Washington, D.C. time, on the closing date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: [http://www.grants.gov/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.

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### **Submission Problems – What Should You Do?**

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

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

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

Department that you qualify for one of these exceptions. (See the *Federal Register* notice for detailed instructions.)

### Helpful Hints When Working with Grants.gov

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

## **GRANTS.GOV REGISTRATION INSTRUCTIONS FOR ORGANIZATIONS**

The Grants.gov registration process involves three basic steps:

1. Register your organization.
  - Obtain a DUNS Number (see below for instructions).
  - Register with the Central Contractor Registry (see below for instructions).
2. Register yourself as an Authorized Organization Representative (AOR)
  - Obtain a username and password from the Grants.gov credential provider (<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: Individuals may not apply to FIPSE's Comprehensive Program. If you are a grant applicant submitting a grant application on your own behalf and not on behalf of an eligible non-profit organization, your application will be rejected.

### **DUNS NUMBER INSTRUCTIONS**

To successfully submit an application using Grants.gov, you must provide your organization's DUNS Number. A DUNS 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 DUNS numbers. Ask your grant administrator or chief financial officer to provide your organization's DUNS Number.

If your organization does not have a DUNS Number, you can obtain one at no charge by calling 1-866-705-5711 or by completing a DUNS Number Request Form ([http://www.dnb.com/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).
- Whether this is a home-based business.

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

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

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

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

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

If your organization is not already registered, you can register using the CCR Web site: <http://www.ccr.gov/Start.aspx> 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: <https://www.bpn.gov/CCRSearch/Search.aspx>

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.aspx> 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. See “Closing Date Notice” section of this package.

**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.

Your application will be rejected if you submit it in paper format unless 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. Information about the exceptions and obtaining a waiver can be found in the *Federal Register* notice for this competition.

Also refer to the *Federal Register* “Notice Inviting Applications” for more information on using Grants.gov, or visit <http://www.grants.gov>.

### APPLICATIONS DELIVERED BY MAIL

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

**U.S. Department of Education  
Application Control Center**

**Attention: (CFDA Number 84.116B)**  
**400 Maryland Avenue, S.W.**  
**Washington, D.C. 20202-4260**

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

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

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

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

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

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

## **APPLICATIONS DELIVERED BY COMMERCIAL CARRIER**

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

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

**U.S. Department of Education**  
**Application Control Center – Stop 4260**  
**Attention: CFDA # (84.116B)**  
**7100 Old Landover Road**  
**Landover, MD 20785-1506**



## **APPLICATIONS DELIVERED BY HAND**

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

**U.S. Department of Education  
Application Control Center  
Attention: CFDA Number – 84.116B  
550 12<sup>th</sup> Street, SW  
Potomac Center Plaza – Room 7041  
Washington, D.C. 20202-4260**

## **APPLICATION CONTROL CENTER HOURS OF OPERATION**

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

## **GRANT APPLICATION RECEIPT FROM THE APPLICATION CONTROL CENTER**

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

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

## **LATE APPLICATIONS**

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

## CLOSING DATE NOTICE

4000-01-U

DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

Fund for the Improvement of Postsecondary Education--

Comprehensive Program

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

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

Dates:

Applications Available: March 21, 2008.

Deadline for Transmittal of Applications: May 5, 2008.

Deadline for Intergovernmental Review: July 7, 2008.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The Comprehensive Program supports innovative grants and cooperative agreements to improve postsecondary education. It supports reforms, innovations, and significant improvements of postsecondary education that respond to problems of national significance and serve as national models.

Priorities: Under this competition, we are particularly interested in applications that meet the following invitational priorities.

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

These priorities are:

Invitational Priority 1.

Under this priority we are particularly interested in projects that have demonstrated promising results in earlier evaluations and that will yield greater impact on a larger scale, using more rigorous evaluation methodologies (at least quasi-experimental). It is expected that the educational activities and interventions that are the subject of proposals will have demonstrated successful outcomes, but not necessarily with methods that meet the rigor of an experimental or quasi-experimental design. Less rigorous methodologies, such as pre- and post-tests and descriptive or attitudinal studies, were appropriate for use in generating the hypotheses that will now be tested on a larger scale, using more rigorous methodologies and reducing or eliminating biases that are common in smaller, anecdotal studies. Applicants are encouraged to consult the report by the Secretary's Academic Competitiveness Council

(<http://www.ed.gov/about/inits/ed/competitiveness/acc-mathscience/index.html>) for a more detailed explanation about appropriate evaluation methodologies for rigorous evaluations, defined as being at least at the quasi-experimental level.

We are particularly interested in proposals for projects that can be expanded, scaled up, and evaluated rigorously to achieve one or more of the following goals:

(1) To encourage higher levels of access, persistence, and completion of graduation requirements for higher education students.

(2) To align curriculum on a State or multi-state level between high schools and colleges, and between two-year and four-year postsecondary programs, to ensure continuing academic progress and transferability of credits.

(3) To improve the mathematics and science proficiency of postsecondary students, including pre-service mathematics and science teachers.

(4) To enable postsecondary students, including pre-service teachers, to achieve proficiency in or advanced proficiency or postsecondary institutions to develop programs in one or more critical need languages: Arabic, Chinese, Korean, Japanese, Russian, and languages in the Indic, Iranian, and Turkic language families.

Invitational Priority 2.

Under this priority we are particularly interested in projects that are designed to establish, improve, or expand Professional Science Master's degree programs, which combine traditional academic training with specialized knowledge and skills needed for work in science and technology research, product development, manufacturing, or related areas. Projects should include industry partners to ensure that education and training in the Professional Science Master's degree program align with the expectations and needs of business and industry.

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, 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 or cooperative agreements.

Estimated Available Funds: \$2,584,000. The Secretary expects that grantees will receive funding in FY 2008 for the full project period.

Estimated Range of Awards: \$400,000-\$600,000 for a four-year project period.

Estimated Average Size of Awards: \$500,000 for a four-year project period.

Maximum Award: We will reject any application that proposes a budget exceeding \$600,000 for a four-year project period. The Assistant Secretary for Postsecondary Education may change the maximum amount through a notice published in the Federal Register.

Estimated Number of Awards: 5 - 7.

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

Project Period: Up to 48 months.

### III. Eligibility Information

1. Eligible Applicants: IHEs, other public and private nonprofit institutions and agencies, and combinations of these 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 84.116B.

Individuals with disabilities can obtain a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) by contacting the person or team listed under Alternative 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 program.

Page Limit: The application narrative (Part III of the application) is the section in which the applicant addresses most of the selection criteria that reviewers use to evaluate the application. The application narrative must be limited to no more than 20 pages, using 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, except titles, headings, footnotes, quotations, references, and captions. Charts, tables, figures, and graphs in the application narrative may be single spaced and will count toward the page limit.

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

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

- The page limit does not apply to Part I, the title page; Part II, the budget summary form (ED Form 524); Part IV, assurances, certifications, and the response to section 427 of the Department of Education's General Education Provisions Act (GEPA); the table of contents; the project abstract; or the appendix. The appendix may only include the project evaluation chart, summaries of the qualifications of key personnel, letters of support, and references. If you include any attachments or appendices not specifically requested, these items will be



counted as part of the program narrative (Part III) for purposes of the page limit requirement.

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

3. Submission Dates and Times:

Applications Available: March 21, 2008.

Deadline for Transmittal of Applications: May 5, 2008.

Applications for grants under this program must be submitted electronically using the Grants.gov Apply site (Grants.gov). For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 6. Other Submission Requirements in this notice.

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

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in section VII in this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the

individual's application remains subject to all other requirements and limitations in this notice.

Deadline for Intergovernmental Review: July 7, 2008.

4. Intergovernmental Review: This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this program.

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

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

a. Electronic Submission of Applications.

Applications for grants under the Comprehensive Program, CFDA number 84.116B must be submitted electronically using the Governmentwide Grants.gov Apply site at <http://www.Grants.gov> Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

You may access the electronic grant application for the Comprehensive Program at <http://www.Grants.gov>. You must search for the downloadable application package for this program by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.116, not 84.116B).

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 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not consider your application if it is date and time

stamped by the Grants.gov system later than 4:30 p.m., Washington, DC time, on the application deadline date. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30 p.m., Washington, DC time, on the application deadline date.

- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.

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

- To submit your application via Grants.gov, you must complete all steps in the Grants.gov registration process (see [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp)). These steps include (1) registering your organization, a multi-part

process that includes registration with the Central Contractor Registry (CCR); (2) registering yourself as an Authorized Organization Representative (AOR); and (3) getting authorized as an AOR by your organization. Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see <http://www.grants.gov/section910/Grants.govRegistrationBrochure.pdf>). You also must provide on your application the same D-U-N-S Number used with this registration. Please note that the registration process may take five or more business days to complete, and you must have completed all registration steps to allow you to submit successfully an application via Grants.gov. In addition you will need to update your CCR registration on an annual basis. This may take three or more business days to complete.

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

- You must submit all documents electronically, including all information you typically provide on the following forms: Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all

necessary assurances and certifications. Please note that two of these forms--the SF 424 and the Department of Education Supplemental Information for SF 424--have replaced the ED 424 (Application for Federal Education Assistance).

- You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password-protected file, we will not review that material.

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

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

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

Application Deadline Date Extension in Case of Technical Issues

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

If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30 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 p.m., Washington, DC time, on the application deadline date, please contact the person listed under For Further Information Contact in section VII in this notice and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your

ability to submit your application by 4:30 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: Levenia Ishmell, Comprehensive Program Assistant, Fund for the Improvement of Postsecondary Education, U.S. Department of Education, 1990 K Street, NW., room 6147, 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:

By mail through the U.S. Postal Service:

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

400 Maryland Avenue, SW.  
Washington, DC 20202-4260

or

By mail through a commercial carrier:

U.S. Department of Education  
Application Control Center, Stop 4260  
Attention: (CFDA Number 84.116B)  
7100 Old Landover Road  
Landover, MD 20785-1506

Regardless of which address you use, you must show proof of mailing consisting of one of the following:

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

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

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

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

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

c. Submission of Paper Applications by Hand Delivery.

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

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.116B)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

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

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

(1) You must indicate on the envelope and--if not provided by the Department--in Item 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 program are from 34 CFR 75.210 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 Notification (GAN). We may notify you informally, also.

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

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

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section in this notice and include these and other specific conditions in

the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

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

4. Performance Measures: Under the Government Performance and Results Act of 1993 (GPRA), the following measures will be used by the Department in assessing the performance of the Fund for the Improvement of Postsecondary Education's Comprehensive Program:

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

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

If funded, you will be asked to collect and report data on these measures in your project's annual performance report (EDGAR, 34 CFR 75.590). Applicants are also advised to consider

these two measures in conceptualizing the design, implementation, and evaluation of the proposed project because of their importance in the application review process.

Collection of data on these measures should be a part of the project evaluation plan, along with measures of progress on goals and objectives that are specific to your project.

#### VII. Agency Contact

For Further Information Contact: Levenia Ishmell, Fund for the Improvement of Postsecondary Education, U.S. Department of Education, 1990 K Street, NW., room 6147, Washington, DC 20006-8544. Telephone: (202) 502-7668 or by e-mail: Levenia.Ishmell@ed.gov.

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

#### VIII. Other Information

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

<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:

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

Dated:

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Diane Auer Jones,  
Assistant Secretary for Postsecondary  
Education.

## **AUTHORIZING LEGISLATION**

Title VII, Part B of the Higher Education Act as amended in 1998 (Public Law 105-244) authorizes the Department of Education to make grants to improve postsecondary education opportunities through a broad range of reforms and innovations.

### **P.L. 105-244**

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

##### **`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.

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

Intergovernmental Review of Federal Programs was issued to foster an intergovernmental partnership and strengthen federalism by relying on state and local processes for the coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. A listing of the Single Point of Contact for each State may be viewed at:

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

## GENERAL EDUCATION PROVISIONS ACT (GEPA) SECTION 427

Section 427 of GEPA requires all applicants for new awards to include in their applications a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally-assisted programs for students, teachers, and other program beneficiaries with special needs. The provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: *gender, race, national origin, color, disability, or age.*

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.

### **NOTES:**

- **Applicants for new awards must include information in their applications to address this provision in order to receive funding under this program.**
- **Applicants are required to address this provision by attaching a statement to the ED GEPA 427 Form that must be downloaded from [Grants.gov](https://www.grants.gov).**

## GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)

### What is GPRA?

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

### How has the Department of Education responded to the GPRA requirements?

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

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

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

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

### What are the performance indicators for FIPSE's Comprehensive Program?

The performance indicators for the Comprehensive Program are part of the Department's plan for meeting Goal 3. The specific goal for the Comprehensive Program is "to increase success in and completion of quality postsecondary education."

These two performance indicators measure the success of the Comprehensive Program:

1. The percentage of projects that are adopted in full or in part, or whose materials are used by other institutions, and
2. The percentage of projects with a high likelihood of sustainability beyond federal funding, based on the project officer's determination.

If funded, you will be asked to collect and report data from your project on steps taken toward achieving these goals. Applicants to the Comprehensive Program are advised

to include the two FIPSE performance indicators in conceptualizing the design, implementation, and evaluation of the proposed project. These indicators are related to some of the review criteria discussed below. Thus, it is important to the success of your application that you address them. Their measure, along with measures of goals and objectives specific to your project design, are to be a part of the project evaluation plan.

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

An applicant that receives a grant award will be required to submit annual progress reports and a final report as a condition of the award. The reports will document the extent to which project goals and objectives are met.

The most recent version of this program's annual performance report can be viewed at <http://www.ed.gov/programs/fipsecomp/performance.html>.

## **INSTRUCTIONS FOR COMPLETING THE COMPREHENSIVE PROGRAM APPLICATION PACKAGE**

The Comprehensive Program application consists of four parts, which correspond to the manner in which the submitted application should be organized. The parts are as follows:

### **PART 1: 424 FORMS**

#### **Application for Federal Assistance – (SF424) Department of Education Supplemental Information Form for SF424**

Applicants must complete the SF 424 form first because some of the information provided here is automatically inserted into other sections of the Grants.gov application package.

Do not attach any narratives, supporting files, or application components to SF 424. Although the form accepts attachments, the Department of Education will only review materials/files attached to the three “Attachments” forms listed in Part 3 below.

### **PART 2: 524 FORMS**

#### **Department of Education Budget Summary Form – (ED 524), Sections A & B**

Section C – Budget Narrative is to be included in the Budget Narrative Attachment Form (Part 3 below).

### **PART 3: ATTACHMENTS**

#### **ED Abstract Form Project Narrative Attachment Form Budget Narrative Attachment Form Other Attachments Form**

The Department of Education Abstract Form is where you attach your one-page project abstract. The abstract is to identify the problem being addressed, include a concise description of proposed project objectives and activities, and indicate intended outcomes. It should also indicate what makes the project innovative and a potential model for replication by others.

The Project Narrative Attachment Form includes the narrative section addressing the program selection criteria that will be used to evaluate applications submitted for this competition. This section has a strict page limit of 20 pages.

The Budget Narrative Attachment Form is where you attach a detailed line item budget and any supplemental budget information. The budget should demonstrate and justify that all costs are reasonable and necessary to accomplish the proposed project activities. Include a description of the activities in the budget that respond to the announced invitational priorities.

The Other Narrative Attachments Form is where you attach appendices, including:

- Project evaluation chart.
- Narrative summaries of the qualifications of key personnel (maximum one page each).
- Letters of support from partners and other project beneficiaries.
- References cited in the proposal narrative (if applicable).

If you have a group of letters of support to submit, you may find it convenient to scan and attach them as a single .PDF document.

Applicants should not upload Word 2007.DOCX files when attaching narratives to their application. **All attachments must be in .DOC, .RTF, or .PDF format. Other types of files will not be accepted.** Each file must have a unique file name; Grants.gov cannot process an application submission that includes two or more files that have the same name. Finally, when attaching files, applicants should limit the length of file names. Long file names can cause difficulties with the opening and processing of your application. We recommend making file names less than 50 characters.

#### **PART 4: ASSURANCES, CERTIFICATIONS, AND SURVEY FORMS**

**General Education Provisions Act (GEPA) Section 427  
Assurances – Non-Construction Programs (SF 424B)  
Grants.gov Lobbying Form (formerly ED Form 80-0013)  
Survey on Ensuring Equal Opportunity for Applicants  
Disclosure of Lobbying Activities (SF-LLL)**



## **PROGRAM OVERVIEW AND INSTRUCTIONS FOR THE PROJECT NARRATIVE**

### **COMPREHENSIVE PROGRAM AT A GLANCE**

#### **PURPOSE**

The Comprehensive Program is the primary grant competition of the U.S. Department of Education's Fund for the Improvement of Postsecondary Education (FIPSE). The Comprehensive Program supports innovative educational improvement projects that respond to problems of national significance.

#### **ELIGIBILITY**

FIPSE supports a wide range of *non-profit* providers of educational services. Proposals may be submitted by two- and four-year colleges and universities, both public and private; graduate and professional schools; community organizations; libraries; museums; trade and technical schools; consortia; student groups; state and local government agencies (but not federal agencies); non-profit corporations; associations; and combinations of these organizations. Proposals may be submitted by newly formed as well as established organizations. Individuals and for-profit schools and organizations are *not* eligible to apply. Other organizations may be eligible; the list here is not exhaustive. The beneficiaries of projects proposed to FIPSE must be U.S. organizations, students, and faculty.

#### **AWARDS**

The Department estimates that 5 to 7 new Comprehensive Program awards will be made in FY 2008. The Department expects to award grants ranging from \$400,000 to \$600,000 over a typical four-year period. The maximum award that may be requested over four years is \$600,000. Any application proposing a budget exceeding this amount will be rejected.

These figures are estimates only and do not bind the Department of Education to a specific number of grants, or to the amount of any grant, unless that amount is otherwise specified by statute or regulations.

#### **COST SHARING**

While there is no mandated matching requirement, FIPSE does expect grantees and their collaborating partners to share in the operational cost of funded projects to insure that the activities persist beyond the federally funded period.

Most FIPSE projects are expected to continue after the federal funding period has ended. In most cases, grantees should therefore plan to take over the costs of sustaining program administration and operations after a FIPSE grant expires.

## **EQUIPMENT, INFRASTRUCTURE, AND STUDENT FINANCIAL AID**

FIPSE does not expect to provide support for large equipment purchases or for the development of computer networks or other infrastructure. Nor do FIPSE grants provide resources/funding for undergraduate or graduate student stipends in the form of scholarships, fellowships, internships, or tuition payments. Applicants are encouraged to leverage institutional and private resources to underwrite these costs.

There is one notable exception regarding tuition payments. When graduate student assistants are employed as project staff, FIPSE may support tuition payments – but only if the payment of tuition is customarily part of an institution's compensation package for graduate assistants.

## **APPLICATION PROCESS AND DEADLINES**

The Comprehensive Program will employ a single-stage application and review process in FY 2008. Applicants are required to submit a proposal narrative consisting of 20 numbered pages, doubled-spaced, *plus* a one-page abstract, budget, budget narrative, and appendices through the Federal Government's Grants.gov system by 4:30 p.m., Washington, D.C. time on May 5, 2008. Eligible applicants may submit more than one application if each is for a different project. The review process is more fully described in the section of this document entitled "Guide to Proposal Development."

## **APPLICATION NOTICE**

The official Application Notice is published in the *Federal Register*. The information in this application package is intended to aid in preparing proposals for this competition. Nothing in this application package supersedes the information published in the *Federal Register*.

## **CONTACT INFORMATION**

This is for information only. **Do not use this address to submit applications.**

U.S. Department of Education (FIPSE)  
1990 K Street, N.W., 6<sup>th</sup> floor  
Washington, DC 20006-8544

Tel: 202-502-7500

Fax: 202-502-7877

E-mail: [FIPSE@ed.gov](mailto:FIPSE@ed.gov)

## **WEB SITE**

For information about past and current projects, successfully evaluated projects from previous years, application information, evaluation resources, and more, visit FIPSE's Web site at: <http://www.ed.gov/fipse>.

## WHAT IS EXPECTED OF A FIPSE GRANT?

### THE IMPORTANCE OF INNOVATION AND SIGNIFICANCE

For over 30 years, the Comprehensive Program has supported innovative postsecondary education reform projects. FIPSE has asked applicants to address problems of national significance – problems shared by postsecondary institutions across the country – and to create solutions to those problems that can be transferred to many additional settings. These solutions should be strategies that improve upon what others in the field are already doing, or they should translate existing effective strategies into different settings. Either way, an ideal FIPSE project, while based on current research findings, creates new knowledge and practices. It sometimes challenges conventional thinking and may even involve significant but acceptable risks. But most important, the project adds something new to the array of strategies educators can draw from to improve student access and achievement, and it demonstrates strong potential for institutionalization, sustainability, and impact beyond the local level.

Fundamentally, FIPSE has advocated a grassroots model of reform: start with a good idea, try it to see how it works, and then share what you have learned with others. When this process works, the practices originating in a FIPSE project can be transferred to many new settings. FIPSE projects should stimulate new initiatives or complement other work by institutions, associations, other funding sources, and policy makers. In some cases, FIPSE projects will implement traditional practices, but in new settings or for new groups of students. The combined effect can be a gradual and systemic improvement of educational practice nationally.

In the Comprehensive Program, FIPSE deems project ideas innovative if they have not been tried before or have been rarely tried, or if there is a significant challenge in adapting them to new settings or new target populations, including testing existing or new practices at a larger scale. FIPSE takes a national perspective when thinking about innovation; similarly, applicants should look beyond their own institutions in suggesting innovative project activities. Part of the process of preparing a grant application is learning what others are doing and understanding how effective practices could improve the situation at your institution and beyond. Sometimes by discovering a unique way to frame a problem, you will have taken a giant step toward discovering an innovative solution. The description of your project should be placed clearly in the larger, national picture, documenting the need for the specific strategies or services you propose. Remember that innovation is possible at all types of institutions and in targeting all types of students. (See discussion under the “Guide to Proposal Development” section.)

### THE IMPORTANCE OF IMPACT

Innovation by itself is seldom enough. FIPSE challenges applicants to conceive, design, and manage projects in ways that promote sustained operations and growth, increase impact in other settings, and achieve other lasting and widespread effects. A

widely felt problem in postsecondary education, an innovative solution, and likely impact on the field – all three elements – are important in FIPSE’s evaluation of a proposed project. (See discussion of the selection criteria for evaluating proposals in the “Guide to Proposal Development” section.)

As noted later in this section on FIPSE’s expectations, applicants and their partners must keep dissemination and evaluation in mind from the onset of their planning. If the innovation succeeds, what other types of institutions would be interested in adapting it? What evidence must be gathered to “prove the concept” in a convincing way to other institutions and professional organizations to encourage use of the reform elsewhere? How can the project’s products be best packaged to ensure adaptation on other campuses?

There is no single way to construct an ambitious project, and your strategies will depend very much upon the staff and resources you have at hand and the nature of the problem you are addressing. Nevertheless, FIPSE suggests you consider strategies such as the following:

- Partner with other organizations or create a consortium collaborating on a particular reform idea.
- Partner with the private sector, especially publishers, technology companies, and other organizations that have marketing expertise, resources to distribute products, etc.
- Tackle bigger units (i.e., instead of individual courses, think about departmental, institutional, or system reform, etc.) and a greater range of associated issues.
- Enlist additional institutions to expand later implementation and pilot test phases of the project.
- Work to expand reform efforts already initiated by associations, state systems, foundations, etc.
- Create portable products and helpful materials.
- Conduct training workshops to help others implement your ideas.
- Use the Internet not just to post materials but also to create communities of professionals collaboratively working to implement and test new reform ideas.
- Form an advisory board of experts, including potential adapters from institutions other than current partners, to advise project staff on implementation and dissemination issues.

Previous experience with FIPSE projects demonstrates that it is frequently better to increase participation early as a means to gather the additional resources and support you will need to sustain project growth after the end of FIPSE funding.

## **THE IMPORTANCE OF EVALUATION**

All applicants to FIPSE should plan to conduct project evaluation as part of the grant activities. Evaluation should focus primarily on assessing learning outcomes, especially as measured by student performance and achievement, not merely by opinion surveys

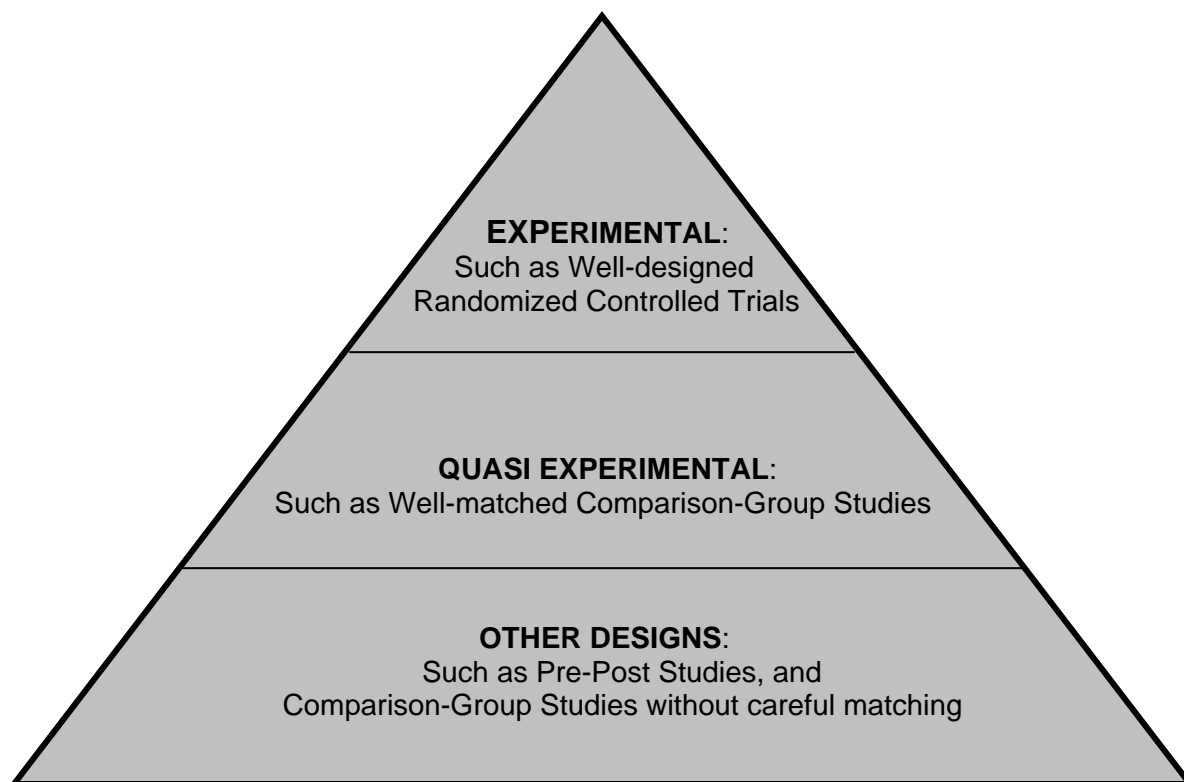
or self-reports. The evaluation should also include assessment of other outcomes, particularly if the project aims to change organizational structures, create cost-efficiencies, or achieve other ends not specifically represented by learning. The evaluation design of projects focused on cost-efficiencies must include cost analysis, for example. In general, your evaluation plan should be closely linked to the clear, measurable performance objectives of the project. Quantitative and qualitative data related to these objectives are the results by which the success of your project will be judged. (See the discussion of review selection criteria in the “Guide to Proposal Development” section.)

The project evaluation should have a multi-faceted design and be conducted by an individual (or organization) independent of the project team and its partners. However, your evaluator should collaborate with the project team in the evaluation design and work alongside the team throughout the length of the project. The evaluator should be someone with experience in program evaluation and good educational research skills, such as those commonly found in social science disciplines. This person may be required to craft new instruments or learning assessments, in addition to using or adapting existing ones. The evaluator should help you compile both formative data that you can use in improving your project as it progresses and also summative results that can help you and others gauge your project’s ultimate success.

As a general rule, applicants are encouraged to allocate at least 10 percent of the federal budget request for evaluation activities. You (and any partners) must take seriously the need to gather the best evaluation data possible, since the data will guide the work of your project and indicate its level of success. They will also be critical in persuading the postsecondary education community about the importance of your innovation.

A hierarchy of evaluation designs is shown below. This graphical representation of designs ranges from rigorous, experimental designs (at the top) to much weaker, less persuasive alternatives (at the base). Aim as high as possible in the hierarchy in selecting your project evaluation design, and be sure that the methodology is consistent with the goals of your effort. For example, a randomized control trial may not be appropriate for the initial development and evaluation of a new curriculum or activity, but claims of causality certainly cannot be made using evaluation methods below the quasi-experimental level of rigor. Discussion of the hierarchy can be found in the Department of Education’s *Report of the Academic Competitiveness Council, pages 13-16* (<http://www.ed.gov/about/inits/ed/competitiveness/acc-mathscience/index.html>).

Proposals offered in response to Invitational Priority A must include evaluations at least at the quasi-experimental level.



**Hierarchy of Study Designs for Evaluating the Effectiveness of Education Interventions**

Source: Coalition for Evidence-Based Policy, 2006

Finally, your evaluation plan must include measures of 1) the extent to which your project is being replicated, i.e., adopted or adapted by others; and 2) the extent to which your project is being institutionalized and continued after grant funding. These two results serve as indicators of FIPSE’s success as a federal grant program. (See the discussion of the Government Performance and Results Act under the review selection criteria in the “Guide to Proposal Development” section.)

**THE IMPORTANCE OF DISSEMINATION**

Dissemination for FIPSE is not simply the process of spreading the word about a new model practice, though this may be a first step in a project just getting off the ground. Rather, dissemination is viewed as a proactive process designed to influence the actual adaptation or transfer of a project to new settings. Hence, some might find that “technology transfer,” “diffusion,” “implementation assistance,” or other similar concepts closely match the meaning we intend.

FIPSE expects grants to include appropriate strategies to promote sustainability and scale-up at their originating institution(s) and dissemination to other settings. It is anticipated that funded projects will build enough momentum both to sustain their own

operation and to continue growing and influencing postsecondary practice after the end of the FIPSE support. Applicants should think about what it will take for a project to be transferred to new settings. Who needs to hear about the project? What type of evaluation data will be needed to convince others to implement or adapt the project idea? What barriers will others face and what kinds of help might they need to address the barriers? Applicants should conceive their projects with such questions in mind and include activities aimed at building momentum and project scale-up.



## FY 2008 AGENDA FOR IMPROVING POSTSECONDARY EDUCATION

FIPSE's Agenda for Improving Postsecondary Education supports the national movement for education reform, as well as FIPSE's traditional mission of improving the quality of postsecondary education and providing equal educational opportunity. All proposed projects should demonstrate both the innovation and potential impact discussed in the previous section.

Emerging today are problems of national significance that challenge postsecondary education. Some have been identified in discussions of the Secretary of Education's Commission on the Future of Higher Education and the Department of Education's *Report of the Academic Competitiveness Council*. The FY 2008 Comprehensive Program announces two invitational priorities in response to areas of particular national need.

The invitational priorities for the current competition are described below, but you may choose to focus on a topic not specifically mentioned, and you may choose to address more than one topic in a single project.

### **SCALING UP AND EVALUATING PROMISING PRACTICES**

#### **Invitational Priority A:**

**Under this priority we are particularly interested in projects that have demonstrated promising results in earlier evaluations and that will yield greater impact on a larger scale, using more rigorous evaluation methodologies (at least quasi-experimental). It is expected that the educational activities and interventions that are the subject of proposals will have demonstrated successful outcomes, but not necessarily with methods that meet the rigor of an experimental or quasi-experimental design. Less rigorous methodologies, such as pre- and post-tests and descriptive or attitudinal studies, were appropriate for use in generating the hypotheses that will now be tested on a larger scale, using more rigorous methodologies and reducing or eliminating biases that are common in smaller, anecdotal studies. Applicants are encouraged to consult the report by the Secretary's Academic Competitiveness Council (<http://www.ed.gov/about/inits/ed/competitiveness/acc-mathscience/index.html>) for a more detailed explanation about appropriate evaluation methodologies for rigorous evaluations, defined as being at least at the quasi-experimental level.**

**We are particularly interested in proposals for projects that can be expanded, scaled up, and evaluated rigorously to achieve one or more of the following goals:**

- **To encourage higher levels of access, persistence, and completion of graduation requirements for higher education.**

- **To align curricula on a state or multi-state level between secondary schools and colleges, and between two-year and four-year postsecondary programs, to ensure continuing academic progress and transferability of credits.**
- **To improve the mathematics and science proficiencies of postsecondary students, including in-service and pre-service mathematics and science teachers.**
- **To enable postsecondary students, including pre-service teachers, to achieve proficiency or advanced proficiency or postsecondary institutions to develop programs in one or more of the less-commonly taught languages: Arabic, Chinese, Korean, Japanese, Russian, and languages in the Indic, Iranian, and Turkic language families.**

FIPSE seeks proposals from institutions and organizations that have already implemented significant postsecondary reform initiatives addressing one of the four goals listed above and are now interested in taking the initiative to a larger scale at the original institution or other institutions, thus enabling a rigorous evaluation of the initiative as well as accelerating the pace of change.

## **EXPANDING PROGRAMS FOR THE PROFESSIONAL SCIENCE MASTER'S DEGREE**

### **Invitational Priority B:**

**Under this priority we are particularly interested in projects that are designed to establish, improve, or expand Professional Science Master's degree programs, which combine traditional academic training with specialized knowledge and skills needed for work in science and technology research, product development, manufacturing, or other related areas. Projects must include industry partners to ensure that education and training in the Professional Science Master's degree program align with the expectations and needs of business and industry.**

Ten years ago the Sloan Foundation encouraged the merging of science and business by providing seed money for new graduate programs leading to a Professional Science Master's (PSM) degree. The PSM degree is an innovative concept responsive to U.S. workforce needs in a competitive global market. PSM programs offer students advanced training in science and/or mathematics combined with training in other areas essential to successful work in business and industry (e.g., project management, business law, leadership, writing, and negotiation.) According to the Council of Graduate Schools, which itself received grants from the Sloan Foundation as well as from the Ford Foundation to support such programs, there are now over 100 PSM programs (<http://www.cgsnet.org/Default.aspx?tabid=227>) at more than 50 U.S. institutions.

FIPSE is interested in initiatives that achieve lasting and widespread effects – those that promote sustained operations and growth and increase impact in other settings. FIPSE

therefore seeks to advance the innovative PSM concept by supporting the expansion or modification of established programs that have demonstrated the efficacy of their designs through use of appropriate evaluation procedures as well as supporting new models that expand the reach of the PSM degree. FIPSE invites applications from institutions offering such programs that propose either 1) to significantly scale up their own efforts within the institution or within a university system, 2) to modify an existing program to incorporate new educational elements or meet current workforce needs, 3) to work collaboratively as a mentor to other institutions interested in initiating new PSM programs, or 4) to develop a new PSM program, based on successful models utilized elsewhere, to fulfill new workforce demands. A rigorous evaluation plan is required for all proposals.

Proposals must give attention to issues important in developing new market-driven academic programs, including the following:

- Assessment of workforce needs to justify program establishment.
- Faculty and administrative support for the program.
- Institutional capacity to implement and sustain the program.
- Feasible curriculum plans.
- Involvement of business and industry partners in program planning and design.
- Plans for student recruitment and advising.

You may wish to consult the Council of Graduate Schools' *Professional Master's Education: A CGS Guide to Establishing Programs* (2006).

Although we are aware PSM programs may provide student stipends, internships, tuition payments and fellowship support, FIPSE will not be able to provide funding for these program components. We encourage applicants to provide institutional support for these expenses or to secure support from private or industry partners.

## GUIDE TO PROPOSAL DEVELOPMENT<sup>1</sup>

This discussion is intended to help you conceive and write a strong proposal by alerting you to the ways in which it will be read and judged and by providing you instructions on how to submit an application. We recognize that some of the issues raised here may not pertain to your particular project, and the following remarks are not intended to oblige you to organize your proposal around direct responses to all of them.

Applicants who applied to the Comprehensive Program in the past may be accustomed to a two-stage review process, involving a short preliminary proposal and a longer more detailed final proposal. The FY 2008 Comprehensive Program competition will have only one stage. All applicants must submit a proposal consisting of a 20-page narrative (pages numbered and double-spaced), *plus* a one-page abstract, a budget summary, a budget narrative, and appendices. Applications must be submitted electronically via the Grants.gov application system.

### UNDERSTANDING FUNDING PRACTICES AND REVIEW PROCESSES

#### Before You Prepare an Application

FIPSE takes a national perspective in its grant-making. Both the importance of a project and its degree of innovation are therefore judged in relation to the needs of the postsecondary community as a whole, rather than solely in relation to the needs of the applicant's own campus or organization. Applicants are advised to describe the problem or opportunity they wish to address in both its local and national contexts. Is it common to a number of other postsecondary institutions besides your own? Does it affect a substantial number of students at those institutions? If it affects a relatively small number, is the problem so serious that it jeopardizes their ability to succeed in postsecondary education, or the opportunity so great that it can transform their learning?

Model programs addressing many common issues of postsecondary reform already exist. Some have been developed with the support of FIPSE or other funding agencies; many others have been implemented without outside grant support. Applicants are encouraged to begin their search for solutions by examining what others have already done to address the issue or problem of concern, and to adapt appropriate current models wherever possible. Please tell us if your project is an improvement and/or extension of an earlier project.

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<sup>1</sup>This program information is intended to aid applicants in applying for assistance under this competition. Nothing in this application package is intended to impose any paperwork, application content, reporting, or grantee performance requirement beyond those specifically imposed under the statute and regulations governing the competition.

FIPSE's Web site at <http://www.ed.gov/FIPSE> contains information on resources that would be useful to a prospective applicant in developing a proposal. One of these is *Lessons Learned*, an occasional FIPSE publication, containing descriptions and results of many previously funded FIPSE projects. The Web site also has descriptions of projects FIPSE has funded since 1994 (see [www.fipse.aed.org](http://www.fipse.aed.org)), evaluation information and suggestions, material on other competitions, and funding advice from FIPSE program officers. For assistance on proposal writing, see <http://www.ed.gov/programs/fipsecomp/2005-ta-materials.html>).

Prospective applicants should note that, although FIPSE staff cannot review draft proposals, program officers are happy to discuss project ideas by telephone or in person. To set up an appointment call the FIPSE office at 202-502-7500.

### **Cost Sharing/Institutional Support**

The Comprehensive Program does not mandate any particular rate for cost sharing or matching funds. However, the applicant institution and any partners should significantly support the project both philosophically and financially. Because FIPSE applicants are often seeking support that will develop or strengthen their own programs or capacities, FIPSE expects the host institution and its partners to contribute substantial resources. This will not always be the case, however, as individual circumstances and the resources available to participating institutions vary.

### **Indirect Cost Rates**

FIPSE does not have a restricted, training, or other reduced rate that automatically caps the rate at which a grantee can charge indirect costs. Applicants requesting reimbursement of indirect costs must complete the "Indirect Cost Information" section of the required Budget Summary Form (ED 524). For additional information on reimbursement of indirect costs, see instructions at the end of this application package.

### **Conflicts of Interest**

All applicants are reminded to review the requirements of Sections 74.42 (Codes of Conduct) and 75.525 (Conflict of Interest) of the Department of Education General Administrative Regulations (EDGAR). Applicants must disclose any personal and financial interests that may be involved among the participants in the proposed project. Not long ago FIPSE received an application in which both the proposed project director and the project evaluator were members of an advisory board to the profit-making organization whose product was to be tested under the non-profit organization's project. In such an instance, neither FIPSE nor the American public can have confidence in the reported results of a project, regardless of whether the applicant has a real financial interest in the product. Such entanglements should be avoided. Failure to disclose such entanglements will preclude further consideration of an application.

## **Recommended Proposal Outline**

There is no standard or required outline for writing your proposal narrative; however, it is **not** generally recommended that you organize your proposal in sections separately detailing your response to each of the review criteria. Rather, you should aim to write a clear, naturally flowing essay that is interesting, easy to read, and visually appealing. You will need to provide information that helps reviewers understand what you are proposing, why it is important, how your project will be implemented, and how it will be evaluated.

Many applicants tend to follow an outline such as the following:

- Briefly describe the problem or need you intend to address in both its local and national contexts, connecting it to larger changes affecting postsecondary education.
- Explain what exactly you propose to do about the problem you have identified.
- Explain the way in which your proposed solution is a testable model for improvement on existing practice nationally or an innovative approach whose results could be significant to postsecondary education.
- For applicants under Priority A: Describe what steps will be taken to evaluate your model or activities rigorously, including at a larger scale.
- Where applicable, describe prior work and evaluation results upon which you are building the proposed project.
- State the primary objectives and outcomes of the proposed project, and carefully describe how you intend to conduct a rigorous evaluation of whether you have achieved them.
- Explain the work plan and, as appropriate, each participant's role in completing the project.
- Describe your strategies for dissemination and for expanding the scope of your pilot project's impact on postsecondary reform nationally.

## **Review Requirements and Process**

Applicants will submit a proposal consisting of a narrative not exceeding 20 numbered pages, double-spaced (no more than three lines per vertical inch), *plus* a one-page abstract, budget summary, budget narrative, and appendices, through the Grants.gov application system. Only the following fonts may be used:

- Times New Roman
- Courier
- Courier New
- Arial

Applications submitted in any other font (including Times Roman and Arial Narrow) will not be accepted. To ensure all applicants the same opportunity to present their ideas,

applicants are required to conform to the page limit noted above, use minimum 1-inch margins on all four sides of the page, and avoid font sizes smaller than 12 point. Make sure your line spacing is set for double-spacing and not 1.5 lines.

In addition to the 20-page proposal narrative, abstract, budget summary, and budget narrative, include in the application package an appendix containing the following items. Include *only* these items in the appendix:

- Project evaluation chart (required);
- Narrative summaries (maximum one page each) of the qualifications of key project personnel – project director, co-director, and evaluator (required);
- Letters of support from partners and other project beneficiaries (if applicable); and
- References cited in the proposal narrative (if applicable).

Your application package should give external reviewers and the FIPSE staff a concrete understanding of the problem you are addressing and the solutions you propose, including a description of how you will evaluate the results. Use clear, direct language and avoid jargon, clichés, and acronyms whenever possible. As noted above, explain how your project strategy differs from and improves upon current practice at your institution and elsewhere in the nation.

Proposals will be evaluated by three outside reviewers, identified each year from among faculty, administrators, and professionals across the country that have specialized knowledge on your topic. Additional experts may review proposals when technical questions arise. The FIPSE staff will read proposals and reviewers' evaluations of them. Project directors may be telephoned to clarify information about their projects. Staff may also contact others who know the applicant's work and plans or those who will be affected by the project.

## **ALIGNING YOUR PROPOSAL TO THE REVIEW SELECTION CRITERIA**

### **The Government Performance and Results Act (GPRA) and Your Application**

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 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 success of FIPSE's Comprehensive Program is measured by 1) the percentage of projects that are adopted in full or in part, or whose materials are used by other

institutions and 2) the percentage of projects with a high likelihood of sustainability beyond federal funding, based on the project officer's determination. These two results constitute FIPSE's indicators of the success of the program.

If funded, you will be asked to collect and report data from your project on steps taken toward achieving these goals. Applicants to the Comprehensive Program are advised to include the two FIPSE performance indicators in conceptualizing the design, implementation, and evaluation of the proposed project. These indicators are related to some of the review criteria discussed below. Thus, it is important to the success of your application that you address them. Their measure, along with measures of goals and objectives specific to your project design, are to be a part of the project evaluation plan.

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

## **Selection Criteria**

Our intent in this section is to help applicants understand how the selection criteria are applied during the proposal review process. FIPSE does not group proposals rigidly by types of activities, sectors of postsecondary education, or other fixed categories. Instead, in our desire to identify the most significant issues and feasible plans, we compare each proposal to all others, using the criteria described below.

Each selection criterion is presented in bold type and followed by a discussion of how it applies to the competition. The reviewers of your proposal use these criteria to guide their assignment of ratings, so it is in your interest to be familiar with them. The overall assessment of a proposal is based on the extent to which it satisfactorily addresses all the selection criteria.

Proposals will be considered in light of the following five criteria and their factors. *All criteria are weighted equally:*

### **1) The need for the project, as determined by the following factor:**

-- the magnitude or severity of the problem addressed by the project.

You should describe the nature and magnitude of the problem or opportunity you wish to address *in both its local setting and a national context*. The previous section of this booklet identifies some areas of needed reform, but you may choose to focus on a topic not specifically mentioned in these guidelines, or you may choose to address more than one topic in a single project.

How central is the problem you have identified to your institution's vitality or the effectiveness of your educational services? Does the same problem affect other



institutions around the country? Have attempts to remedy the situation been made by you or by others in the past, and with what results? What will be the local and national consequences of a successful completion of your project? Are other institutions or organizations likely to benefit or learn from your experience in ways that would enable them to improve their own programs and services?

In short, the need or problem should be widely felt, and your strategies should be carefully designed to address the central causes of the problem you are addressing based on your own research and experience and on previous experiments by others. Scatter-shot approaches to vaguely defined problems make poor prospects for funding.

**2) The significance of the project, as determined by the following factors:**

- a) the national significance of the proposed project;
- b) the extent to which the proposed project involves the development or demonstration of promising new strategies that build on, or are alternatives to, existing strategies; and
- c) the potential replicability of the proposed project or strategies, including, as appropriate, the potential for implementation in a variety of settings.

It is not enough merely to address an important problem; it is also crucial that your proposal offer a solution to that problem that is *innovative* when compared to what others have done to address the problem, on your own campus and elsewhere, or that proposes to take a promising innovation developed by your or others to a larger scale. Furthermore, it must be a solution that has good potential for large-scale implementation and for replicability or impact (one of the GPRA indicators discussed above).

Reviewers will appreciate any evidence you can include to illustrate how your project differs from, improves upon, or takes to a larger scale previous efforts. Describe the potential contribution of your project to demonstrating effective, new reform strategies and the likely utility of the products (such as information, materials, processes, or techniques) that will result from it for other institutions. It is the applicant's responsibility to set a context within which reviewers can assess the project's importance to postsecondary education reform.

FIPSE seeks to make the most of its limited funds by supporting projects that can become models for others in postsecondary education. Applicants should discuss the potential of the proposed project for implementation elsewhere. Keep in mind that, if adopting or adapting your project activities is heavily dependent on external funding, it will be very difficult for other institutions to replicate them, and this may reduce the potential impact of your project.

**3) The quality of the project design, as determined by the following factors:**

- a) 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;
- b) the extent to which the proposed design includes a thorough, high-quality review of the relevant literature, a high-quality plan for project implementation, and the use of appropriate methodological tools to ensure successful achievement of project objectives; and
- c) the extent to which the project is designed to build capacity and yield results that will extend beyond the period of federal financial assistance.

Your narrative should offer reviewers a clear description of who will do what, when, where, why, and with what anticipated results. The project's goals and objectives must be clearly identified and measurable. Responsibilities, timelines, and milestones for accomplishing project tasks must also be specified. In the appendix to your proposal, briefly outline the qualifications of key personnel, including the project director, co-director, evaluator, and major consultants or subcontractors. Please note that standard curriculum vitae are not appropriate for this purpose. What is needed is a brief (one page maximum) narrative summary of each individual's background, with a special focus on those experiences related to the topic of your application. (Vitae for key personnel will be requested from successful applicants after awards are announced.)

Directly or indirectly, learners should be the principal beneficiaries of your project. Our focus on the learner means that FIPSE is especially interested in evaluation plans that assess projects in terms of their consequences for student learning. FIPSE does not support basic research; rather, its focus is on implementation of projects that demonstrate, test, and take to larger scale effective approaches to postsecondary education.

Philosophically, FIPSE grants are intended to provide seed capital for the initial development or expansion of innovative projects, not for ongoing support of existing program operations. Grants will generally be used to support programs or activities that are intended to continue after a grant ends. Your proposal should have a clear and convincing plan for long-term continuation that includes explicit commitments from those who will be responsible for sustaining the activity.

**4) The quality of the project evaluation, as determined by the following factors:**

- a) the extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project;
- b) the extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible; and

- c) the extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings.

Evaluation should be an important part of your project planning. Include in your proposal a description of how you intend to document the activities and results of your project. Formative evaluation can help you manage your project more effectively, and a strong summative evaluation, especially if it documents the project's effects on the learner, can turn a successful project into a national model for improvement in postsecondary education. As you develop your evaluation plan, place yourself in the position of a recipient of your final evaluation report at the end of the project period. What would count as solid quantitative and qualitative evidence that your project had succeeded or failed? It may be difficult, within the term of the grant, to assess accomplishment of long-range objectives, but you should be able to identify some short-term indicators. Bear in mind that the goals of local institutionalization and wider impact may well elude you unless you can provide solid evidence that your project is achieving its aims. Developing such evidence should not be put off until the last stages of a project. It must be a consideration from the design stage onward.

Before a project can become a model, its proponents must be able to prove that it has achieved its aims in its original setting. That is why a solid evaluation plan, one that focuses as much as possible on precisely how the project has improved educational outcomes, is an essential component of FIPSE projects. **Include in the appendix to your application a two-column chart, the first column listing for each year of the project the major goals and objectives, and the second column listing what evaluation measures will be used to show attainment of that goal or objective.** A third column may be added to show responsibilities, timelines, and milestones.

All applicants, but particularly those submitting proposals under Priority A, should give close attention to the evaluation expectations described above in the section, "The Importance of Evaluation." Project-specific objectives should be carefully selected and rigorous evaluation measures chosen to determine whether the objectives are met.

In addition to project-specific objectives, the evaluation plan must include as objectives the two FIPSE performance indicators discussed above in the section on the Government Performance and Results Act (GPRA). The plans must also include *measures* of the two indicators: 1) replication (the extent to which a project is being adopted in full or in part by others, or its materials are being used by other institutions) and 2) sustainability (the likelihood that a project will be continued and institutionalized beyond federal funding).

FIPSE provides a bibliography of books and articles on program evaluation to assist you with evaluation design. These references clarify formative and summative evaluation. They address evidence, measurement, and sampling questions as well as data collection and analysis. They also discuss the immediate and long-range outcomes you

can expect based on your project objectives. The evaluation bibliography as well as a PowerPoint presentation on evaluation design is available on FIPSE's Web site at <http://www.ed.gov/about/offices/list/ope/fipse/evaluate.html>.

**5) The adequacy of resources for the proposed project, as determined by the following factors:**

- a) the extent to which costs are reasonable in relation to the objectives, design, and potential significance of the proposed project;
- b) the relevance and demonstrated commitment of each partner in the proposed project to its implementation and success; and
- c) the potential for continued support of the project after federal funding ends, including, as appropriate, the demonstrated commitment of appropriate entities to such support.

A budget summary and budget narrative attached to your proposal should itemize the support you request from FIPSE and the support you expect to obtain from sources other than FIPSE. It must be clear from the proposal narrative how your budget request relates to the attainment of your goals and objectives.

FIPSE is especially interested in projects designed to be cost-effective, designed to increase the likelihood that successful efforts will be continued beyond the period of a FIPSE grant, designed to be replicated by others. But cost-effectiveness must not imply insufficient resources to accomplish the project's goals and objectives. Costs should be allocated, and will be judged, in relation to the scope of the project and the requirements for achieving its objectives.

It is important to provide evidence that the plans you propose have the support of those who will authorize them, those who will carry them out, and those who will be affected by them. Your proposal may include, in an appendix, letters of specific commitment and support from senior administrators of the host institution, any partners in the project, other key constituents, and, if desired, national experts on the issues addressed in the proposal. Applicants are advised that the quality of letters of support is important, not their quantity.

When planning for long-term institutionalization, it is often desirable to create a project budget in which there is increasing reliance on institutional resources and gradually decreasing FIPSE support during the life of the grant. FIPSE expects applicants to demonstrate significant financial support of proposed projects.

Since issues of cost are almost always critical for institutionalization and continuation after grant funding ends, proposals requiring grant dollars for equipment, student financial aid, or faculty and student incentive payments are rarely competitive. Instead, FIPSE expects that projects requiring such funds will acquire them or equivalent in-kind

contributions from other sources. Grants cannot be used for the purchase of real property or for construction. See the section above on “Cost Sharing/Institutional Support.”

## INSTRUCTIONS FOR STANDARD FORMS

- Application for Federal Assistance (SF 424)
- Department of Education Supplemental Form for the SF 424
- Department of Education Budget Summary Form (ED 524)
- Disclosure of Lobbying Activities (SF-LLL)
- Survey Instructions on Ensuring Equal Opportunity for Applicants

**INSTRUCTIONS FOR THE SF-424**

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

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

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

Item	Entry:	Item	Entry:
1.	<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.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the Federal Government’s financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. <ul style="list-style-type: none"> <li>A. Increase Award      B. Decrease Award</li> <li>C. Increase Duration    D. Decrease Duration</li> <li>E. Other (specify)</li> </ul> </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 – 2-3 characters District Number, e.g., CA-12 for California 12 <sup>th</sup> district, NC-103 for North Carolina’s 103 <sup>rd</sup> district. <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:		
	<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.	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	<b>Estimated Funding:</b> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. 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.
	<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.		
	<b>d. Address:</b> Enter the complete address as follows: Street address (Line		

	<p>1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p> <p><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>	19.	<p><b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p>		
		20.	<p><b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>		
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0" data-bbox="154 569 846 1056"> <tr> <td data-bbox="154 569 505 1056"> <p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p> </td> <td data-bbox="505 569 846 1056"> <p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p> </td> </tr> </table>	<p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p>	21.	<p><b>Authorized Representative:</b> (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.</p> <p>A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p>
<p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p>				



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

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

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

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

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

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

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

**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.”

**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”

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

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

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

# DEFINITIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424 (Attachment to Instructions for Supplemental Information for SF 424)

## Definitions:

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

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

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

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

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

### —RESEARCH

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

### —HUMAN SUBJECT

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." (1) *If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional*

*technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

#### B. Exemptions.

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

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

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

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

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the

information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

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

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture. II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives If the applicant marked "Yes" for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

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

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

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

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

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

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

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

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

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

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

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

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

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

# Instructions for ED 524

## General Instructions

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

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

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

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

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

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

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

### Indirect Cost Information:

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. (2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check "Other," specify the name of the Federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

Section B - Budget Summary  
Non-Federal Funds

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

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

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

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

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

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

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct +-cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

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

4. Provide other explanations or comments you deem necessary.

#### **Paperwork Burden Statement**

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

## **PROGRAM-SPECIFIC INSTRUCTIONS: BUDGET SUMMARY FORMS AND BUDGET NARRATIVE**

The application to the Comprehensive Program must include a budget covering a project performance period *not to exceed four years*. Applicants must submit (1) a budget information form to categorize requested funds (ED Form 524, Section A & B), **and** (2) a detailed line item budget with narrative justification (Section C).

**The budget summary** is to be included on the “Budget Information-Non-Construction Program” (ED Form 524). The applicant must complete both Sections A & B.

Include in Section C of the budget form **the detailed line item budget AND the accompanying budget narrative for each year funding is requested**. This information is provided in the “Budget Narrative Attachment Form,” which requests information about the applicant’s financial plan for carrying out the project.

For each line item, provide detailed costs and narrative justification to support your request. **Be certain to check all figures and combined totals, and compare the line item figures in the budget detail to those shown on both Sections A and B of ED Form 524, the budget summary.**

Among the costs that may be supported with grant funds are:

1. **Personnel**: Enter only the project personnel salaries and wages. (Fees and expenses for consultants should be included on line 8 – “Other.”) The budget should include the total commitment of time and the total salary to be charged to the project for each key staff person. A breakdown of project personnel should include: position titles, specific time commitments to project for each staff person in days/months or in percentage, and other relevant information.
2. **Fringe Benefits**: Enter fringe benefits for personnel represented in line 1.
3. **Travel**: Provide the costs for project personnel. (Consultants’ travel should be included on line 8 – “Other.”) Indicate the number of people traveling, whether they are faculty or administrative personnel, their destination, and a breakdown of travel costs. Transportation costs should not exceed economy airfare. Foreign travel may be authorized under the grant for itineraries that are in compliance with the Fly America Act. Per diem costs are allowable for project-related travel, in accordance with OMB Circular A-21, J.48c.

In each year of your budget request, please include travel funds for the project director, project evaluator, and possibly another individual representing your project to attend the annual FIPSE Project Directors’ Meeting each fall. The project director is required to attend all annual meetings, and the evaluator is expected to attend in the first year of the

project. The meeting is usually held in Washington, D.C., over two nights and three days.

4. Equipment: Provide the cost for property charged to the grant having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.
5. Supplies: Include materials necessary for conducting, developing, or implementing the project, such as general office supplies, software, computers, conference materials, and equipment that are less than \$5000 per unit.
6. Contractual: Include costs to “subcontractors” such as partners in a project involving a consortium or a project serving adapting institutions in a dissemination initiative.
7. Construction: Not applicable. Leave blank.
8. Other: Other miscellaneous costs may be requested in this category. Examples of allowable costs include: professional services fees for consultants, evaluators, conference speakers, auditors, etc.; printing costs for newsletters and publications; telephone expenses; equipment rental; travel expenses for non-project personnel; and per diem for non-project personnel. Provide a detailed breakdown of the costs, such as the number of days for which per diem is requested; number of days and costs for consultant or evaluator services; quantity and cost for printing; ground transportation costs, etc. Please note that professional services fees should not exceed amounts permitted under comparable institutional policies.
9. Total Direct Costs: Enter the total direct costs (items 1-8) being requested.
10. Indirect Costs: If applied, the indirect cost rate to the FIPSE grant must be less than or equal the rate approved by the federal government under the applicant’s Indirect Cost Rate Agreement.
11. Training Stipends: Not applicable. Leave blank.
12. Total Costs: Enter the total requested under the Comprehensive Program (items 9-11)



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

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

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

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

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

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

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

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

### **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 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** The Agency Contact listed in this grant application package.

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

## **SUMMARY CHECKLIST FOR COMPREHENSIVE PROGRAM APPLICATION ON GRANTS.GOV**

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

**PART 1:      Application for Federal Assistance – SF 424  
                 Department of Education Supplemental Information Form for SF 424**

**PART 2:      Department of Education Budget Summary Form – ED 524,  
                 Sections A & B**

**PART 3:      Department of Education Abstract Form  
                 Project Narrative Attachment Form  
                 Budget Narrative Attachment Form**

**Note:** Section C of ED 524 (the Itemized Line Item Budget) is attached here.

**Other Attachments Form**

Use for the appendix, including only the following:

- Project evaluation chart.
- Narrative summaries of the qualifications of key personnel (maximum one page each).
- Letters of support from partners and other project beneficiaries.
- References cited in the proposal narrative (if applicable).

**NOTE:** Make sure you have not attached any narratives, supporting files, or application components to 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.

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

**PART 4:      GEPA Section 427  
                 Assurances – Non-Construction Programs (SF424B)  
                 Grants.gov Lobbying Form  
                 Survey on Ensuring Equal Opportunity for Applicants  
                 Disclosure of Lobbying Activities (SF-LLL)**

## 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 **1840-0514**. The time required to complete this information collection is estimated to average 25 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202-4537. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** FIPSE Comprehensive Program Coordinator, Room 6166, 1990 K St., N.W., Washington, DC 20006-8544.

# FORMS

**Application for Federal Assistance SF-424**

Version 02

*1. Type of Submission: <input type="checkbox"/> Preapplication <input type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	*2. Type of Application    * If Revision, select appropriate letter(s) <input type="checkbox"/> New <input type="checkbox"/> Continuation    *Other (Specify) _____ <input type="checkbox"/> Revision
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3. Date Received:	4. Applicant Identifier:
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5a. Federal Entity Identifier:	*5b. Federal Award Identifier:
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**State Use Only:**

6. Date Received by State:	7. State Application Identifier:
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**8. APPLICANT INFORMATION:**

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

**d. Address:**

*Street 1: _____
Street 2: _____
*City: _____
County: _____
*State: _____
Province: _____
*Country: _____
*Zip / Postal Code: _____

**e. Organizational Unit:**

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

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

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

Organizational Affiliation: \_\_\_\_\_

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

**Application for Federal Assistance SF-424**

Version 02

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

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\*Other (Specify)

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

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

\_\_\_\_\_

CFDA Title:

\_\_\_\_\_

**\*12 Funding Opportunity Number:**

\_\_\_\_\_

\*Title:

\_\_\_\_\_

**13. Competition Identification Number:**

\_\_\_\_\_

Title:

\_\_\_\_\_

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

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



**Application for Federal Assistance SF-424**

Version 02

**16. Congressional Districts Of:**

\*a. Applicant: \_\_\_\_\_

\*b. Program/Project: \_\_\_\_\_

**17. Proposed Project:**

\*a. Start Date: \_\_\_\_\_

\*b. End Date: \_\_\_\_\_

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

\*a. Federal \_\_\_\_\_

\*b. Applicant \_\_\_\_\_

\*c. State \_\_\_\_\_

\*d. Local \_\_\_\_\_

\*e. Other \_\_\_\_\_

\*f. Program Income \_\_\_\_\_

\*g. TOTAL \_\_\_\_\_

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

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

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

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

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

Yes       No

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

\*\* I AGREE

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

**Authorized Representative:**

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

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

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

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

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

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

\*Telephone Number: \_\_\_\_\_

Fax Number: \_\_\_\_\_

\* Email: \_\_\_\_\_

\*Signature of Authorized Representative: \_\_\_\_\_

\*Date Signed: \_\_\_\_\_

**Application for Federal Assistance SF-424**  
Version 02

**\*Applicant Federal Debt Delinquency Explanation**

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

**SUPPLEMENTAL INFORMATION REQUIRED FOR  
DEPARTMENT OF EDUCATION**

**1. Project Director:**

Prefix:	*First Name:	Middle Name:	*LastName:	Suffix:
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Address:

\* Street1:

Street2:

\* City:

County:

\* State  \* Zip Code:  \* Country:

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

Email Address:

**2. Applicant Experience:**

Novice Applicant                 

Yes      No      Not applicable to this program

**3. Human Subjects Research:**

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

       
Yes      No

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

Yes Provide Exemption(s) #:

No Provide Assurance #, if available:

Please attach an explanation Narrative:

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

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

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

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

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

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

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

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

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



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

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

Name of Institution/Organization

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

**SECTION A - BUDGET SUMMARY**

**U.S. DEPARTMENT OF EDUCATION FUNDS**

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

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

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

- (1) Do you have an Indirect Cost Rate Agreement approved by the Federal government?  Yes  No
- (2) If yes, please provide the following information:  
 Period Covered by the Indirect Cost Rate Agreement: From: \_\_\_/\_\_\_/\_\_\_\_\_ To: \_\_\_/\_\_\_/\_\_\_\_\_ (mm/dd/yyyy)  
 Approving Federal agency:  ED  Other (please specify): \_\_\_\_\_
- (3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:  
 Is included in your approved Indirect Cost Rate Agreement? or  Complies with 34 CFR 6.564(c)(2)?

Name of Institution/Organization

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

**SECTION B - BUDGET SUMMARY  
NON-FEDERAL FUNDS**

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

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

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans and Cooperative Agreements.

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

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

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

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

Statement for Loan Guarantees and Loan Insurance.

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

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

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



# Survey on Ensuring Equal Opportunity for Applicants

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

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

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

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

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

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

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

Yes       No

2. Is the applicant a faith-based organization?

Yes       No

3. Is the applicant a secular organization?

Yes       No

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

Yes       No

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

Yes       No

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

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

7. What is the size of the applicant's annual budget?

(*Check only one box.*)

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

### Disclosure of Lobbying Activities

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

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