

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



Fiscal Year 2008

**Application for Grants Under the  
United States-Russia Program: Improving Research  
and Educational Activities in Higher Education**

**(CFDA NUMBER: 84.116S)**

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## Table of Contents

|   |           |
|---|-----------|
| Dear Applicant Letter.....  | 3         |
| <b>Program Description and Guidelines for United States-Russia Program.....</b>   | <b>5</b>  |
| Grants.gov Submission Procedures and Tips for Applicants.....                     | 18        |
| ATTENTION – Microsoft Vista and Word Users.....                                   | 20        |
| Grants.gov Registration Instruction for Organizations.....                        | 22        |
| Application Transmittal Instructions.....   | 24        |
| Notice Inviting Applications for New Awards.....                                  | 26        |
| Authorizing Legislation.....  | 34        |
| Intergovernmental Review of Federal Programs.....                                 | 37        |
| General Education Provisions Act (GEPA).....                                      | 38        |
| Government Performance and Results Act (GPRA).....                                | 39        |
| <b>Instructions for Completing the U.S.-Russia Application Package.....</b>       | <b>40</b> |
| Paperwork Burden Statement.....   | 41        |
| <b>Instructions for Attachments and ED FIPSE Program-Specific Forms.....</b>      | <b>42</b> |
| Final Notes: U.S. and Russia.....   | 47        |
| Application Checklist.....  | 48        |
| Instructions for Standard Forms.....  | 49        |
| Instructions For The SF-424.....  | 50        |
| Instructions For Department Of Education Supplemental Information For SF 424..... | 52        |
| Definitions For Department Of Education Supplemental Information For SF 424.....  | 53        |
| Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities.....     | 55        |
| Survey Instructions on Ensuring Equal Opportunity for Applicants.....             | 57        |
| ED FIPSE Forms.....   | 58        |
| Forms Found on Grants.Gov.....  | 62        |

Dear Applicant:

Thank you for your interest in applying for a grant under the United States-Russia Program: Improving Research and Educational Activities in Higher Education (U.S.-Russia Program). This is a grant competition administered jointly by the Fund for the Improvement of Postsecondary Education (FIPSE) and the Russian Ministry for Education and Science (Russian Federation).

Applicants from the United States and the Russian Federation should work together to submit common proposals to FIPSE and the Russian Ministry for Education and Science, respectively. Lead institutions in both countries must submit similar proposals to FIPSE and the Russian Federation. In the U.S., **applications must be submitted to FIPSE by INSERT DATE.**

Though FIPSE and the Russian Federation are issuing similar application materials and program guidelines, some important differences exist to reflect country-specific needs. Applicants from the U.S. should use the application materials and program guidelines issued by their government when completing the application packet.

It is important, nonetheless, that the application for funding to both FIPSE and the Russian Federation be as similar as possible in order to facilitate a comparable evaluation from both sides. The partners from both countries should agree on the guidelines in the application.

The U.S.-Russia Program is designed to assist colleges and universities in the United States and Russia in giving faculty and students a U.S.-Russian perspective to education and training in a wide range of subject areas or disciplines, particularly in the fields of English and Russian language learning, mathematics, and the natural sciences, as well as in the social sciences (e.g. economics) and the humanities. The ultimate intent of the Program is to assist with the strengthening of ties between the United States and Russia.

This program is based on objectives outlined in the 2006 Memorandum of Understanding (MOU) between the United States and Russia. The MOU laid out a plan focused on “expanding cooperation and developing partnerships among various types of educational institutions in the United States and Russian Federation.” These partnerships should demonstrate the best innovative educational practices, which support the exchange of teachers, university faculty, students and young scholars.

The guidelines that follow describe the objectives and priorities of this competition in greater detail. Throughout the guidelines, you will see that FIPSE and the Russian Federation also emphasize the importance of language and cultural preparation as key factors in promoting greater understanding between our two countries.

This letter highlights a few items in the FY 2008 instructions document that will be important to applicants in the United States in applying for grants under the U.S.-Russia Program. *You should review the entire application package carefully before preparing and submitting your application.*

The Department requires applicants to use an Internet-based electronic system for submitting applications. We are requiring that applications for FY 2008 grants under the U.S.-Russia Program be submitted electronically using Grants.gov. *You are urged to acquaint yourself with the requirements of Grants.gov early. A more thorough discussion is included in the application package. Grants.gov is accessible through its portal page at: <http://www.grants.gov>.*

**All applicants must complete all of the forms associated with this competition. These forms are listed in the Application Checklist.**

*Please read the documents in this package, which provide important information concerning electronic submission.* The application must be submitted on or before the deadline date, **INSERT DATE**. Electronic submission of applications is required; therefore, you must submit an electronic application unless you follow the procedures in the *Federal Register* Notice [see Notice Inviting Applications for New Awards] and qualify for one of the exceptions to the electronic submission requirement.

If you think you may need an exception you are urged to review the requirements *promptly*. *Applications submitted late will not be accepted.* We suggest that you submit your application several days before the deadline date. 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.

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

All applicants are required to adhere to the page limit of 20 pages (double spaced) for the Program Narrative. The Notice published in the *Federal Register* [see Notice Inviting Applications for New Awards] contains specific information governing page limits.

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 guidance contained within the official document.

Sincerely,

/signed/

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

# **Program Description and Guidelines for United States-Russia Program: Improving Research and Educational Activities in Higher Education**

## **Background**

On May 31, 2006, the U.S. Secretary of Education and the Russian Federation Minister of Education and Science signed a historic agreement aimed at promoting understanding between the peoples of the Russian Federation (RF) and the United States (U.S.) and improving the quality of their human resource development.

The main focus of the United States-Russia Program: Improving Research and Educational Activities in Higher Education (U.S.- Russia Program) is to support innovative projects that will improve “research and education activities in higher education” in the two nations. Areas of U.S.-Russia cooperation in education and science were specified at the meetings between the Minister of Education and Science of the Russian Federation and the U.S. Secretary of Education in 2005 and 2006. It was emphasized at the meetings that the development of partnerships between Russian and American universities promotes the development of educational and academic exchanges between post-graduate students, scholars and teaching faculty, contributing to the development of education and science in our countries.

The rationale for this program is that the growing pace of global interconnectedness in virtually all aspects of human life means that our postsecondary institutions must rethink how best to prepare students for a lifetime of work that will, in all likelihood, be in an international environment. In doing so, the Russian Ministry of Education and Science and Department of Education’s Fund for the Improvement of Postsecondary Education (FIPSE) intend to support collaborative projects that can contribute to educational innovation and to the acquisition of skills required to meet the challenges of the global knowledge-based economy. FIPSE’s participation in this program is governed by Section 744 of the Higher Education Act of 1965, as amended (HEA), 20 U.S.C. §1138c, which authorizes funding for projects to support “international cooperation and student exchange among postsecondary educational institutions” and section 744(c)(3) and (4) of the HEA, 20 U.S.C. §1138c(c)(3) and (4) which authorizes the “evaluation and dissemination of model programs.”

## **Definitions**

The following definitions apply to the U.S.-Russia Program:

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

Vocational education and training institution means any type of public, semi-public or private body, which, provides occupational or work-related knowledge and skills, including programs that are competency based and directed at current and/or future jobs, duties, and tasks within an occupational or industrial setting; and

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

Collaborative research and study projects refer to seminars, working groups, and benchmarking exercises that address areas such as: (1) comparative higher education and vocational training issues related to an array of disciplines and/or (2) language pedagogy, language and content integration. Such research and study projects may utilize various methodologies and resources (e.g., e-learning and open education).

A collaborative study project engages faculty, staff, and/or students from the Russian and American institutions on a common topic and results in products or resources that are of use to more than just the original consortium participants. The proposal should state how the project would promote U.S.-Russian cooperation in creating collaborative educational research opportunities. For example, if the title of the project is “The Impact of Information Technology in Effective Public Health Practices,” all collaborative research and joint studies supported by the project must focus directly on this topic. All the activities and all the outcomes of joint study on this topic should advance our knowledge of this topic and also promote sustainable educational and research cooperation and opportunities on the same topic.

## **Program Objectives**

General objectives of the U.S.-Russia Program are summarized in the first two articles of the 2006 Memorandum of Understanding:

Article 1. “The United States and the Russian Federation are expanding cooperation and developing partnerships among various types of educational institutions in the United States and Russian Federation that reflect the best practices of the educational systems of both countries. This collaboration supplements existing programs, including exchange programs, and promotes the creation of new programs in accordance with the future development of mutual relations.”

Article 2. “The United States and the Russian Federation are focusing their efforts on creating conditions that will promote the development of long-term constructive ties in the field of education. Subject to mutual agreement, these efforts could include support of partnerships between institutions of higher education, particularly in the fields of mathematics, science, information technology, and English and Russian languages. These partnerships are designed to strengthen the role of universities in building the innovation society; support the exchange of teachers, university faculty, students and young scholars; and encourage the participation of the private sector.”

The U.S.-Russia Program will fund collaborative research and study projects for two years. The program may provide financial support to bilateral projects involving institutions or organizations active in the field of higher education and vocational training with a view to enhancing collaboration between the Russian Federation and the United States. The Department encourages applications describing projects aimed particularly at the study and teaching of the English and Russian languages as well as the exchange of innovative experiences and practices intended to promote excellence in mathematics, the natural sciences, the social sciences (e.g. economics), and the humanities.

Close consideration will be given to collaborative projects aimed at improving the quality of higher education in both countries through **the development of joint courses, educational materials, and other types of educational and methodological activities that:**

- Advance the study and teaching of English and Russian while contributing to a better understanding of the cultural milieus of the United States and Russia;
- Demonstrate innovative and/or best practices for the United States and Russia, particularly in the study and teaching of mathematics and science; and
- Support joint educational research, which contributes to educational innovation and/or best practices, in a variety of other academic disciplines relevant to the United States and Russia.

Examples of collaborative study programs:

Advancing the study and teaching of English and Russian and contributing awareness and understanding of the cultural milieus of the United States and Russia should be a critical component of all proposals submitted for funding. Applicants to the U.S.-Russia Program may consider, for example, how a collaborative U.S.-Russian consortium might:

1. Support U.S. students who have attained *high levels* of Russian language ability, and Russian students who have attained high levels of English language ability, (perhaps through previous participation in foreign language study abroad programs), who want to work in a real scientific research group or on a project-based scientific internship abroad.

**Rationale:** The U.S. and Russia have many issues of common interest in the sciences and mathematics – ocean ecology, bioterrorism, pesticide overuse, environmental degradation, energy security, data security – encryption, and so forth. One could envision a student studying abroad as a lab assistant or intern for a summer or a semester and developing a clearer awareness of the state of knowledge of the foreign specialists, new techniques, perhaps an opportunity to work on real world problems in a different context (irrigation in Arizona, collecting biological samples in Siberia, etc.), and an opportunity to establish professional contacts that would be a career-long asset.

**Outcome:** Science students who might otherwise not attempt to gain a high level proficiency in a foreign language would have an incentive to do so. It would internationalize our scientific professionals. It would create a broader-based pool of scholars with area studies expertise and language skills that would be an asset to both governments, private companies, and NGOs in the future.

2. Support projects that would encourage the joint development of textbooks and IT-based educational materials in the natural sciences for bachelor’s level students.

**Rationale:** The U.S. and Russia have a joint need to advance learning in the sciences. This could entail joint development of multimedia courses in, for example, biology, physics, or chemistry and could include computerized layouts, e-presentations, online quizzes, a website for students, and tools for supporting on-line (distance) education in some specific subjects.

**Outcome:** Any online courses and materials could be accessed by students from both countries, even those who can’t travel. Bilingual scientific resources could be set up that could be of use to both students and practitioners.

3. Support projects that improve Internet-based Russian language instruction in the U.S. and can provide models of formative assessment, learner diagnostics, and instructionally useful feedback technologies for students and teachers at all levels of proficiency.



Emphasize projects that provide individualized and aggregate group feedback for students and teachers, based on immediate, customized error correction and analyses.

**Rationale:** There is a national priority to produce a new generation of professionals, both in and out of government, who are prepared to deal linguistically and culturally at high levels of proficiency and across disciplines with a rapidly changing geopolitical landscape in national security, business, finance, international development, health, management, media, and education.

**Outcome:** The feedback could encourage and support student self-management strategies, and aid secondary and postsecondary teachers in refining lesson planning, curricular design, and course/program assessment. On-going formative assessments could stimulate and improve learning at every stage, rather than limiting assessment activities to the completion phase of a given module or unit. Over time, the formative assessment and customized feedback programs generated should contribute strongly to the customization and improvement of instruction and contribute to student retention.

4. Support an exchange of faculty from U.S. and Russian research institutions where faculty must both teach and do research.

**Rationale:** The Russian higher educational system has traditionally divided its faculty into those that teach and those that do research. It is uncommon for one person to do both. The U.S. may have something to offer in terms of models of how to integrate teaching and research, especially in the fields of math, science, and IT.

**Outcome:** Theoretical and practical experiences for faculty and students in joint curricular development that provide models, which integrate research focusing on issues in the sciences as well as other academic disciplines.

5. Support projects that allow U.S. and Russian faculty to learn about each other's systems of accreditation, administration, and fiscal management. Included in fiscal management could be such topics as how to obtain support for large-scale natural science research, how to turn research products into profit-making assets for a university, and copyright issues.

**Rationale:** The Russian university structure and administration are quite different from the American system. The Russian government sets national guidelines for degrees within fields so that it is not possible for universities to unilaterally decide to create a joint or dual degree with a U.S. institution. Universities do not have fiscal independence from the federal government. Russians also have nothing similar to the U.S. national system for accrediting institutions of higher education.

**Outcomes:** A goal could be to work toward sufficient understanding that would enable the consortia schools to lay the groundwork for joint degrees or dual degree programs. Another outcome could be an exchange of information about large-scale, potentially profitable scientific research. A third could be working to improve understanding of and compliance with international copyright issues.

6. Support projects that would look at innovative ideas about public transportation or retooling aging municipal infrastructure. These could involve the use of alternative energy sources, new modes of transportation, waste and water management, or changing technological infrastructure to support a workforce that increasingly works at home.

Such projects could involve scientists, but also include people involved in urban planning, architecture, and the provision of social services such as physicians, police, firefighters, etc.

**Rationale:** Russians tend to live in geographical clumps in very large cities. Moscow has about 10 million people, St. Petersburg about 6 million. Many cities have more than a million. Most people didn't drive until 10 years ago and now their cities have unbelievable traffic jams and growing pollution. Most of their municipal infrastructure is about the same age as that in the U.S. and the U.S. has major cities with similar problems – traffic and smog in Los Angeles, aging water systems in New York City and Washington, aging public transit system in Boston, and so forth.

**Outcome:** An exchange of ideas and personnel might help both countries manage increasingly urban workforces. This could potentially lead to increased energy efficiency and workforce productivity, and an improvement in the quality of life.

All consortia should demonstrate the capacity to develop institutionalization and sustainability, which will encourage long-term research and educational collaboration and exchanges of students, faculty, and administrative personnel of U.S. and Russian institutions.

It is expected that a large portion of the funds will be devoted to student, faculty and staff exchanges. Faculty and staff travel stipends should be calculated at \$1,000 per week plus a fixed amount of \$2,000 for travel per person in relation to scholarly work and teaching at a partner Russian institution with a minimum of one week and a maximum of one academic term (12 – 16 weeks). Faculty, trainers, administrators, and other relevant specialists are encouraged to participate in structured exchanges. Such exchanges for teaching, research assignments, or working in bilateral groups must be done within the consortium and be directly related to the project's collaborative studies focus. Any number of faculty and staff may participate in the activities of the project including exchanges, provided that the stipend allocation and the minimum and maximum duration requirements are met.

## **Eligibility Requirements**

The U.S.-Russia Program is open to all disciplinary and professional fields and, vocational programs, as well as cross-disciplinary studies, involving undergraduate and graduate students, and faculty and scholars from Russian and U.S. higher education institutions. The Russian Ministry of Education and Science will conduct a parallel competition for Russian institutions participating in any consortium of the U.S.-Russia.

A competitive proposal in this program might involve a consortium with a novice U.S. institution as the secondary partner and a U.S. institution with previous experience in U.S.-Russia partnerships as the lead U.S. partner.

The Program will not support already existing U.S.-Russian projects that are receiving financial support from other sources. The U.S.-Russia Program seeks to fund new consortia efforts that respond to the objective of this competition. Within this context, the Program may support internships or work placements related to joint educational research projects. The Program does not fund a project that is a supplement to an existing or recently closed grant.

The Program seeks to avoid the funding of basic research for its own sake. But, the Program will fund student, faculty, or staff scholarly research, which directly contributes to intended or stated outcomes of a project. For example, joint research conducted on public health policy or

advances in mathematical theory is eligible for support only if the results of such research can be assessed and then used to demonstrate best practices between the United States and Russia in the delivery of public health or understanding of mathematical theory.

A consortium must include a minimum of one U.S. institution and one Russian institution. The consortium may include higher education or vocational education and training institutions and organizations including industry and business groups, non-governmental organizations, publishers, government departments, chambers of commerce, and research institutes. We do not encourage consortia with more than six (6) partners (e.g., two (2) Russian universities plus one (1) non-governmental organization working with two (2) U.S. universities plus one (1) one non-governmental organization [or some combination other combination of universities and/or organizations] would be the maximum number of partners recommended.)

All consortia must have a lead, pre-selected institution in Russia and a lead institution in the United States responsible for submitting the common proposal narrative, for coordinating the project, and for grant management and fiscal control. Consortia should operate on the principle of parity and partnership. We recommend that you have the same number of Russian and American institutions and organizations in your consortium and that you exchange the same number of faculty and students. In the U.S. the applicant institution must be a not-for-profit institution. In all projects for-profit partners may represent business and industry groups and that may help give your project the national and international visibility necessary for it to succeed beyond the funding period. These partners may offer internships or may offer professional advice and expertise as part of this grant program.

Eligible U.S. staff and faculty must be U.S. citizens or resident aliens. Eligible Russian Federation staff, faculty, and students must be citizens of the Russian Federation.

### **Financial Considerations**

The Department of Education has proposed a 2008 budget of \$TBD to fund ### projects in FY 2008. Each project will be funded for a 24-month or two-year period. The estimated range of awards for the first budget year is up to \$TBD for U.S. institutions. The total amount of an award for the two- year period is \$TBD. (The budget for the Russian Federation is a comparable but separate amount in rubles (Rub. TBD) and would also fund the same number of projects for Russian institutions.) Use of grant funds to pay for student tuition and any form of financial aid is prohibited, with the exception of payments for language lessons.

The U.S.-Russia Program does not require matching or cost sharing. U.S. applicants may describe in the budget narrative the institutional contributions that form part of the project. For U.S. institutional participation in the program no budget documentation or financial reporting of matching or cost sharing is required. Russian applicants must check their own requirements for the program.

FIPSE and the Russian Federation will award funding to successful consortia via the lead partner, which will serve as the grantee and fiscal agent in each country. Awards are intended to cover a portion of the total costs of the activities to be undertaken. Although no matching or cost sharing (as noted above) is required by U.S. institutions, U.S. lead institutions may (but are not required to) make a contribution to the project as evidence of their commitment to its objectives.

## Fees

Students, faculty, and staff may need to spend time abroad. Students studying abroad will pay the usual tuition and fees at their home institution and should incur no additional financial obligations to the host institution(s). This includes fees for tuition, registration, examinations, and the use of library and laboratory facilities.

## Stipends

Stipends are divided into two categories:

- 1) Faculty/staff/student Mobility stipends, and
- 2) Language stipends.

1) For undergraduate or graduate level students, mobility stipends are intended to offset additional costs incurred by traveling abroad in addition to the costs of remaining at the home (sponsoring) institution. Legitimate costs include travel and room and board expenses. Student stipends must not be used for tuition or fees.

The amount of money allotted to faculty, staff, or students for research or study abroad should reflect costs incurred. Please note that mobility money is intended for foreign research and study only. This means that stipends may not be used for faculty and/or students to move to other institutions within the U.S. Mobility requests should be accompanied by clear descriptions of the purpose of mobility and planned educational pursuits.

Faculty and staff travel stipends are calculated at \$1,000 per week plus a fixed amount of \$2,000 for travel per person in relation to scholarly work and teaching at a partner Russian institution with a minimum of one week and a maximum of six weeks.

2) A key objective of this program is to encourage and enable faculty, staff, and students to develop ideas and practices that support a U.S.-Russian perspective within an academic, cultural, and linguistic milieu. Language stipends are intended to help U.S. faculty, staff, and students learn the Russian language for purposes of completing research activities and/or study in Russia. The total amount of federal funds may not be used for language stipends for U.S. faculty, staff, and students to learn Russian in the United States or in Russia. Language stipends may be budgeted for all two years.

Language stipends are calculated at \$1,000 per student or faculty or staff member.

## Selection Criteria

Applicants may submit more than one proposal and may accept more than one award for different projects. Selection of funded projects will be determined on the merits of each proposal. Proposals must include a program narrative of no more than 20 pages (double spaced) with a font size of 12 that includes a plan of action, a timeline for project activities, an evaluation plan, and a plan for disseminating project results. (Other important components of the proposal are listed in the Application Checklist at the end of this Application Package.)

The application may be based on the results of existing educational and research partnerships of higher educational establishments in the United States and Russia. The application also may be based on new relationships between Russian and American partners. However, all partnerships must propose new joint projects; the program will not fund current projects.

The application should include as much information as possible about faculty, staff, and student participants in the project, and it should outline the participants' goals and projects, and provide the dates of their visits to the partner university. The application must include detailed information about the project director of each educational establishment, and state clearly how each partner of the consortium project will provide input to the project.

### Project Design and Services

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

The design of the project should include the research and educational goals of the project such as innovative ways to address a common problem, practical applications, mid-term goals that reflect Russian-American educational and research cooperation in higher education. The project can be connected with joint research activities, joint educational initiatives (lectures, workshops, development of collaborative text-books and lecture courses, as well as other types of educational and methodological work).

### Evaluation

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

Competitive proposals should include a detailed evaluation plan plus information about who will conduct the evaluation. U.S. applicants must submit an evaluation progress report as part of the annual performance report as well as a final evaluation report as part of the final performance report. We suggest that you list the name of an external evaluator who will help you and your Russian partners with project evaluation. We also suggest that you request funds in your budget to support project evaluation throughout the two years of your project.

### Sustainability and Dissemination

Strategies for sustainability and dissemination of products, outcomes and results from the project to a wider public should be incorporated in every proposal. The proposal should describe how the resources and personnel required to conduct the project will assist with project sustainability and dissemination. Be specific about your dissemination/outreach activities. How will others learn from your project?

The selection of grants will be a competitive process based on the assessment of the quality of the proposals. Decisions about proposals will be made with input or advice from experts in the field. Final selections will be made at the joint selection meeting of governmental officials.

Projects will be funded only when both funding agencies are in agreement. The quality of the proposals meeting the eligibility requirements and selection criteria will be judged on the basis of the award criteria set out below, which will be the main basis on which the selection decision is made in the United States.

The proposals will be judged on the following criteria.

**The significance of the proposed project**, as determined by:

- the extent to which the proposed project involves the development or demonstration of promising new ideas or strategies that will advance educational practices within the United States and Russia;
- the utility of the products (such as information, materials, processes, or techniques) that will result from the proposed project, including the potential for their being used in a variety of other settings in both the United States and Russia; and
- the importance or magnitude of the results or outcomes likely to be attained by the proposed project, especially improvements in teaching and student achievement.

It is of central importance that the joint project represents an improvement or advancement over current knowledge and practice. A key question is “What is the current state of knowledge in the U.S. and Russia concerning the proposed topic?” The second key question is “How do the proposed activities represent an improvement over current knowledge and practice in the U.S. and Russia?” It is also important to indicate how the results of the project activities will be used. Who will use the resulting products of your education research?

**The quality of the project design and services** as determined by:

- 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;
- the extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable;
- the extent to which the proposed activities constitute a coherent, sustained program of research and development in the field, including, as appropriate, a substantial addition to an on-going line of inquiry;
- the extent to which the proposed project is based upon a specific research design and the quality and appropriateness of that design, includes the scientific rigor of the studies involved;
- the extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of the project services (or deliverables); and
- the qualifications, including relevant training and experience, of the project director or principal investigator.

Proposals should describe in detail the nature and purpose of the proposed collaborative research and study project. Explain how this will enhance understanding about the proposed common

topic and how the scholarly resources of each U.S. and Russian institution and organization will contribute to the project. This should include a description of the collaborative educational study or research activities to be carried out, who will conduct these activities, and how the work leads to the intended results. Explain how this collaborative study project will increase knowledge within a common topic as it relates to a particular discipline or a group of disciplines. Describe what the consortium expects to accomplish on a two-year schedule. Describe the skills and resources each partner institutions and its faculty will contribute to the project including prior international educational collaboration.

**The quality of the evaluation, as determined by:**

- the extent to which the methods of evaluation are appropriate to the context within which the project operates;
- the extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes; and
- 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.

Evaluation is very important for the success of collaborative projects and a critical piece of the project design. Consortia partners should define the project goals and develop an evaluation plan based on quantitative and qualitative evidence. Will the evaluator assess the work process as well as the outcomes? The goal should be to evaluate the entire project. If you engage evaluators in the U.S. and Russia, it is expected that they will work in cooperation. See the budget instructions for more information.

**The adequacy of resources, as determined by:**

- the reasonableness of costs in relation to the objectives, design and potential significance of the proposed project.
- the extent to which all partners in the proposed project demonstrate commitment to the implementation and success of the project.

Proposals should describe what the U.S. institution(s) and partner(s) in the Russian Federation expect to accomplish on a two-year schedule. What skills and resources will each partner contribute to the project? How will the resources requested from FIPSE and the Russian Federation be used to increase knowledge about issues important to the United States and the Russian Federation?

**The quality of personnel, as determined by:**

- the qualifications, including training and experience of key project personnel;
- the qualifications, including relevant training and experience of project consultants and subcontractors; and
- the extent to which the applicant encourages applications for employment from persons who are members that traditionally have been under-represented based on race, color, national origin, gender, age, or disability.

Applicants should be explicit in the application about how the project helps build relationships between and among colleges and universities in both countries and relevant community organizations, local and state government, non-governmental organizations, and private sector enterprises, especially with regard to how these relationships will extend to under-represented persons, institutions, or organizations.

### Annual Conference

An important part of the U.S.-Russia Program will be the annual conference. All faculty and staff participants in the projects are expected to attend the annual meeting. The participation of all U.S. and Russian Federation partners at these conferences is essential because it provides an important opportunity for the consortia and both funding agencies to meet together. This conference is intended to serve as a medium where Russian Federation and U.S. project participants can meet together to share ideas on what works. It is also intended as a forum for discussion to help the Russian Federation and U.S. administrations make important decisions on how best to coordinate the program. Project partners will be given ample time during the annual conference to work as a group by themselves as well as with their program officers. It is also expected that the U.S. independent evaluator will be at the first meeting. The annual U.S.-Russia conference will be held in the fall or winter and alternate between Russia and the United States.

### Annual Performance Reports

The Russian Ministry and FIPSE will monitor carefully the progress of projects towards their goals through communication with the respective lead institution and through communication among themselves. Although the timing may vary somewhat, annual performance reports must be submitted to the respective government agency on the project goals, expenditures, evaluation, and a plan for upcoming activities. Both agencies require a final report at the conclusion of the project. FIPSE has a website for filing U.S. project descriptions, annual performance reports, final reports, and requests for administrative changes. FIPSE and the Russian Ministry will send instructions for submitting performance reports to the respective lead institutions or organizations. FIPSE's Project Directors will be notified when annual reports are due; the due date will be between early June and mid-July. FIPSE's final reports are due 90 days after the grant ends.

### Submission of Applications

Details about the submission process for U.S. applicants are included in the section of this Application Package entitled: "Grants.gov Submission Procedures and Tips for Applicants." Russian partners should read the guidelines and forms published by the Russian Ministry of Science and Education. Applicants from the United States must collaborate with their pre-selected partner(s) in Russia before submitting their proposals to Grants.gov.

**The closing date for receiving proposals is INSERT DATE.** U.S. proposal applications not received through Grants.gov before this date will not be eligible for funding. FIPSE and the Russian Ministry of Education and Science will review eligible proposals in INSERT DATE. Awards will be made in INSERT DATE.

### Submission of the application in the United States

The U.S. Department of Education and other U.S. federal agencies and departments have a single point of information and submission for all grant programs. If you are applying to Grants.gov



for the U.S.-Russia Program, you will find information and instructions in the application packet at [www.grants.gov](http://www.grants.gov). The package is available as soon as a Federal Register Notice announcing the competition is published. It is important to note that U.S. institutions must register for this site to apply for federal grants. If your institution has not already registered with Grants.gov, a representative for your institution should register several weeks in advance of the submission date to ensure that a timely grant application can be submitted. If you wish to request an exemption from this electronic submission, note the conditions listed on the Grants.gov website and in the section of the Application Package entitled “Grants.gov Submission Procedures and Tips for Applicants.” You also may register for email notification for federal grant programs in Grants.gov.

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

Sylvia W. Crowder, Ph.D.  
U.S.-Russia Program Coordinator  
U.S. Department of Education  
1990 K Street, NW, 6th Floor  
Washington, D.C. 20006-8544  
Tel: 202-502-7514  
Fax: 202-502-7859  
Sylvia.Crowder@ed.gov

For Russian applicants seeking further information, please contact:

Y.P. Chugunov  
Rosobrazovaniye  
115998 Russia, Moscow M-93, GSP  
Lyusinovskaya ul., 51, Room 574  
Tel/Fax: 495-237-30-25  
chugunov@interphysica.ru

## IMPORTANT – PLEASE READ FIRST

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

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

- 1) **REGISTER EARLY** – Grants.gov registration may take five or more business days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. For detailed information on the Registration Steps, please go to: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). [Note: Your organization will need to update its Central Contractor Registry (CCR) registration annually.]
- 2) **SUBMIT EARLY** – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30 pm on the deadline date.

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

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

If the date/time received is later than 4:30 p.m. Washington, D.C. time, on the closing date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: [http://www.grants.gov/help/submit\\_application\\_faqs.jsp#10](http://www.grants.gov/help/submit_application_faqs.jsp#10). For more detailed information on why an application may be rejected, you can review Application Error Tips <http://www.grants.gov/section910/ApplicationErrorTips.pdf>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

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

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

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

ATTENTION – Microsoft Vista and Word Users

***Please note that Grants.gov does not currently support the new Microsoft Vista Operating system. The PureEdge software used by Grants.gov for forms is not compatible with Vista.***

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



## Grants.gov Registration Instruction for Organizations

The Grants.gov registration process involves three basic steps:

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

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

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

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

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

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

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

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

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

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

## Central Contractor Registration (CCR) Instructions

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

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

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

The E-Business POC will be notified by e-mail when individuals from their organization register with Grants.gov. This registration is a request to be designated as an Authorized Organization Representative (AOR). To assign AOR rights, E-Business POCs need to log into Grants.gov ([http://www.grants.gov/applicants/e\\_biz.jsp](http://www.grants.gov/applicants/e_biz.jsp)) using the organization's D-U-N-S Number and MPIN. Grants.gov will send the AOR a confirmation e-mail when this process has been completed.

**Please note that your CCR registration must be renewed once a year.** You can check your registration status using the CCR search page (<http://www.bpn.gov/ccrinq/scripts/search.asp>).

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



## Application Transmittal Instructions

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

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

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

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

### **Applications Submitted Electronically**

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

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

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

### **Applications Delivered by Mail**

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

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

### **Applications Delivered by Hand**

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

**U.S. Department of Education  
Application Control Center  
Attention: CFDA Number – 84.116S  
550 12<sup>th</sup> Street, SW  
Potomac Center Plaza – Room 7067  
Washington, D.C. 20202-4260**

### **Application Control Center Hours of Operation**

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

### **Grant Application Receipt from the Application Control Center**

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

## Notice Inviting Applications for New Awards

### DEPARTMENT OF EDUCATION

Office of Postsecondary Education; Overview Information; Fund for the Improvement of Postsecondary Education--Special Focus Competition: U.S.-Russia Program: Improving Research and Educational Activities in Higher Education; Notice Inviting Applications for New Awards for Fiscal Year (FY) 2008

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

Dates: Applications Available: **INSERT DATE FROM FEDERAL REGISTER.**

Deadline for Transmittal of Applications: **INSERT DATE FROM FEDERAL REGISTER.**

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

Estimated Available Funds: **\$TBD.**

Estimated Range of Awards: **\$TBD** for first year of the award.

Estimated Average Size of Awards: **\$TBD** for the two-year duration of the grant.

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

Estimated Number of Awards: **TBD.**

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

Project Period: Up to 24 months.

### Full Text of Announcement

#### I. Funding Opportunity Description

Purpose of Program: To provide grants that demonstrate partnerships between Russian and American institutions of higher education that contribute to the development and promotion of educational opportunities between the two nations, particularly in the areas of mutual foreign language learning and the cooperative study of mathematics and science.

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

Invitational Priority: For FY 2008 this priority is an invitational priority. Under 34 CFR 75.105(c)(1) we do not give an application that meets this invitational priority a competitive or absolute preference over other applications.

This priority is designed to support the formation of educational consortia of American and Russian institutions to encourage mutual socio-cultural-linguistic cooperation; the coordination of joint development of curricula, educational materials, and other types of educational and methodological activities; and the conduct of related joint educational research.

This invitational priority is issued in cooperation with the Russian Ministry of Education and Science. These awards support only the participation of U.S. institutions, faculty and students in these consortia. Russian institutions, if part of a U.S.-Russian consortium, will receive

separate but parallel funding from the Russian Ministry of Education and Science. The U.S. Department of Education strongly encourages the participation of U.S. institutions that have not had any previous academic partnerships with the Russian institutions identified in the above listing.

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.

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$TBD.

Estimated Range of Awards: \$TBD for first year of the award.

Estimated Average Size of Awards: \$TBD for the two-year duration of grant.

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

Estimated Number of Awards: TBD.

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

Project Period: Up to 24 months.

## III. Eligibility Information

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

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

## IV. Application and Submission Information

1. Address to Request Application Package: Sylvia W. Crowder, Office of Postsecondary Education, U.S. Department of Education, 1990 K Street, NW., 6th floor, Washington, DC 20006-8544. Telephone: (202) 502-7514.

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

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

2. Content and Form of Application Submission: Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this competition.

Page Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the application narrative to the equivalent of no more than 20 pages (double spaced), 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, including titles, headings, footnotes,

quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.

Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).

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

The page limit does not apply to Part I, the cover sheet; Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; or the one-page abstract, the resumes, the bibliography, or the letters of support. However, the page limit does apply to all of the application narrative section Part III.

We will reject your application if--

You apply these standards and exceed the page limit; or

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

3. Submission Dates and Times:

Applications Available: **INSERT DATE FROM FEDERAL REGISTER.**

Deadline for Transmittal of Applications: **INSERT DATE FROM FEDERAL REGISTER.**

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.

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

5. Funding Restrictions: We specify unallowable costs in 34 CFR part 74. We reference regulations outlining funding restrictions in the Applicable Regulations section in this notice.

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

a. Electronic Submission of Applications. Applications for grants under the U.S.-Russian Program: Improving Research and Educational Activities in Higher Education, CFDA Number 84.116S must be submitted electronically using the Government-wide 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 U.S.-Russian Program: Improving Research and Educational Activities in Higher Education at <http://www.Grants.gov>. You must search for the downloadable application package for this competition by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.116, not 84.116S).

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

To submit your application via Grants.gov, you must complete all steps in the Grants.gov registration process (see [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 Education Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. Please note that two of these forms--the SF 424 and the Department of Education Supplemental Information for SF 424--have replaced the ED 424 (Application for Federal Education Assistance).

You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified 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 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 elsewhere in this notice 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: Sylvia W. Crowder, U.S. Department of Education, 1990 K Street, NW., room 6012, Washington, DC 20006-8544. Fax: (202) 502-7859.

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

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

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

The Application Control Center accepts hand deliveries daily between 8 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 evaluating applications for this program are from 34 CFR 75.210 of EDGAR and are listed in the application package.

## VI. Award Administration Information

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

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

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

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

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as specified 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/appforms.html>.

4. Performance Measures: The success of this program depends upon--

(1) The extent to which funded projects are being replicated (i.e., adopted or adapted by others); and (2) The manner in which projects are being institutionalized and continued after funding. These two performance measures constitute the Fund for the Improvement of Postsecondary Education's (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. Consequently, applicants are advised to include these two outcomes in conceptualizing the design, implementation, and evaluation of their proposed projects.

Institutionalization and replication are important outcomes that ensure the ultimate success of international consortia funded through this program. Directly related to these two performance measures is the capacity for projects to develop long-term research and educational collaboration and exchanges of students, faculty, and administrative personnel of U.S. and Russian institutions.

## VII. Agency Contact

FOR FURTHER INFORMATION CONTACT: Sylvia W. Crowder, Office of Postsecondary Education, U.S.-Russia Program: Improving Research and Educational Activities in Higher Education, 1990 K Street, NW., 6th Floor, Washington, DC 20006-8544. Telephone: (202) 502-7514.

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 CONTACT in section VII in this notice.

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

Diane Auer Jones,  
Assistant Secretary for Postsecondary Education.

## Authorizing Legislation

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

P.L. 105-244

TITLE VII--GRADUATE AND POSTSECONDARY IMPROVEMENT PROGRAMS

SEC. 701. REVISION OF TITLE VII.

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

TITLE VII--GRADUATE AND POSTSECONDARY IMPROVEMENT PROGRAMS

SEC. 700. PURPOSE.

It is the purpose of this title--

(1) to authorize national graduate fellowship programs--

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

- (i) sustain and enhance the capacity for graduate education in areas of national need; and
- (ii) encourage talented students to pursue scholarly careers in the humanities, social sciences, and the arts; and

(2) to promote postsecondary programs.

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

**PART B--FUND FOR THE IMPROVEMENT OF POSTSECONDARY EDUCATION**

**SEC. 741. FUND FOR THE IMPROVEMENT OF POSTSECONDARY EDUCATION.**

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

- (1) encouraging the reform, innovation, and improvement of postsecondary education, and providing equal educational opportunity for all;
- (2) the creation of institutions, programs, and joint efforts involving paths to career and professional training, and combinations of academic and experiential learning;
- (3) the establishment of institutions and programs based on the technology of communications;
- (4) the carrying out, in postsecondary educational institutions, of changes in internal structure and operations designed to clarify institutional priorities and purposes;
- (5) the design and introduction of cost-effective methods of instruction and operation;
- (6) the introduction of institutional reforms designed to expand individual opportunities for entering and reentering institutions and pursuing programs of study tailored to individual needs;
- (7) the introduction of reforms in graduate education, in the structure of academic professions, and in the recruitment and retention of faculties; and
- (8) the creation of new institutions and programs for examining and awarding credentials to individuals, and the introduction of reforms in current institutional practices related thereto.

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

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

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

(b) MEMBERSHIP-

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

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

(c) DUTIES- The Board shall--

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

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

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

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

#### **SEC. 743. ADMINISTRATIVE PROVISIONS.**

(a) TECHNICAL EMPLOYEES- The Secretary may appoint, for terms not to exceed 3 years, without regard to the provisions of title 5, United States Code, governing appointments in the competitive service, not more than 7 technical employees to administer this part who may be paid without regard to the provisions of chapter 51 and subchapter III of chapter 53 of such title relating to classification and General Schedule pay rates.

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

#### **SEC. 744. SPECIAL PROJECTS.**

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

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

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

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

- (2) Articulation between 2- and 4-year institutions of higher education, including developing innovative methods for ensuring the successful transfer of students from 2- to 4-year institutions of higher education.
- (3) Evaluation and dissemination of model programs.
- (4) International cooperation and student exchange among postsecondary educational institutions.

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

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

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

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

**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**

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

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

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

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

\*Note: Applicants are required to address this provision by attaching a statement to the GEPA "Notice to All Applicants" form that is included in the U.S.-Russian application package that must be downloaded in Grants.gov.

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

What is GPRA?

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

FIPSE performance is focused on 1) the extent to which funded projects are being replicated—i.e., adopted or adapted—by others; and 2) the manner in which projects are being institutionalized and continued after grant funding. These two results constitute FIPSE’s indicators of the success of our program. Consequently, applicants for FIPSE grants are advised to give careful consideration to these two outcomes in conceptualizing the design, implementation, and evaluation the proposed project. Consideration of these outcomes is an important part of many of the review criteria discussed below. Thus, it is important to the success of your application that you include these objectives and their measure. If funded, you will be asked to collect and report data from your project on these indicators.

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



## **Instructions for Completing the U.S.-Russia Application Package**

This application package consists of standard forms, attachments, and forms that are specific to the U.S.-Russia Program. All of these forms are found on Grants.gov. The forms are divided into the following parts:

**Part I: 424 Forms**

Application for Federal Assistance – (SF 424)

Department of Education Supplemental Information Form for SF 424

Note: Applicants must complete the SF 424 form first because some of the information you provide here is automatically inserted into other sections of Grants.gov.

**Part II: Attachments**

ED Abstract Form

Program Narrative Attachment Form

Budget Narrative Attachment Form

**Part III: Other Attachments Form**

ED FIPSE Project Title Form

ED FIPSE Budget Summary Form

ED FIPSE Consortium Partners Identification Form

Personnel Information

Planning Timetable with Outcomes to be Achieved for Each Year of the Project

Endorsement Letters

**Electronic submission requires that narratives and other files be attached to the following attachment forms as per the instruction in this document such as:**

**One Page Abstract must be attached to the “Department of Education Abstract Form”**

**Program Narratives must be attached to the “Program Narrative Attachment Form”**

**Budget Narratives and Letters of Financial Support must be attached to the “Budget Narrative Attachment Form”**

**All FIPSE forms (i.e., ED FIPSE Project Title, ED FIPSE Budget Summary, ED FIPSE Consortia Partner Identification, vitas, table of contents, letters, certifications, supplementary statements; and other requested appendices must be attached to the “Other Attachments Form”**

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

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

GEPA Section 427 Requirement

Certification Regarding Lobbying Form (formerly ED Form 80-0013)

Survey Instructions on Ensuring Equal Opportunity for Applicants

Disclosure of Lobbying Activities (SF-LLL)

Assurances – Non-Construction Programs (SF 424B)

## **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 **1840-0790**. The time required to complete this information collection is estimated to average 30 hours for the project director per application, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Fund for the Improvement of Postsecondary Education, Office of Postsecondary Education, U.S. Department of Education, 1990 K Street, N.W., 6<sup>th</sup> Floor, Washington, D.C. 20202-4651.

OMB No. 1840-0790  
Expiration Date: **TBD**

## **Instructions for Attachments and ED FIPSE Program-Specific Forms**

Applicants are reminded that each of the institutions comprising a prospective U.S.- Russian consortium should prepare a common proposal that contains sufficient information and details to allow the evaluators in the United States and Russia to judge the capacity of the consortium to meet the objectives of the U.S.-Russia Program. You and your Russian lead partner should submit (respectively) to FIPSE and the Russian Federation proposals that are identical in content. **FIPSE applicants must download the application package found in Grants.gov to complete and submit the application. (Applicants are reminded that all attachments must be in .doc, .rtf, or .pdf format.)**

**A. ED ABSTRACT FORM.** You will attach an overview outlining the key features of the project, including the total number of students from each institution being exchanged over the duration of the project, to this form. The summary should include the following items:

- Title of project.
- Summary of program and project activities.
- List of U.S. and Russian consortium institutions.
- Number of planned bilateral consortium meetings among coordinating institutions and approximate location (note: the Annual Meeting should count as one per year).

**B. PROGRAM NARRATIVE ATTACHMENTS FORM.** You will attach your project description to this form. In no more than 20 double-spaced pages, you should include an overview that describes the project, its objectives, strategies for achieving those objectives, and for each year of the project, the expected outcomes of the project and how success in achieving those objectives would be measured. *Each application should include a well-written evaluation plan aimed at measuring success of the project's activities and outcomes through solid quantitative and qualitative evidence. This plan must be coordinated among partners to ensure that the success being measured is consortia-wide.*

PAGE LIMIT:

A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides. Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, reference, and captions, as well as all text in charts, tables, figures, and graphs.

Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).

Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.

Applications 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 cover sheet; Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; the one-page resumes, the bibliography, or the letters of commitment. However, you must include all of the application narrative in Part III.

We will reject your application if--

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

**C. BUDGET NARRATIVE ATTACHMENT FORM.** You will attach the budget narrative for each year to this form. The budget narrative should detail all expenses for each year of the life of the project and how they have been determined.

The budget should clearly identify travel costs and other relevant expenses. It should further indicate how much of this budget is being requested from FIPSE and how much is to be covered

from other sources. Clearly indicate the breakdown of expenses among the Russian and U.S. consortium members. Where applicable, the narrative must indicate the level of financial support from other public and private sources.

Letters of confirmation from these sources should also be attached to the “Budget Narrative Attachment Form.” For U.S. applicants, the budget figures must be submitted in U.S. dollars.

**D. OTHER ATTACHMENTS FORM.** You will attach six documents to this form. Attachments will include: (1) ED FIPSE Project Title Form; (2) ED FIPSE Budget Summary Form; (3) ED FIPSE Consortia Partner Identification Form; (4) Personnel Information; (5) Planning Timetable with Outcomes to be Achieved for Each Year of the Project; and (6) Endorsement Letters. Please note: **All ED FIPSE forms (i.e., ED FIPSE Project Title, ED FIPSE Budget Summary, and ED FIPSE Consortia Partner Identification) must be attached to the “Other Attachments Form.” To include these forms in your application, you must first save them as Word documents, fill them out, and then attach the saved documents to the “Other Attachments Form” in Grants.gov. The same procedure should be used when providing personnel information, your planning and timetable, and endorsement letters. Be sure to use a .DOC, .RTF, or .PDF format.**

**ED FIPSE PROJECT TITLE FORM.** Complete each item using the guidelines below.

**Program:** U.S.-Russia Program

**Consortium Members -- U.S. Partners:**

Enter the name of the lead U.S. Partner after Lead

Enter the name of the U.S. Partner after Partner

Leave the second Partner blank

**Consortium Members -- Foreign Partners:**

Enter the name of the lead Foreign Partner (for Russia) after Lead

Enter the name of the Foreign Partner (for Russia) after Partner

Leave the second Partner blank

**Project Title:** Enter the title of the project.

**Abstract of Proposal:** Enter a brief summary of the project. This should be concise and confined to the space provided, but in no case should you leave this space blank. This description should include the total number of students in each country to be moved during the project.

**Select project format:** Two-year consortia project.

**Federal Funds Requested:** Enter the amount of Federal funds being requested from FIPSE in the first year of the project. Enter the amount requested for subsequent years of funding. Under "total" enter the cumulative amount requested for the life of the project.

**ED FIPSE BUDGET SUMMARY FORM**

**1. Program:** U.S.-Russia Program.

**2. Institution:** Enter the Lead (fiscal agent).

**3. Name of Institution/Organization:** Please fill in name of institution/organization. The Summary Budget Form must list totals for the U.S. lead plus the total of the partners (if any) as subcontracts (in line 7). Please enter amounts in whole dollars. Please attach the budget narrative and a spreadsheet with detailed explanations for lead institution and partners to the “Budget Narrative Attachment Form.” For example, for the salary category, please list the name of the individual and how the salary request is being calculated. Subcontract (partner) budget must be calculated in the budget narrative to be attached to the “Budget Narrative Attachment Form.”

**4. Personnel (Salary & Wages):** Enter totals for the salaries and wages for the U.S. Lead only.

**5. Fringe Benefits (Employee Benefits):** Enter totals for the U.S. lead only.

**6. Travel:** Enter travel costs for the U.S. lead only. There are two major categories of travel—1) the annual program meeting for all projects (fall 2008 in Russia, fall 2009 in the United States) and 2) individual consortium meetings (in the United States or Russia). Travel funds for a second individual consortium meeting in the United States or Russia should also be submitted for each budget year. Other travel costs may be entered as needed.

**7. Equipment (Purchase).** FIPSE does not typically cover equipment purchases.

**8. Supplies (and materials):** Enter total for the U.S. lead only.

**9. Contractual (enter partner totals here):** Enter total for subcontracts with the partner institutions, consulting and evaluation.

**10. Other (equipment rental, printing, etc.):** Enter totals for the U.S. lead only.

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

**12. Indirect Costs:** Indirect costs are limited to items totaled under line 11 (Total Direct Cost). The U.S. Department of Education uses a training rate of 8 percent for grants in the U.S.-Russia Program. The 8 percent training rate applies to all U.S. partners in the consortium.

**13. Mobility Stipends:** Enter the number of faculty, staff, and/or students from all partners who will be studying abroad and the minimum stipend amount. Mobility stipends are entered only on the U.S. lead /fiscal agent budget. Note: Consistent with EDGAR 75.562, c, and 75.564, stipends are not subject to indirect cost.

**14. Language Stipends:** Enter the number of students from all partners who will be studying abroad and the minimum stipend amount (\$1,000 per individual is recommended). The language stipend may be used in years one and two. This is a “training stipend” and is restricted to student use only. Note: Consistent with EDGAR 75.562, c, and 75.564, stipends are not subject to indirect cost. Language stipends are entered only on the U.S. lead /fiscal agent budget. This is an optional item in the budget.

**15. Subtotal of Stipends (lines 13 + 14):** Calculate this field.

**16. Total requested from FIPSE (lines 11 + 12+ 15) (These figures should appear on the Title Form):** Calculate this field.

**17. Lead Partner Non-Federal Funds:** Enter total funding not requested from FIPSE.

**18. Subcontractor(s) Partner Non-Federal Funds:** Enter total funding not requested from FIPSE by partner institutions.

**19a. Total Requested from Canada:** Leave Blank.

**19b. Total Requested from Mexico:** Leave Blank.

**19c. Total Requested from Russia:** Enter the dollar amount requested by Russian partners (optional).

**19d. Total Requested from Europe:** Leave Blank.

**Indirect Cost Information:**

If you are requesting reimbursement for indirect costs on line 12, 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.

**ED FIPSE CONSORTIUM PARTNERS IDENTIFICATION FORM**

Please submit two completed versions of the consortium partners identification form, one listing the lead and partner institutions in the U.S. and one listing the lead and partner institutions in Russia. These forms serve as identification for all U.S. and foreign partners involved in your consortium, so it is essential that you include both the lead and partner institutions for each country.

**TO COMPLETE THE CONSORTIUM PARTNERS IDENTIFICATION FORM:**

Fill in the information requested about the partners on the form. (You can copy and paste information to create multiple versions of the form for each partner.)

Please remember to create electronic documents, in .doc, .pdf, or .rtf formats, and attach each of these six (6) documents separately to the “Other Attachments Form.”

- (1) ED FIPSE PROJECT TITLE FORM:** See above
- (2) ED FIPSE BUDGET SUMMARY FORM:** See above
- (3) ED FIPSE CONSORTIUM PARTNERS IDENTIFICATION FORM:** See above
- (4) PERSONNEL INFORMATION:** You should clearly state the qualifications of the Project Director and the personnel related to the project. Please include in your attachments for the narrative section brief one-page bios, highlighting relevant skills and experience of the personnel. If you must include a résumé, please limit it to fewer than five pages. Only attachments of this information will be considered.
- (5) PLANNING TIMETABLE WITH OUTCOMES TO BE ACHIEVED FOR EACH YEAR OF THE PROJECT:** Please include a planning chart listing goals and planned outcomes. This chart should fit your evaluation plan. Only timetables that are attached will be considered.
- (6) ENDORSEMENT LETTERS:** You may attach letters of support from a senior executive officer of each academic partner in the consortium, indicating how this project

fits within the academic exchange policy and the international strategy of the institution, and emphasizing what this project will add to that strategy. Other major parties involved in the consortium should also indicate in writing their commitment to this project. Only endorsement letters that are attached will be considered.

## **Final Notes: U.S. and Russia**

These guidelines list key objectives, activities and types of partnerships that help build the strong inter-institutional collaboration necessary for postsecondary educational programs and activities that contribute to meeting the challenges of a global society.

It is important to read these guidelines carefully when developing your proposal. Please remember that the proposed activities and/or programs in a U.S.-Russian consortium must complement each other. To achieve this, you and your Russian partner institution(s) should be developing your common proposal concurrently. Applicants should understand and demonstrate in their proposals the collaborative nature of consortia.

Please note that successful international projects among institutions of higher education need involvement at all levels of the institutions. We suggest you introduce your idea early to your academic administration to ensure their cooperation in developing this program.

### **A final note for U.S. applicants:**

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



## **Application Checklist**

Use This Checklist While Preparing Your Application Package: All items listed on this checklist are required.

### **The Application Package:**

- SF-424
- Department of Education Supplemental Information for SF-424
- ED Abstract Form:
  - Attach Abstract
- Program Narrative Attachments Form:
  - Attach Project Description
- Budget Narrative Attachment Form:
  - Attach Budget Narrative
  - Letters of Confirmation
- Other Attachments Form:
  - ED FIPSE Project Title Form
  - ED FIPSE Budget Summary Form
  - ED FIPSE Consortium Partners Identification Form:
    - Completed two (2) times
  - Personnel Information
  - Planning Timetable
  - Endorsement Letters
- 424B
- Grants.gov Lobbying Form
- GEPA
- Survey Ensuring Equal Opportunity
- SF – LLL, Disclosure of Lobbying Activities

## **Instructions for Standard Forms**

- Instructions for the SF-424
- Instructions for the Department of Education Supplemental Form for the SF 424
- Definitions for the Department of Education Supplemental Form for the SF 424
- Instructions for Completion of 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 pre-applications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

| Item | Entry:  | Item | Entry:  |
|------|---|------|---|
| 1.   | <p><b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions.</p> <ul style="list-style-type: none"> <li>• Preapplication</li> <li>• Application</li> <li>• Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.</li> </ul>   | 10.  | <p><b>Name Of Federal Agency:</b> (Required) Enter the name of the Federal agency from which assistance is being requested with this application.</p>   |
|      |   | 11.  | <p><b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.</p>   |
| 2.   | <p><b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions.</p> <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.<br/> A. Increase Award      B. Decrease Award<br/> C. Increase Duration    D. Decrease Duration</li> <li>E. Other (specify)</li> </ul> | 12.  | <p><b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.</p>   |
|      |   | 13.  | <p><b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.</p>   |
|      |   | 14.  | <p><b>Areas Affected By Project:</b> List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.</p>  |
| 3.   | <p><b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.</p>  | 15.  | <p><b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.</p>   |
| 4.   | <p><b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.</p>   |      |   |
| 5a.  | <p><b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.</p>  | 16.  | <p><b>Congressional Districts Of:</b> (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5th<sup>th</sup> district, CA-012 for California 12<sup>th</sup> district, NC-103 for North Carolina's 103<sup>rd</sup> district.</p> <ul style="list-style-type: none"> <li>• If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all</li> </ul> |
| 5b.  | <p><b>Federal Award Identifier:</b> For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.</p>  |      |   |
| 6.   | <p><b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.</p>   |      |   |
| 7.   | <p><b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.</p>   |      |   |

|   |  |   |   |            |  |
|---|--|---|---|------------|--|
| <p>8.</p>   | <p><b>Applicant Information:</b> Enter the following in accordance with agency instructions:</p> <p><b>a. Legal Name:</b> (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.</p> <p><b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.</p> <p><b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.</p> <p><b>d. Address:</b> Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p> <p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p> <p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p> |   | <p>congressional districts in Maryland.</p> <ul style="list-style-type: none"> <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>  |            |  |
| <p>17.</p>  |  |   | <p><b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.</p>   |            |  |
| <p>18.</p>  |  |   | <p><b>Estimated Funding:</b> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.</p>  |            |  |
| <p>19.</p>  |  |   | <p><b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p>   |            |  |
| <p>20.</p>  |  |   | <p><b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>  |            |  |
| <p>9.</p>   | <p>Type of Applicant: (Required)</p> <p>Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0" data-bbox="165 1218 738 1925"> <tr> <td data-bbox="165 1218 446 1925"> <p>A. State Government<br/>B. County Government<br/>C. City or Township Government<br/>D. Special District Government<br/>E. Regional Organization<br/>F. U.S. Territory or Possession<br/>G. Independent School District<br/>H. Public/State Controlled Institution of Higher Education<br/>I. Indian/Native American Tribal Government (Federally Recognized)<br/>J. Indian/Native American Tribal Government (Other than Federally Recognized)<br/>K. Indian/Native American Tribally Designated Organization<br/>L. Public/Indian Housing Authority</p> </td> <td data-bbox="446 1218 738 1925"> <p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)<br/>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)<br/>O. Private Institution of Higher Education<br/>P. Individual<br/>Q. For-Profit Organization (Other than Small Business)<br/>R. Small Business<br/>S. Hispanic-serving Institution<br/>T. Historically Black Colleges and Universities (HBCUs)<br/>U. Tribally Controlled Colleges and Universities (TCCUs)<br/>V. Alaska Native and Native Hawaiian Serving Institutions<br/>W. Non-domestic (non-US) Entity<br/>X. Other (specify)</p> </td> </tr> </table>  | <p>A. State Government<br/>B. County Government<br/>C. City or Township Government<br/>D. Special District Government<br/>E. Regional Organization<br/>F. U.S. Territory or Possession<br/>G. Independent School District<br/>H. Public/State Controlled Institution of Higher Education<br/>I. Indian/Native American Tribal Government (Federally Recognized)<br/>J. Indian/Native American Tribal Government (Other than Federally Recognized)<br/>K. Indian/Native American Tribally Designated Organization<br/>L. Public/Indian Housing Authority</p> | <p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)<br/>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)<br/>O. Private Institution of Higher Education<br/>P. Individual<br/>Q. For-Profit Organization (Other than Small Business)<br/>R. Small Business<br/>S. Hispanic-serving Institution<br/>T. Historically Black Colleges and Universities (HBCUs)<br/>U. Tribally Controlled Colleges and Universities (TCCUs)<br/>V. Alaska Native and Native Hawaiian Serving Institutions<br/>W. Non-domestic (non-US) Entity<br/>X. Other (specify)</p> | <p>21.</p> | <p><b>Authorized Representative:</b> (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p> |
| <p>A. State Government<br/>B. County Government<br/>C. City or Township Government<br/>D. Special District Government<br/>E. Regional Organization<br/>F. U.S. Territory or Possession<br/>G. Independent School District<br/>H. Public/State Controlled Institution of Higher Education<br/>I. Indian/Native American Tribal Government (Federally Recognized)<br/>J. Indian/Native American Tribal Government (Other than Federally Recognized)<br/>K. Indian/Native American Tribally Designated Organization<br/>L. Public/Indian Housing Authority</p> | <p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)<br/>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)<br/>O. Private Institution of Higher Education<br/>P. Individual<br/>Q. For-Profit Organization (Other than Small Business)<br/>R. Small Business<br/>S. Hispanic-serving Institution<br/>T. Historically Black Colleges and Universities (HBCUs)<br/>U. Tribally Controlled Colleges and Universities (TCCUs)<br/>V. Alaska Native and Native Hawaiian Serving Institutions<br/>W. Non-domestic (non-US) Entity<br/>X. Other (specify)</p>  |   |   |            |  |

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

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

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

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

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

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

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

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

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

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

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

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

# DEFINITIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF

## 424

### (Attachment to Instructions for Supplemental Information for SF 424)

#### Definitions:

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

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

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

#### PROTECTION OF HUMAN SUBJECTS IN RESEARCH

##### I. Definitions and Exemptions

###### A. Definitions.

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

###### —Research

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

###### —Human Subject

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

###### B. Exemptions.

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

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

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

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

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

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

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

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

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

### A. Exempt Research Narrative.

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

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

### B. Nonexempt Research Narrative.

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

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

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

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

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

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

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

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

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

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

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

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

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



(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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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

**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.

## **ED FIPSE FORMS**

**To include these forms in your application, you must first save them as Word documents, fill them out, and then attach the saved documents to the “Other Attachments Form” in Grants.gov. Be sure to use a .DOC, .RTF, or .PDF format.**

# FUND FOR THE IMPROVEMENT OF POSTSECONDARY EDUCATION

## INTERNATIONAL CONSORTIA PROGRAM

### *ED FIPSE Project Title Form*

**Program: U.S.-Russia Program**

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**Consortium Members - - U.S. Partners:**

**Lead:**

**Partner:**

**Partner:**

---

**Consortium Members - - Foreign Partners: (Leave blank)**

**Lead:**

**Partner:**

**Partner:**

---

**Consortium Members - - Foreign Partners: (Leave blank)**

**Lead:**

**Partner:**

---

**Project Title:**

**Abstract of Proposal:**

---

**Project format:**

- o Two-year consortia project

**Federal Funds Requested:**

Year 1: \_\_\_\_\_

Year 2: \_\_\_\_\_

Total: \_\_\_\_\_

# FUND FOR THE IMPROVEMENT OF POSTSECONDARY EDUCATION INTERNATIONAL CONSORTIA PROGRAM

## ED FIPSE Budget Summary Form

| <b>U.S. Department of Education Budget Summary</b>   |                       |                       |                                       |                       |              |
|--|-----------------------|-----------------------|---------------------------------------|-----------------------|--------------|
| 1. Program: U.S.-Russia Program  |                       |                       | 2. Institution - Lead (fiscal agent): |                       |              |
| 3. Name of Institution/Organization:   |                       |                       |                                       |                       |              |
| Project Costs Requested from FIPSE:  |                       |                       |                                       |                       |              |
| Budget Categories  | Project Year 1<br>(a) | Project Year 2<br>(b) | Project Year 3<br>(c)                 | Project Year 4<br>(d) | Total<br>(e) |
| 4. Personnel<br>(salary & wages)   |                       |                       |                                       |                       |              |
| 5. Fringe Benefits<br>(employee benefits)  |                       |                       |                                       |                       |              |
| 6. Travel  |                       |                       |                                       |                       |              |
| 7. Equipment<br>(purchase)   |                       |                       |                                       |                       |              |
| 8. Supplies<br>(and materials)   |                       |                       |                                       |                       |              |
| 9. Contractual<br>(enter partner totals<br>here)   |                       |                       |                                       |                       |              |
| 10. Other<br>(equipment rental,<br>printing, etc.)   |                       |                       |                                       |                       |              |
| 11. Total Direct Costs<br>(lines 4-10)   |                       |                       |                                       |                       |              |
| 12. Indirect Costs*<br>(8% of line 11)   |                       |                       |                                       |                       |              |
| 13. Mobility Stipends  |                       |                       |                                       |                       |              |
| 14. Language Stipends  |                       |                       |                                       |                       |              |
| 15. Subtotal of<br>Stipends<br>(lines 13+14)   |                       |                       |                                       |                       |              |
| 16. Total Requested<br>from FIPSE (lines<br>11+12+15)<br>(These figures should<br>appear on the Title<br>Form)   |                       |                       |                                       |                       |              |
| Project Costs Not Requested from FIPSE:  |                       |                       |                                       |                       |              |
| 17. Lead Partner non-<br>federal funds   |                       |                       |                                       |                       |              |
| 18. Subcontractor(s)<br>non-federal funds  |                       |                       |                                       |                       |              |
| Funds Requested by Foreign Partners:   |                       |                       |                                       |                       |              |
| 19a. Total Requested<br>from Canada  |                       |                       |                                       |                       |              |
| 19b. Total Requested<br>from Mexico  |                       |                       |                                       |                       |              |
| 19c. Total Requested<br>from Russia  |                       |                       |                                       |                       |              |
| 19d. Total Requested<br>from Europe  |                       |                       |                                       |                       |              |
| *Indirect Cost Information (To be completed by Your Business Office):<br>If you are requesting reimbursement for indirect costs on line 12, please answer the following questions:<br>(1) Do you have an Indirect Cost Rate Agreement approved by the federal government?      Yes      No (Radio Button)<br>(2) If Yes, please provide the following information:<br>o Period covered by the Indirect Cost Rate Agreement:    From: <u>mm/dd/yyyy</u> To: <u>mm/dd/yyyy</u><br>o Approving federal agency:      ED      Other (please specify): _____ (Radio Button)<br>(3) For Restricted Rate Programs (select one) - - Are you using a restricted indirect cost rate that:<br>Is included in your approved Indirect Cost Rate Agreement?    Or,    Complies with 34 CFR 76.564(c)(2)? (Radio Button) |                       |                       |                                       |                       |              |

# FUND FOR THE IMPROVEMENT OF POSTSECONDARY EDUCATION INTERNATIONAL CONSORTIA PROGRAM

## ED FIPSE Consortium Partners Identification Form

Program: U.S.-Russia Program

Enter Country \_\_\_\_\_

**Lead Partner:** Contact information for the Lead Partner will be collected using the SF-424.

---

**Partner Two:**

Name: Prefix:  First Name:  Middle Name:  Last Name:  Suffix:

Name of Institution/Organization:

Department:

Complete Address: Street Name1:  Street Name2:

City:  State/Province:  Zip/Postal Code:  Country:

Phone Number:

Fax Number:

E-mail Address:

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**Partner Three:**

Name: Prefix:  First Name:  Middle Name:  Last Name:  Suffix:

Name of Institution/Organization:

Department:

Complete Address: Street Name1:  Street Name2:

City:  State/Province:  Zip/Postal Code:  Country:

Phone Number:

Fax Number:

E-mail Address:



**FORMS FOUND ON GRANTS.GOV**



**Application for Federal Assistance SF-424**

Version 02

**\*1. Type of Submission:**

- Preapplication
- Application
- Changed/Corrected Application

**\*2. Type of Application**

- New
- Continuation
- Revision

\* If Revision, select appropriate letter(s)

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

3. Date Received:

4. Applicant Identifier:

5a. Federal Entity Identifier:

\*5b. Federal Award Identifier:

**State Use Only:**

6. Date Received by State:

7. State Application Identifier:

**8. APPLICANT INFORMATION:**

\*a. Legal Name:

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

\*c. Organizational DUNS:

**d. Address:**

\*Street 1: \_\_\_\_\_

Street 2: \_\_\_\_\_

\*City: \_\_\_\_\_

County: \_\_\_\_\_

\*State: \_\_\_\_\_

Province: \_\_\_\_\_

\*Country: \_\_\_\_\_

\*Zip / Postal Code \_\_\_\_\_

**e. Organizational Unit:**

Department Name:

Division Name:

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

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

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

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

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

Title:

Organizational Affiliation:

\*Telephone Number:

Fax Number:

\*Email:

**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:**

|   |                            |            |
|---|----------------------------|------------|
| <b>Application for Federal Assistance SF-424</b>  |                            | Version 02 |
| <b>16. Congressional Districts Of:</b>  |                            |            |
| *a. Applicant: _____  | *b. Program/Project: _____ |            |
| <b>17. Proposed Project:</b>  |                            |            |
| *a. Start Date: _____   | *b. End Date: _____        |            |
| <b>18. Estimated Funding (\$):</b>  |                            |            |
| *a. Federal _____   |                            |            |
| *b. Applicant _____   |                            |            |
| *c. State _____   |                            |            |
| *d. Local _____   |                            |            |
| *e. Other _____   |                            |            |
| *f. Program Income _____  |                            |            |
| *g. TOTAL _____   |                            |            |
| <b>*19. Is Application Subject to Review By State Under Executive Order 12372 Process?</b>  |                            |            |
| <input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on _____  |                            |            |
| <input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review.   |                            |            |
| <input type="checkbox"/> c. Program is not covered by E. O. 12372   |                            |            |
| <b>*20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)</b>   |                            |            |
| <input type="checkbox"/> Yes <input type="checkbox"/> 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) |                            |            |
| <input type="checkbox"/> ** 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  |                            |            |
| <b>Authorized Representative:</b>   |                            |            |
| 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:  \*Last Name:  Suffix:

Address:

\* Street1:

Street2:

\* City:

County:

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

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

Email Address:

**2. Applicant Experience:**

Novice Applicant  Yes  No  Not applicable to this program

**3. Human Subjects Research:**

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

Yes  No

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

Yes  No

Yes Provide Exemption(s) #:

No Provide Assurance #, if available:

Please attach an explanation Narrative:

**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:<br/> a. contract<br/> _____ b. grant<br/> c. cooperative agreement<br/> d. loan<br/> e. loan guarantee<br/> f. loan insurance</p>   | <p>2. Status of Federal Action:<br/> a. bid/offer/application<br/> _____ b. initial award<br/> c. post-award</p>                 | <p>3. Report Type:<br/> a. initial filing<br/> _____ b. material change</p> <p>For material change only:<br/> Year _____ quarter _____<br/> Date of last report _____</p> |
| <p>4. Name and Address of Reporting Entity:<br/> _____ Prime _____ Sub-awardee<br/> Tier _____, if Known:</p> <p>Congressional District, if known:</p>  | <p>5. If Reporting Entity in No. 4 is Sub-awardee, Enter Name and Address of Prime:</p> <p>Congressional District, if known:</p> |   |
| <p>6. Federal Department/Agency:</p>  | <p>CFDA Number, if applicable: _____</p>   |   |
| <p>7. Federal Action Number, 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<br/>Standard Form - LLL (Rev. 7-97)</b></p>  |   |

## 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.



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

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

|   |                |
|---|----------------|
| SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL | TITLE          |
| APPLICANT ORGANIZATION                      | DATE SUBMITTED |

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans and Cooperative Agreements.

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

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

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

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

Statement for Loan Guarantees and Loan Insurance.

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

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

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

# Survey on Ensuring Equal Opportunity for Applicants

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

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

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

**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