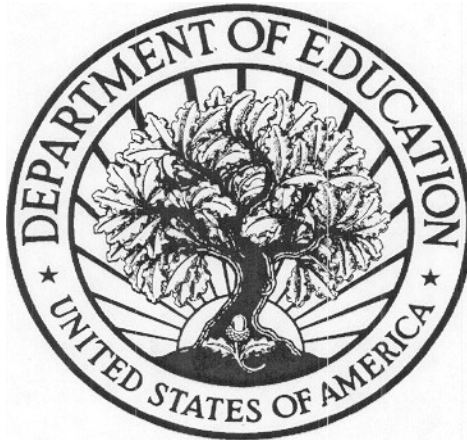# U.S. DEPARTMENT OF EDUCATION

Office of Postsecondary Education
Washington, D.C. 20202
www2.ed.gov/programs/gaann/index.html

FY 2018
APPLICATION FOR GRANTS UNDER THE
GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED (GAANN) PROGRAM
CFDA NO. 84.200A

Form Approved
OMB No. 1840-0604, Expiration Date XX/XX/XXXX

DATED MATERIAL – OPEN IMMEDIATELY

CLOSING DATE:

TABLE OF CONTENTS

Page

UNITED STATES DEPARTMENT OF EDUCATION

OFFICE OF POSTSECONDARY EDUCATION

Dear Applicant:

Thank you for your interest in the Graduate Assistance in Areas of National Need (GAANN) program. The GAANN program provides grants to academic departments and programs of institutions of higher education to support graduate fellowships for students with excellent academic records who demonstrate financial need and plan to pursue the highest degree available in their course of study at the institution.

This letter highlights a few items in the fiscal year (FY) 2018 application package that will be important to you in applying for a grant under this program. You should review the entire application package carefully before preparing and submitting your application. Information on the GAANN program is accessible at the U.S. Department of Education (Department) Web site at: GAANN Program Webpage.

This application package contains the GAANN program regulations and statute along with the forms needed to submit a complete application. Applicants should pay attention to the section entitled "Competition Highlights," which outlines the absolute priority along with other program and competition details.

Within the FY 2018 absolute priority, the Secretary is particularly interested in receiving single discipline grant applications in the following academic areas designated by the Secretary as areas of national need for FY 2018:

- A. For the following academic areas, the project must provide fellowships for programs that lead either to a Professional Science Master's (PSM) degree or a doctoral degree.
  1. Computer and Information Sciences. A degree or a degree with specialization in one or more of the following areas:
     o Cybersecurity (the interdiscipline of "Computer and Information Sciences, General" and "Computer Systems Analysis").
     o Secure computer programming (the interdiscipline of "Computer and Information Sciences, General" and "Computer Programming").
     o Artificial Intelligence (the interdiscipline of "Computer Programming," "Information Sciences and Systems," and "Computer Engineering").
  2. Professional Engineering. A degree or a degree with specialization in one or more of the following areas:
     o Aerospace, Aeronautical, and Astronautical Engineering.
     o Architectural Engineering.
     o Chemical Engineering.
     o Civil Engineering.
     o Computer Engineering.

- o Electrical, Electronic, and Communications Engineering.
- o Industrial/Manufacturing Engineering.
- o Mechanical Engineering.
- o Naval Architecture and Marine Engineering.
- o Petroleum Engineering.
- o Systems Engineering.
- o Engineering Design.
- o Engineering/Industrial Management.
- o Materials Science.
- o Polymer/Plastics Engineering.
- B. For the following academic areas, the project must provide fellowships to students who plan to pursue the highest possible degree available in their course of study at the institution in a program that provides a master's degree, professional degree, or other post-baccalaureate degree in, or a doctorate that includes, one or more of the following specializations:
  - o American Political Development, Foundations of Western Civilization, American History and Institutions, or the American Founding (subsets of "Area Studies").
  - o Constitutional Law (a subset of "Law and Legal Studies").

A department or program of an institution of higher education may also submit a multi-disciplinary or an inter-disciplinary program application in two or more of the designated academic areas of need listed above. A *multi-disciplinary application* must request funding for two or more academic departments in areas of national need designated as priorities by the Secretary that are independent and unrelated to one another. An *inter-disciplinary application* must request funding for a single proposed program of study that involves academic fields in two or more disciplines.

The application process requires each applicant to address the selection criteria, including all sub-criteria, in sequential order. The selection criteria can be found in the program regulations, Subpart C, Section 648.31, entitled What Selection Criteria Does the Secretary Use?

GAANN eligibility requirements provide that no single department or program may receive an amount that is less than $100,000 or more than $750,000 as an aggregate total of new and continuing GAANN grants in any fiscal year. A department or program may not submit more than one application for a new GAANN grant in any fiscal year and must have been in existence at least four years at the time of application.

Applicants are required to submit their application electronically using Grants.gov for the FY 2018 GAANN grant competition. Grants.gov is accessible through its portal page at:

Grants.gov Web site

For information (including dates and times) about how to submit your application electronically, please refer to the official <u>Federal Register</u> Notice. You are reminded that the document published in the <u>Federal Register</u> is the official document and that you should not rely upon any information that is inconsistent with the guidance contained within the official document.

We look forward to receiving your application and appreciate your efforts to promote excellence in graduate education.

Sincerely,

Adam Kissel
Deputy Assistant Secretary for
Higher Education Programs

COMPETITION HIGHLIGHTS

1. GAANN applications submitted for FY 2018 must be submitted electronically using Grants.gov. You are urged to acquaint yourself with the requirements of Grants.gov early as the registration procedures may require up to 2 weeks to complete. A more thorough discussion is included later in this application package. Grants.gov is accessible through its portal page: **http://www.grants.gov. You must provide the SAME DUNS number that was used when your organization registered with the System for Award Management (SAM**). *SAM replaced the Central Contractor Registry (CCR) used in years past.*

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

3. The application must be received on or before the deadline date and time. Late applications will not be accepted. **We suggest that you submit your application several days before the deadline.** The Department must adhere to the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date.

4. Grants.gov Upload Requirements:

    If you submit your application electronically, you must upload any narrative sections and all other attachments to your application as files in a PDF (Portable Document) read-only, non-modifiable format. Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-modifiable PDF or submit a password-protected file, we will not review that material. Please note that this could result in your application not being considered for funding because the material in question--for example, the application narrative--is critical to a meaningful review of your proposal. For that reason it is important to allow yourself adequate time to upload all material as PDF files. The Department will not convert material from other formats to PDF.

5. The Absolute Priority for the FY 2018 Competition:

    The Department will only consider applications that address this absolute priority.

    As stated in the Notice and in the "Dear Applicant Letter" the FY 2018 designated areas of national need under the GAANN program are as follows:

    *   For the following academic areas, the project must provide fellowships for programs that lead either to a Professional Science Master's (PSM) degree or a doctoral degree:
        1. Computer and Information Sciences. A degree or a degree with specialization in one or more of the following areas:
            *   Cybersecurity (the interdiscipline of 11.01 Computer and Information Sciences, General and 11.05 Computer Systems Analysis);

- Secure computer programming (the interdiscipline of 11.05 Computer and Information Sciences, General and 11.02 Computer Programming);
- Artificial Intelligence (the interdiscipline of 11.02 Computer Programming, 11.04 Information Sciences and Systems, and 14.09 Computer Engineering);

2. Professional Engineering. A degree or a degree with specialization in one or more of the following areas:
   - 14.02 Aerospace, Aeronautical, and Astronautical Engineering
   - 14.03 Architectural Engineering
   - 14.07 Chemical Engineering
   - 14.08 Civil Engineering
   - 14.09 Computer Engineering
   - 14.10 Electrical, Electronic, and Communications Engineering
   - 14.17 Industrial/Manufacturing Engineering
   - 14.19 Mechanical Engineering
   - 14.22 Naval Architecture and Marine Engineering
   - 14.25 Petroleum Engineering
   - 14.27 Systems Engineering
   - 14.29 Engineering Design
   - 14.30 Engineering/Industrial Management
   - 14.31 Materials Science
   - 14.32 Polymer/Plastics Engineering

- For the following academic areas, the project must provide fellowships to students who plan to pursue the highest possible degree available in their course of study at the institution in a program that provides a master's degree, professional degree, or other post-baccalaureate degree, or a doctorate that includes, one or more of the following specializations:
  o American Political Development, Foundations of Western Civilization, American History and Institutions, or the American Founding (subsets of 05.01 Area Studies); or
  o Constitutional Law (a subset of 22.01 Law and Legal Studies).

7. The GAANN Abstract:

The one-page abstract should include a short summary covering the designated area(s) of national need. The abstract should include the following information:

Institution Name:	
Type of Application (Single/Inter-Disciplinary/Multi-Disciplinary):	
Area of National Need:	
Degree Level of Program of Study (Masters, PSM, or Doctorate):	
Length of Time Degree Program has been in Existence:	
Number of Federally Funded GAANN Fellows Requested:	

Note: Information provided in the GAANN one-page abstract must be attached to the "ED Abstract Form" in the Grants.gov system. Further instructions are provided in the "Instruc-

tions for Completing the Project Narrative" section of the application package about the up-load requirements and formatting the abstract.

8. Program Specific Forms:

The following documents are specific to the GAANN program and should be reviewed care-fully to ensure that they are attached into the Grants.gov system correctly.

- **GAANN Statutory Assurances Form** Applicants must submit the GAANN Statutory Assurances Form electronically uploaded **as a separate document**. Please note that more detailed instructions for attaching this form are covered in the "**Program Specific Forms Instructions**" section of the application package.

- **GAANN Budget Spreadsheet(s) Form** Applicants must submit the Budget Spreadsheet(s) Form electronically uploaded **as a separate document**. Please note that more detailed instructions for attaching the budget spreadsheet form are covered in the "**Program Specific Forms Instructions**" section of the application package.

  The Budget Narrative (which is a part of the Selection Criteria) should be included in the "Project Narrative Attachment Form."
  Note: You must upload any narrative sections and all other attachments to your application as files in a PDF (Portable Document) read-only, non-modifiable format. Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-modifiable PDF or submit a password-protected file, we will not review that material.

9. Annual Performance Requirements:

If you receive a FY 2018 new grant award, you will be required to submit annual and final performance reports during the three-year funding cycle using the CollabraLink Reporting System. This online system collects narratives and data about funded projects to enable program officers to determine if a grantee is making substantial progress toward meeting approved project objectives. If you wish to view the performance report currently required, visit the GAANN Web site at:

http://www2.ed.gov/programs/gaann/performance.html.

Please be advised that the report is for informational purposes only, and does not reflect the actual reporting instrument that you will use, should you receive a FY 2018 grant award.

10. Two years after the expiration of the grant:

Two years after a GAANN grant expires, grantees are required to submit a supplement to the final performance report. The purpose of this supplement to the Final Performance Report is to identify and report the educational outcome of each GAANN fellow.

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.

Browser Support

The latest versions of Microsoft Internet Explorer (IE), Mozilla Firefox, Google Chrome, and Apple Safari are supported for use with Grants.gov. However, these web browsers undergo frequent changes and updates, so we recommend you have the latest version when using Grants.gov. Legacy versions of these web browsers may be functional, but you may experience issues.

For additional information or updates, please see the Grants.gov Browser information in the Applicant FAQs: http://www.grants.gov/web/grants/applicants/applicant-faqs.html#browser.

ATTENTION – Workspace, Adobe Forms and PDF Files Required

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different web forms within an application. For each funding opportunity announcement (FOA), you can create individual instances of a workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities, refer to: https://www.grants.gov/web/grants/applicants/workspace-overview.html.

1) Create a Workspace: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.

2) Complete a Workspace: Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.

   a. Adobe Reader: If you decide not to apply by filling out web forms, you can download individual PDF forms in Workspace. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.
   NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at: https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html.

   b. Mandatory Fields in Forms: In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.

   c. Complete SF-424 Fields First: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS Number. Once it is completed, the information will transfer to the other forms.

3) Submit a Workspace: An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the closing date to provide you with time to correct any potential technical issues that may disrupt the application submission.

4) Track a Workspace Submission: After successfully submitting a workspace application, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

For additional training resources, including video tutorials, refer to https://www.grants.gov/web/grants/applicants/applicant-training.html.

Helpful Reminders

1) **REGISTER EARLY** – Grants.gov registration involves many steps including registration on SAM (www.sam.gov) which may take approximately one week to complete, but could take upwards of several weeks to complete, depending upon the completeness and accuracy of the data entered into the SAM database by an applicant. 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. Please note that once your SAM registration is active, it will take 24-48 hours for the information to be available in Grants.gov, and before you can submit an application through Grants.gov. For detailed information on the Registration Steps, please go to: http://www.grants.gov/web/grants/register.html. [Note: Your organization will need to update its SAM registration annually.]

   Primary information about SAM is available at www.sam.gov. However, to further assist you with obtaining and registering your DUNS number and TIN in SAM or updating your existing SAM account, the Department of Education has prepared a SAM.gov Tip Sheet which you can find at: http://www2.ed.gov/fund/grant/apply/sam-faqs.html.

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 to Grants.gov before 4:30:00 p.m. Washington, DC time on the deadline date.

   Note: To submit successfully, you must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This DUNS number is typically the same number used when your organization registered with the SAM. If you do not enter the same DUNS number on your application as the DUNS you registered with, Grants.gov will reject your application.

3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov received your application submission on time and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m. Washington, DC time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned. Once the Department of Education receives your application from Grants.gov, an Agency Tracking Number (PR/award number) will be assigned to your application and will be available for viewing on Grants.gov's Track My Application link.

   If the date/time received is later than 4:30:00 p.m. Washington, D.C. time, on the deadline date, your application is late. If your application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: http://www.grants.gov/web/grants/applicants/encountering-error-messages.html. For more detailed

information on troubleshooting Adobe errors, you can review the Adobe Reader Software Tip Sheet at: http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html. 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 email at: mailto:support@grants.gov or access the Grants.gov Self-Service Knowledge Base web portal at: https://grants-portal.psc.gov/Welcome.aspx?pt=Grants

If electronic submission is required, you must submit an electronic application before 4:30:00 p.m. Washington, DC time, 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. 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. (See the Federal Register notice for detailed instructions.)

Helpful Hints When Working with Grants.gov

Please go to http://www.grants.gov/web/grants/support.html for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Applicant FAQs found at this Grants.gov link: http://www.grants.gov/web/grants/applicants/applicant-faqs.html as well as additional information on Workspace at https://www.grants.gov/web/grants/applicants/applicant-faqs.html#workspace.

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.)

Attaching Files – Additional Tips

Please note the following tips related to attaching files to your application, especially the requirement that applicants **only include read-only, flattened .PDF files** in their application:

- Ensure that you attach *.**PDF files only** for any attachments to your application, and they must be in a **read-only, flattened format**. PDF files are the only Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are not .PDF files or are password protected files will not be read.
- Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
- When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded file names must be fewer than 50 characters, and, in general, applicants should not use any special characters. However, Grants.gov does allow for the following

UTF-8 characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.

- Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package with all attachments is less than 5 MB. Therefore, you may want to check the total size of your package before submission.

01/2018

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 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 4:30:00 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.

Submission of Paper Applications by Mail:

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

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.200A)
LBJ Basement Level 1
400 Maryland Avenue, SW
Washington, DC 20202-4260

You must show proof of mailing consisting of one of the following:
(1) A legibly dated U.S. Postal Service postmark.
(2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
(3) A dated shipping label, invoice, or receipt from a commercial carrier.

(4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education. If you mail your application through the U.S. Postal Service, we do **not** accept either of the following as proof of mailing:
(1) A private metered postmark.
(2) A mail receipt that is not dated by the U.S. Postal Service.

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

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

Submission of Paper Applications by Hand Delivery:

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

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.200A)
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

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

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department--
(1) You must indicate on the envelope—and, if not provided by the Department, in Item 11 of the SF 424—the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and
(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

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

4000-01-U

DEPARTMENT OF EDUCATION

Applications for New Awards; Graduate Assistance in Areas of National Need

AGENCY: Office of Postsecondary Education, Department of Education.

ACTION: Notice.

SUMMARY: The Department of Education is issuing a notice inviting applications for new awards for fiscal year (FY) 2018 for the Graduate Assistance in Areas of National Need (GAANN) Program, Catalog of Federal Domestic Assistance (CFDA) number 84.200A.

DATES:

Applications Available: TBD.

Deadline for Transmittal of Applications: TBD.

Deadline for Intergovernmental Review: TBD.

ADDRESSES: For the addresses for obtaining and submitting an application, please refer to our Common Instructions for Applicants to Department of Education Discretionary Grant Programs, published in the *Federal Register* on February 12, 2018 (83 FR 6003) and available at www.gpo.gov/fdsys/pkg/FR-2018-02-12/pdf/2018-02558.pdf.

FOR FURTHER INFORMATION CONTACT: Rebecca Ell, U.S. Department of Education, 400 Maryland Avenue, SW., room 268-04, Washington, DC

20202. Telephone: (202) 453-6348. Email:

OPE_GAANN_Program@ed.gov.

If you use a telecommunications device for the deaf (TDD) or

a text telephone (TTY), contact the Federal Relay Service (FRS),

toll free, at 1-800-877-8339.

SUPPLEMENTAL INFORMATION:

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The GAANN Program provides grants to

academic departments and programs of institutions of higher

education (IHEs) to support graduate fellowships for students

with excellent academic records who demonstrate financial need

and plan to pursue the highest degree available in their course

of study at the institution.

Background: In accordance with section 712(b) of the Higher

Education Act of 1965, as amended (20 U.S.C. 1135a), the

Secretary designates areas of national need following a required

consultation. Four broad areas have been identified as national

needs:

1. Computer and Information Sciences: Cybersecurity,

secure computer programming, and artificial intelligence.

2. Rebuilding the Nation's Infrastructure: The

Administration's *Legislative Outline for Rebuilding*

Infrastructure in America[1] identifies a need for public and private investment in rebuilding the Nation's infrastructure. To meet this goal, the Nation needs to expand the prepared workforce to ensure timely planning, delivery, and inspection of infrastructure projects. Therefore, there is a national need to increase the number of professional engineers able to facilitate a wide range of infrastructure projects.

    3.   National Civic Literacy: Studies of American adults' knowledge of American history and institutions have demonstrated low levels of knowledge and that "greater civic knowledge trumps a college degree as the leading factor in encouraging active civic engagement."[2] In order to improve civic engagement, Americans need a clear understanding of American history and the Western traditions that gave rise to the American Republic.

    4.   Workforce Development: The Nation needs innovative solutions that enable individuals to gain the knowledge and skills necessary to meet workforce demands through shorter-term programs that align with the needs of employers. Professional Science Master's (PSM) degrees provide such a solution within graduate education. To better meet the Nation's needs in computer and information sciences and in engineering, PSM

---

[1] Available at www.whitehouse.gov/wp-content/uploads/2018/02/INFRASTRUCTURE-211.pdf.
[2] National Civic Literacy Board (2011). Enlightened Citizenship: How Civic Knowledge Trumps a College Degree in Promoting Active Civic Engagement. Available at: www.americancivicliteracy.org/2011/summary_summary.html.

programs are included as terminal degree programs chosen for these areas in this competition.

Priority: This competition includes one absolute priority. In accordance with 34 CFR 75.105(b)(2)(ii), this priority is from the regulations for this program (34 CFR 648.33(a) and Appendix to part 648--Academic Areas).

Absolute Priority: For FY 2018 and any subsequent year for which we make awards from the list of unfunded applications from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c)(3), we consider only applications that meet this priority.

The absolute priority is:

Graduate Assistance in Areas of National Need.

A project must provide fellowships in one or more of the following areas of national need, in an interdisciplinary program of study involving at least two of these areas, or for a multidisciplinary project. A multidisciplinary project is one that requests fellowships for more than a single academic department in one or more of the following areas, and in which each department's program of study is independent.

A. For the following academic areas, the project must provide fellowships for programs that lead either to a PSM degree or a doctoral degree.

1. Computer and Information Sciences. A degree or a degree with specialization in one or more of the following areas:

- Cybersecurity (the interdiscipline of "Computer and Information Sciences, General" and "Computer Systems Analysis").

- Secure computer programming (the interdiscipline of "Computer and Information Sciences, General" and "Computer Programming").

- Artificial Intelligence (the interdiscipline of "Computer Programming," "Information Sciences and Systems," and "Computer Engineering").

2. Professional Engineering. A degree or a degree with specialization in one or more of the following areas:

- Aerospace, Aeronautical, and Astronautical Engineering.

- Architectural Engineering.

- Chemical Engineering.

- Civil Engineering.

- Computer Engineering.

- Electrical, Electronic, and Communications Engineering.

- Industrial/Manufacturing Engineering.

- Mechanical Engineering.

- Naval Architecture and Marine Engineering.

- Petroleum Engineering.

- Systems Engineering.

- Engineering Design.

- Engineering/Industrial Management.

- Materials Science.

- Polymer/Plastics Engineering.

B. For the following academic areas, the project must provide fellowships to students who plan to pursue the highest possible degree available in their course of study at the institution in a program that provides a master's degree, professional degree, or other post-baccalaureate degree in, or a doctorate that includes, one or more of the following specializations:

- American Political Development, Foundations of Western Civilization, American History and Institutions, or the American Founding (subsets of "Area Studies").

- Constitutional Law (a subset of "Law and Legal Studies").

Program Authority: 20 U.S.C. 1135.

Applicable Regulations: (a) The Education Department General Administrative Regulations in 34 CFR parts 75, 77, 79, 82, 84, 86, 97, 98, and 99. (b) The Office of Management and Budget Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) in 2 CFR part 180, as adopted and amended as regulations of the Department in 2 CFR part 3485. (c) The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR part 200, as adopted and

amended as regulations of the Department in 2 CFR part 3474. (d)
The regulations for this program in 34 CFR part 648.

Note: The open licensing requirement in 2 CFR 3474.20 does not
apply for this program.

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

Note: The regulations in 34 CFR part 86 apply to IHEs only.

II. Award Information

Type of Award: Discretionary grants, including funds
redistributed as graduate fellowships to individual fellows.

Estimated Available Funds: $18,357,000.

Contingent upon the availability of funds and the quality of
applications, we may make additional awards in subsequent years
from the list of unfunded applications from this competition.

Estimated Range of Awards: $149,250 - $398,000.

Estimated Average Size of Awards: $248,750.

Estimated Number of Awards: 74.

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

Project Period: Up to 36 months.

Stipend Level: For the 2018-19 academic year, the institution
must pay the fellow a stipend at a level of support equal to that
provided by the National Science Foundation Graduate Research
Fellowship Program, except that this amount must be adjusted as

necessary so as not to exceed the fellow's demonstrated level of financial need as stated under part F of title IV of the Higher Education Act of 1965, as amended.

Institutional Payment: For the 2018-19 academic year, the institutional payment is $15,750 per fellow. This amount was determined by adjusting the previous academic year's institutional payment of $15,426 per fellow by the U.S. Department of Labor's Consumer Price Index for the 2017 calendar year.

III. Eligibility Information

    1. Eligible Applicants:

    (a) Any academic department of an IHE that provides a course of study that--

    (i) Leads to a graduate degree in an area of national need; and

    (ii) Has been in existence for at least four years at the time of an application for a grant under this competition; or

    (b) An academic department of an IHE that--

    (i) Satisfies the requirements of paragraph (a) of this section; and

    (ii) Submits a joint application with one or more eligible non-degree-granting institutions that have formal arrangements for the support of doctoral dissertation research with one or more degree-granting institutions.

Note: Students are not eligible to apply for grants under this program.

2. a. Cost Sharing or Matching: An institution must provide, from non-Federal funds, an institutional matching contribution equal to at least 25 percent of the grant amount received. (See 34 CFR 648.7.)

b. Supplement-Not-Supplant: This program involves supplement-not-supplant funding requirements. (See 34 CFR 648.20(b)(5).)

3. Subgrantees: A grantee under this competition may not award subgrants to entities to directly carry out project activities described in its application.

4. Other: For requirements relating to selecting fellows, see 34 CFR 648.40.

IV. Application and Submission Information

1. Application Submission Instructions: For information on how to submit an application please refer to our Common Instructions for Applicants to Department of Education Discretionary Grant Programs, published in the *Federal Register* on February 12, 2018 (83 FR 6003) and available at www.gpo.gov/fdsys/pkg/FR-2018-02-12/pdf/2018-02558.pdf.

2. 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.

3. <u>Funding Restrictions</u>: We specify unallowable costs in 34 CFR 648.64. We reference additional regulations outlining funding restrictions in the <u>Applicable Regulations</u> section of this notice.

4. <u>Recommended Page Limit</u>: Applications that do not follow the page limit and formatting recommendations will not be penalized. The application narrative, Part II of the application, is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. We recommend the following page limits and standards:

- A project narrative in a single discipline or for an interdisciplinary course of study should be limited to no more than 40 pages.

- A project narrative for a multidisciplinary project should be limited to no more than 40 pages for each academic department.

- A "page" is 8.5" x 11", on one side only, with 1" margins.

- Double-space all text in the application project narrative, and single-space titles, headings, footnotes, quotations, references, and captions.

- Use a 12-point font.

- Use an easily readable font such as Times New Roman, Courier, Courier New, or Arial.

- Limit appendices to the following: two-page version of a curriculum vitae, per faculty member; a course listing; letters of commitment showing institutional support; a bibliography; and one additional optional appendix relevant to the support of the proposals, recommended not to exceed five pages.

The recommended page limit does not include Part I, the Application for Federal Assistance (SF 424) and the Department of Education Supplemental Information for the SF 424 Form; the one-page abstract; the GAANN Statutory Assurances Form; the GAANN Budget Spreadsheet(s) Form; the Appendices; Part III, the Assurances and Certifications; or an optional two-page table of contents.

V. Application

1. Selection Criteria: The selection criteria for this program are from 34 CFR 648.31 and are as follows:

(a) Meeting the purposes of the program (7 points). The Secretary reviews each application to determine how well the project will meet the purposes of the program, including the extent to which--

(1) The applicant's general and specific objectives for the project are realistic and measurable;

(2) The applicant's objectives for the project seek to sustain and enhance the capacity for teaching and research at the institution and at State, regional, or national levels;

(3) The applicant's objectives seek to institute policies and procedures to ensure the enrollment of talented graduate students from traditionally underrepresented backgrounds; and

(4) The applicant's objectives seek to institute policies and procedures to ensure that it will award fellowships to individuals who satisfy the requirements of 34 CFR 648.40.

(b) Extent of need for the project (5 points). The Secretary considers the extent to which a grant under the program is needed by the academic department by considering--

(1) How the applicant identified the problems that form the specific needs of the project;

(2) The specific problems to be resolved by successful realization of the goals and objectives of the project; and

(3) How increasing the number of fellowships will meet the specific and general objectives of the project.

(c) Quality of the graduate academic program (20 points). The Secretary reviews each application to determine the quality of the current graduate academic program for which project funding is sought, including--

(1) The course offerings and academic requirements for the graduate program;

(2) The qualifications of the faculty, including education, research interest, publications, teaching ability, and accessibility to graduate students;

(3) The focus and capacity for research; and

(4) Any other evidence the applicant deems appropriate to demonstrate the quality of its academic program.

(d) Quality of the supervised teaching experience (10 points). The Secretary reviews each application to determine the quality of the teaching experience the applicant plans to provide fellows under this program, including the extent to which the project--

(1) Provides each fellow with the required supervised training in instruction;

(2) Provides adequate instruction on effective teaching techniques;

(3) Provides extensive supervision of each fellow's teaching performance; and

(4) Provides adequate and appropriate evaluation of the fellow's teaching performance.

(e) Recruitment plan (5 points). The Secretary reviews each application to determine the quality of the applicant's recruitment plan, including--

(1) How the applicant plans to identify, recruit, and retain students from traditionally underrepresented backgrounds in the academic program for which fellowships are sought;

(2) How the applicant plans to identify eligible students for fellowships;

(3) The past success of the academic department in enrolling talented graduate students from traditionally underrepresented backgrounds; and

(4) The past success of the academic department in enrolling talented graduate students for its academic program.

(f) Project administration (8 points). The Secretary reviews the quality of the proposed project administration, including--

(1) How the applicant will select fellows, including how the applicant will ensure that project participants who are otherwise eligible to participate are selected without regard to race, color, national origin, religion, gender, age, or disabling condition;

(2) How the applicant proposes to monitor whether a fellow is making satisfactory progress toward the degree for which the fellowship has been awarded;

(3) How the applicant proposes to identify and meet the academic needs of fellows;

(4) How the applicant proposes to maintain enrollment of
graduate students from traditionally underrepresented
backgrounds; and

(5) The extent to which the policies and procedures the
applicant proposes to institute for administering the project are
likely to ensure efficient and effective project implementation,
including assistance to and oversight of the project director.

(g) Institutional commitment (15 points). The Secretary
reviews each application for evidence that--

(1) The applicant will provide, from any funds available to
it, sufficient funds to support the financial needs of the
fellows if the funds made available under the program are
insufficient;

(2) The institution's social and academic environment is
supportive of the academic success of students from traditionally
underrepresented backgrounds on the applicant's campus;

(3) Students receiving fellowships under this program will
receive stipend support for the time necessary to complete their
courses of study, but in no case longer than five years; and

(4) The applicant demonstrates a financial commitment,
including the nature and amount of the institutional matching
contribution, and other institutional commitments that are likely
to ensure the continuation of project activities for a

significant period of time following the period in which the
project receives Federal financial assistance.

(h) Quality of key personnel (5 points). The Secretary
reviews each application to determine the quality of key
personnel the applicant plans to use on the project, including--

(1) The qualifications of the project director;

(2) The qualifications of other key personnel to be used in
the project;

(3) The time commitment of key personnel, including the
project director, to the project; and

(4) How the applicant, as part of its nondiscriminatory
employment practices, will ensure that its personnel are selected
without regard to race, color, national origin, religion, gender,
age, or disabling condition, except pursuant to a lawful
affirmative action plan.

(i) Budget (5 points). The Secretary reviews each
application to determine the extent to which--

(1) The applicant shows a clear understanding of the
acceptable uses of program funds; and

(2) The costs of the project are reasonable in relation to
the objectives of the project.

(j) Evaluation plan (15 points). The Secretary reviews each
application to determine the quality of the evaluation plan for

the project, including the extent to which the applicant's
methods of evaluation--

(1) Relate to the specific goals and measurable objectives
of the project;

(2) Assess the effect of the project on the students
receiving fellowships under this program, including the effect on
persons of different racial and ethnic backgrounds, genders, and
ages, and on persons with disabilities who are served by the
project;

(3) List both process and product evaluation questions for
each project activity and outcome, including those of the
management plan;

(4) Describe both the process and product evaluation
measures for each project activity and outcome;

(5) Describe the data collection procedures, instruments,
and schedules for effective data collection;

(6) Describe how the applicant will analyze and report the
data so that it can make adjustments and improvements on a
regular basis; and

(7) Include a time-line chart that relates key evaluation
processes and benchmarks to other project component processes and
benchmarks.

(k) <u>Adequacy of resources</u> (5 points). The Secretary reviews
each application to determine the adequacy of the resources that

the applicant makes available to graduate students receiving
fellowships under this program, including facilities, equipment,
and supplies.

2. <u>Review and Selection Process</u>: We remind potential
applicants that in reviewing applications in any discretionary
grant competition, the Secretary may consider, under 34 CFR
75.217(d)(3), the past performance of the applicant in carrying
out a previous award, such as the applicant's use of funds,
achievement of project objectives, and compliance with grant
conditions. The Secretary may also consider whether the
applicant failed to submit a timely performance report or
submitted a report of unacceptable quality.

In addition, in making a competitive grant award, the
Secretary requires various assurances, including those applicable
to Federal civil rights laws that prohibit discrimination in
programs or activities receiving Federal financial assistance
from the Department of Education (34 CFR 100.4, 104.5, 106.4,
108.8, and 110.23).

Additional factors we consider in selecting an application
for an award are in 34 CFR 648.32.

3. <u>Risk Assessment and Specific Conditions</u>: Consistent
with 2 CFR 200.205, before awarding grants under this program the
Department conducts a review of the risks posed by applicants.
Under 2 CFR 3474.10, the Secretary may impose specific conditions

and, in appropriate circumstances, high-risk conditions on a grant if the applicant or grantee is not financially stable; has a history of unsatisfactory performance; has a financial or other management system that does not meet the standards in 2 CFR part 200, subpart D; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

4. Integrity and Performance System: If you are selected under this competition to receive an award that over the course of the project period may exceed the simplified acquisition threshold (currently $150,000), under 2 CFR 200.205(a)(2) we must make a judgment about your integrity, business ethics, and record of performance under Federal awards--that is, the risk posed by you as an applicant--before we make an award. In doing so, we must consider any information about you that is in the integrity and performance system (currently referred to as the Federal Awardee Performance and Integrity Information System (FAPIIS)), accessible through the System for Award Management. You may review and comment on any information about yourself that a Federal agency previously entered and that is currently in FAPIIS.

Please note that, if the total value of your currently active grants, cooperative agreements, and procurement contracts from the Federal Government exceeds $10,000,000, the reporting requirements in 2 CFR part 200, Appendix XII, require you to

report certain integrity information to FAPIIS semiannually.
Please review the requirements in 2 CFR part 200, Appendix XII,
if this grant plus all the other Federal funds you receive exceed
$10,000,000.

VI. Award Administration Information

1. <u>Award Notices</u>: If your application is successful, we
notify your U.S. Representative and U.S. Senators and send you a
Grant Award Notification (GAN), or we may send you an email
containing a link to access an electronic version of your GAN.
We also may notify you informally.

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

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

We reference the regulations outlining the terms and
conditions of an award in the <u>Applicable Regulations</u> 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. <u>Reporting</u>: (a) If you apply for a grant under this
competition, you must ensure that you have in place the necessary
processes and systems to comply with the reporting requirements

in 2 CFR part 170 should you receive funding under the competition. This does not apply if you have an exception under 2 CFR 170.110(b).

(b) 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 multiyear award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118 and 34 CFR 648.66. To view the performance report currently required, visit http://www2.ed.gov/programs/gaann/performance.html. Please be advised that the posted report requirements are for informational purposes only and do not reflect the actual reporting instrument that you will use should you receive a GAANN grant. The Secretary also may require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please visit www.ed.gov/fund/grant/apply/appforms/appforms.html.

(c) Grantees will be required to submit a supplement to the Final Performance Report two years after the expiration of their GAANN grant. The purpose of this supplement is to identify and report the educational outcome of each GAANN fellow.

4. Performance Measures: Under the Government Performance and Results Act of 1993, the following measures will be used by the Department in assessing the performance of the GAANN Program:

(1) The percentage of GAANN fellows completing the terminal degree in the designated areas of national need.

(2) The median time to completion of master's and doctoral degrees for GAANN fellows.

(3) The percentage of GAANN fellows who have placements in faculty or professional positions in the area of their studies within one year of completing the degree.

If funded, you will be required to collect and report data in your project's annual performance report (34 CFR 75.590) on those measures and steps taken toward improving performance toward those outcomes. Consequently, applicants are advised to include these outcome measures in conceptualizing the design, implementation, and evaluation of their proposed projects. These outcome measures should be included in the project evaluation plan, in addition to measures of your progress toward the goals and objectives specific to your project.

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

5. Continuation Awards: In making a continuation award under 34 CFR 75.253, the Secretary considers, among other things: whether a grantee has made substantial progress in achieving the goals and objectives of the project; whether the grantee has expended funds in a manner that is consistent with its approved

application and budget; and, if the Secretary has established

performance measurement requirements, the performance targets in

the grantee's approved application.

In making a continuation award, the Secretary also considers

whether the grantee is operating in compliance with the

assurances in its approved application, including those

applicable to Federal civil rights laws that prohibit

discrimination in programs or activities receiving Federal

financial assistance from the Department (34 CFR 100.4, 104.5,

106.4, 108.8, and 110.23).

VII. Other Information

Accessible Format: Individuals with disabilities can obtain this

document and a copy of the application package in an accessible

format (e.g., braille, large print, audiotape, or compact disc)

on request to the program contact person listed under FOR FURTHER

INFORMATION CONTACT.

Electronic Access to This Document: The official version of this

document is the document published in the *Federal Register*. You

may access the official edition of the *Federal Register* and the

Code of Federal Regulations via the Federal Digital System at:

www.gpo.gov/fdsys. At this site you can view this document, as

well as all other documents of this Department published in the

Federal Register, in text or Portable Document Format (PDF). To

use PDF you must have Adobe Acrobat Reader, which is available free at the site.

You may also access documents of the Department published in the *Federal Register* by using the article search feature at www.federalregister.gov. Specifically, through the advanced search feature at this site, you can limit your search to documents published by the Department.

Dated:

_____
Frank T. Brogan,
Principal Deputy Assistant Secretary and
delegated the duties of the Assistant
Secretary, Office of Planning, Evaluation and
Policy Development, Delegated the duties of
the Assistant Secretary, Office of
Postsecondary Education.

HIGHER EDUCATION ACT OF 1965

TITLE VII – GRADUATE AND POSTSECONDARY IMPROVEMENT PROGRAMS

PART A – GRADUATE EDUCATION PROGRAMS

Subpart 2 – Graduate Assistance in Areas of National Need

PROGRAM STATUTE

TITLE VII--GRADUATE AND POSTSECONDARY IMPROVEMENT PROGRAMS

SEC. 701. REVISION OF TITLE VII.

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

'TITLE VII--GRADUATE AND POSTSECONDARY IMPROVEMENT PROGRAMS

'SEC. 700. PURPOSE.

'It is the purpose of this title--

'(1) to authorize national graduate fellowship programs—

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

'(B) that are designed to--
'(i) sustain and enhance the capacity for graduate education in areas of national need; and

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

'(2) to promote postsecondary programs.

'PART A—GRADUATE EDUCATION PROGRAMS **'Subpart 2--Graduate Assistance in Areas of National Need**

'SEC. 711. GRANTS TO ACADEMIC DEPARTMENTS AND PROGRAMS OF INSTITUTIONS.

'(a) GRANT AUTHORITY -

'(1) IN GENERAL - The Secretary shall make grants to academic departments, programs and other academic units of institutions of higher education that provide courses of study leading to a graduate degree, including a master's or doctoral degree, in order to enable such institutions to provide assistance to graduate students in accordance with this subpart.

'(2) ADDITIONAL GRANTS - The Secretary may also make grants to such departments, programs and other academic units of institutions of higher education granting graduate degrees which submit joint proposals involving non-degree granting institutions which have formal arrangements for the support of doctoral dissertation research with degree-granting institutions.

Non-degree granting institutions eligible for awards as part of such joint proposals include any organization which--

'(A) is described in section 501(c)(3) of the Internal Revenue Code of 1986, and is exempt from tax under section 501(a) of such Code;

'(B) is organized and operated substantially to conduct scientific and cultural research and graduate training programs;

'(C) is not a private foundation;

'(D) has academic personnel for instruction and counseling who meet the standards of the institution of higher education in which the students are enrolled; and

'(E) has necessary research resources not otherwise readily available in such institutions to such students.

'(b) AWARD AND DURATION OF GRANTS -

'(1) AWARDS - The principal criterion for the award of grants shall be the relative quality of the graduate programs presented in competing applications. Consistent with an allocation of awards based on quality of competing applications, the Secretary shall, in awarding such grants, promote an equitable geographic distribution among eligible public and private institutions of higher education.

'(2) DURATION AND AMOUNT -

'(A) DURATION - The Secretary shall award a grant under this subpart for a period of 3 years.

'(B) AMOUNT - The Secretary shall award a grant to an academic department, program or unit of an institution of higher education under this subpart for a fiscal year in an amount that is not less than $100,000 and not greater than $750,000.

'(3) REALLOTMENT - Whenever the Secretary determines that an academic department, program or unit of an institution of higher education is unable to use all of the amounts available to the department, program or unit under this subpart, the Secretary shall, on such dates during each fiscal year as the Secretary may fix, re-allot the amounts not needed to academic departments, programs and units of institutions which can use the grants authorized by this subpart.

'(c) PREFERENCE TO CONTINUING GRANT RECIPIENTS -

'(1) IN GENERAL - The Secretary shall make new grant awards under this subpart only to the extent that each previous grant recipient under this subpart has received continued funding in accordance with subsection (b)(2)(A).

'(2) RATABLE REDUCTION- To the extent that appropriations under this subpart are insufficient to comply with paragraph (1), available funds shall be distributed by ratably reducing the amounts required to be awarded under subsection (b)(2)(A).

'SEC. 712. INSTITUTIONAL ELIGIBILITY.

'(a) ELIGIBILITY CRITERIA - Any academic department, program or unit of an institution of higher education that offers a program of post baccalaureate study leading to a graduate degree, including a master's or doctoral degree, in an area of national need (as designated under subsection (b)) may apply for a grant under this subpart. No department, program or unit shall be eligible for a grant unless the program of post baccalaureate study has been in existence for at least 4 years at the time of application for assistance under this subpart.

'(b) Designation of Areas of National Need--After consultation with appropriate Federal and nonprofit agencies and organizations, including the National Science Foundation, the Department of Defense, the Department of Homeland Security, the National Academy of Sciences, and the Bureau of Labor Statistics, the Secretary shall designate areas of national need. In making such designations, the Secretary shall take into consideration—

``(1) the extent to which the interest in the area is compelling;

``(2) the extent to which other Federal programs support postbaccalaureate study in the area concerned;

``(3) an assessment of how the program may achieve the most significant impact with available resources; and

``(4) an assessment of current (as of the time of the designation) and future professional workforce needs of the United States."

'SEC. 713. CRITERIA FOR APPLICATIONS.

'(a) SELECTION OF APPLICATIONS - The Secretary shall make grants to academic departments, programs and units of institutions of higher education on the basis of applications submitted in accordance with subsection (b). Applications shall be ranked on program quality by review panels of nationally recognized scholars and evaluated on the quality and effectiveness of the academic program and the achievement and promise of the students to be served. To the extent possible (consistent with other provisions of this section), the Secretary shall make awards that are consistent with recommendations of the review panels.

'(b) CONTENTS OF APPLICATIONS - An academic department, program or unit of an institution of higher education, in the department, program or unit's application for a grant, shall--

'(1) describe the current academic program of the applicant for which the grant is sought;

'(2) provide assurances that the applicant will provide, from other non-Federal sources, for the purposes of the fellowship program under this subpart an amount equal to at least 25 percent of the amount of the grant received under this subpart, which contribution may be in cash or in kind, fairly valued;

'(3) set forth policies and procedures to assure that, in making fellowship awards under this subpart, the institution will seek talented students from traditionally underrepresented backgrounds, as determined by the Secretary;

'(4) describe the number, types, and amounts of the fellowships that the applicant intends to offer with grant funds provided under this part;

'(5) set forth policies and procedures to assure that, in making fellowship awards under this subpart, the institution will make awards to individuals who--

>'(A) have financial need, as determined under part F of title IV;

>'(B) have excellent academic records in their previous programs of study; and

>'(C) plan to pursue the highest possible degree available in their course of study at the institution;

'(6) set forth policies and procedures to ensure that Federal funds made available under this subpart for any fiscal year will be used to supplement and, to the extent practical, increase the funds that would otherwise be made available for the purpose of this subpart and in no case to supplant those funds;

'(7) provide assurances that, in the event that funds made available to the academic department, program or unit under this subpart are insufficient to provide the assistance due a student under the commitment entered into between the academic department, program or unit and the student, the academic department, program or unit will, from any funds available to the department, program or unit, fulfill the commitment to the student;

'(8) provide that the applicant will comply with the limitations set forth in section 715;

'(9) provide assurances that the academic department will provide at least 1 year of supervised training in instruction for students; and

'(10) include such other information as the Secretary may prescribe.

'SEC. 714. AWARDS TO GRADUATE STUDENTS.

'(a) COMMITMENTS TO GRADUATE STUDENTS -

'(1) IN GENERAL - An academic department, program or unit of an institution of higher education shall make commitments to graduate students who are eligible students under section 484 (including students pursuing a doctoral degree after having completed a master's degree program at an institution of higher education) at any point in their graduate study to provide stipends for the length of time necessary for a student to complete the course of graduate study, but in no case longer than 5 years.

'(2) SPECIAL RULE - No such commitments shall be made to students under this subpart unless the academic department, program or unit has determined adequate funds are available to fulfill the commitment from funds received or anticipated under this subpart, or from institutional funds.

'(b) AMOUNT OF STIPENDS - The Secretary shall make payments to institutions of higher education for the purpose of paying stipends to individuals who are awarded fellowships under this subpart. The stipends the Secretary establishes shall reflect the purpose of the program under this subpart to encourage highly talented students to undertake graduate study as described in this subpart. In the case of an individual who receives such individual's first stipend under this subpart in academic year 2009-2010 or any succeeding academic year, such stipend shall be set at a level of support equal to that provided by the Foundation Graduate Research Fellowship Program for such an academic year, except such amount shall be adjusted as necessary so as not to exceed the fellow's demonstrated level of need as determined under part F of title IV.

'(c) TREATMENT OF INSTITUTIONAL PAYMENTS - An institution of higher education that makes institutional payments for tuition and fees on behalf of individuals supported by fellowships under this subpart in amounts that exceed the institutional payments made by the Secretary pursuant to section 715(a) may count such excess toward the amounts the institution is required to provide pursuant to section 713(b)(2).

'(d) ACADEMIC PROGRESS REQUIRED - Notwithstanding the provisions of subsection (a), no student shall receive an award--

'(1) except during periods in which such student is maintaining satisfactory progress in, and devoting essentially full time to, study or research in the field in which such fellowship was awarded; or

'(2) if the student is engaging in gainful employment other than part-time employment involved in teaching, research, or similar activities determined by the institution to be in support of the student's progress towards a degree.

'SEC. 715. ADDITIONAL ASSISTANCE FOR COST OF EDUCATION.

'(a) INSTITUTIONAL PAYMENTS -

'(1) IN GENERAL- The Secretary shall (in addition to stipends paid to individuals under this subpart) pay to the institution of higher education, for each individual awarded a fellowship under this subpart at such institution, an institutional allowance. Except as provided in paragraph (2), such allowance shall be, for 2009-2010 and succeeding academic years, the same amount as the institutional payment made for 2008-2009 adjusted annually thereafter in accordance with inflation as determined by the Department of Labor's Consumer Price Index for the previous calendar year.

'(2) REDUCTION- The institutional allowance paid under paragraph (1) shall be reduced by the amount the institution charges and collects from a fellowship recipient for tuition and other expenses as part of the recipient's instructional program.

'(b) USE FOR OVERHEAD PROHIBITED- Funds made available pursuant to this subpart may not be used for the general operational overhead of the academic department or program.

'SEC. 716. AUTHORIZATION OF APPROPRIATIONS.

'There are authorized to be appropriated $35,000,000 for fiscal year 2009 and each of the five succeeding fiscal years to carry out this subpart.

HIGHER EDUCATION ACT OF 1965

TITLE VII – GRADUATE AND POSTSECONDARY IMPROVEMENT PROGRAMS

PART A – GRADUATE EDUCATION PROGRAMS

Subpart 2 – Graduate Assistance in Areas of National Need

PROGRAM REGULATIONS

TITLE 34--EDUCATION

DEPARTMENT OF EDUCATION

PART 648--GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED

Subpart A--General

§648.1 What is the Graduate Assistance in Areas of National Need program?

The Graduate Assistance in Areas of National Need program provides fellowships through academic departments of institutions of higher education to assist graduate students of superior ability who demonstrate financial need.
(Authority: 20 U.S.C. 1135, 1135a)

[58 FR 65842, Dec. 16, 1993, as amended at 64 FR 13487, Mar. 18, 1999]

§648.2 Who is eligible for a grant?

(a) The Secretary awards grants to the following:
(1) Any academic department of an institution of higher education that provides a course of study that—
(i) Leads to a graduate degree in an area of national need; and
(ii) Has been in existence for at least four years at the time of an application for a grant under this part.
(2) An academic department of an institution of higher education that—
(i) Satisfies the requirements of paragraph (a)(1) of this section; and
(ii) Submits a joint application with one or more eligible nondegree-granting institutions that have formal arrangements for the support of doctoral dissertation research with one or more degree-granting institutions.
(b) A formal arrangement under paragraph (a)(2)(ii) of this section is a written agreement

between a degree-granting institution and an eligible nondegree-granting institution whereby the degree-granting institution accepts students from the eligible nondegree-granting institution as doctoral degree candidates with the intention of awarding these students doctorates in an area of national need.
(c) The Secretary does not award a grant under this part for study at a school or department of divinity.
(Authority: 20 U.S.C. 1135, 1135a)

§648.3 What activities may the Secretary fund?

(a) The Secretary awards grants to institutions of higher education to fund fellowships in one or more areas of national need.
(b)(1) For the purposes of this part, the Secretary designates areas of national need from the academic areas listed in the appendix to this part or from the resulting inter-disciplines.
(2) The Secretary announces these areas of national need in a notice published in the FEDERAL REGISTER.
(Authority: 20 U.S.C. 1135, 1135a)

§648.4 What is included in the grant?

Each grant awarded by the Secretary consists of the following:
(a) The stipends paid by the Secretary through the institution of higher education to fellows. The stipend provides an allowance to a fellow for the fellow's (and his or her dependents') subsistence and other expenses.
(b) The institutional payments paid by the Secretary to the institution of higher education to be applied against each fellow's tuition, fees, and the costs listed in §648.62(b).
(Authority: 20 U.S.C. 1135c, 1135d)

§648.5 What is the amount of a grant?

(a) The amount of a grant to an academic department may not be less than $100,000 and may not be more than $750,000 in a fiscal year.

(b) In any fiscal year, no academic department may receive more than $750,000 as an aggregate total of new and continuing grants.
(Authority: 20 U.S.C. 1135)

§648.6 What is the duration of a grant?

The duration of a grant awarded under this part is a maximum of three annual budget periods during a three-year (36-month) project period.
(Authority: 20 U.S.C. 1135)

§648.7 What is the institutional matching contribution?

An institution shall provide, from non-Federal funds, an institutional matching contribution equal to at least 25 percent of the amount of the grant received under this part, for the uses indicated in §648.63.
(Authority: 20 U.S.C. 1135b, 1135c)

§648.8 What regulations apply?

The following regulations apply to this program:

(a) The Education Department General Administrative Regulations (EDGAR) as follows:

(1) 34 CFR part 74 (Administration of Grants to Institutions of Higher Education, Hospitals, and Nonprofit Organizations).

(2) 34 CFR part 75 (Direct Grant Programs).

(3) 34 CFR part 77 (Definitions that Apply to Department Regulations).

(4) 34 CFR part 79 (Intergovernmental Review of Department of Education Programs and Activities).

(5) 34 CFR part 82 (New Restrictions on Lobbying).

(6) 34 CFR part 85 (Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants)).

(7) 34 CFR part 86 (Drug-Free Schools and Campuses).

(b) The regulations in this part.

(Authority: 20 U.S.C. 1135)

§648.9 What definitions apply?

(a) *Definitions in EDGAR.* The following terms used in this part are defined in 34 CFR 77.1:

Applicant	Equipment
Application	Grant
Award	Nonprofit
Budget	Project period
Budget period	Secretary
Department	Supplies
EDGAR	

(b) *Other definitions.* The following definitions also apply to this part:

Academic department means any department, program, unit, or any other administrative subdivision of an institution of higher education that—

(i) Directly administers or supervises post-baccalaureate instruction in a specific discipline; and

(ii) Has the authority to award academic course credit acceptable to meet degree requirements at an institution of higher education.

Academic field means an area of study in an academic department within an institution of higher education other than a school or department of divinity.

Academic year means the 12-month period commencing with the fall instructional term of the institution.

Application period means the period in which the Secretary solicits applications for this program.

Discipline means a branch of instruction or learning.

Eligible non-degree granting institution means any institution that—

(i) Conducts post-baccalaureate academic programs of study but does not award doctoral degrees in an area of national need;

(ii) Is described in section 501(c)(3) of the Internal Revenue Code of 1986 and is exempt from tax under section 501(a) of the Code;

(iii) Is organized and operated substantially to conduct scientific and cultural research and graduate training programs;

(iv) Is not a private foundation;

(v) Has academic personnel for instruction and counseling who meet the standards of the institution of higher education in which the students are enrolled; and

(vi) Has necessary research resources not otherwise readily available in the institutions in which students are enrolled.

Fees mean non-refundable charges paid by a graduate student for services, materials, and supplies that are not included within the tuition charged by the institution in which the student is enrolled.

Fellow means a recipient of a fellowship under this part.

Fellowship means an award made by an institution of higher education to an individual for graduate study under this part at the institution of higher education.

Financial need means the fellow's financial need as determined under title IV, part F, of the HEA for the period of the fellow's enrollment in the approved academic field of study for which the fellowship was awarded.

General operational overhead means non-instructional expenses incurred by an academic department in the normal administration and conduct of its academic program, including the costs of supervision, recruitment, capital outlay, debt service, indirect costs, or any other costs not included in the determination of tuition and non-refundable fee charges.

Graduate student means an individual enrolled in a program of post-baccalaureate study at an institution of higher education.

Graduate study means any program of postbaccalaureate study at an institution of higher education.

HEA means the Higher Education Act of 1965, as amended.

Highest possible degree available means a doctorate in an academic field or a master's degree, professional degree, or other post-baccalaureate degree if a doctorate is not available in that academic field.

Institution of higher education (Institution) means an institution of higher education, other than a school or department of divinity, as defined in section 1201(a) of the HEA.

Inter-discipline means a course of study that involves academic fields in two or more disciplines.

Minority means Alaskan Native, American Indian, Asian-American, Black (African-American), Hispanic American, Native Hawaiian, or Pacific Islander.

Multi-disciplinary application means an application that requests fellowships for more than a single academic department in areas of national need designated as priorities by the Secretary under this part.

Project means the activities necessary to assist, whether from grant funds or institutional resources, fellows in the successful completion of their designated educational programs.

Satisfactory progress means that a fellow meets or exceeds the institution's criteria and standards established for a graduate student's continued status as an applicant for the graduate degree in the academic field for which the fellowship was awarded.

School or department of divinity means an institution, or an academic department of an institution, whose program is specifically for the education of students to prepare them to become ministers of religion or to enter into some other religious vocation or to prepare them to teach theological subjects.

Students from traditionally underrepresented backgrounds mean women and minorities who traditionally are underrepresented in areas of national need as designated by the Secretary.

Supervised training means training provided to fellows under the guidance and direction of faculty in the academic department.

Tuition means the charge for instruction by the institution of higher education in which the fellow is enrolled.

Underrepresented in areas of national need means proportionate representation as measured by degree recipients, that is less than the proportionate representation in the general population, as indicated by—

(i) The most current edition of the Department's *Digest of Educational Statistics;*

(ii) The National Research Council's *Doctorate Recipients from United States Universities;*

50

(iii) Other standard statistical references, as announced annually in the FEDERAL REGISTER notice inviting applications for new awards under this program; or

(iv) As documented by national survey data submitted to and accepted by the Secretary on a case-by-case basis.
(Authority: 20 U.S.C. 1135-1135d)

Subpart B—How Does an Institution of Higher Education Apply for a Grant?

§648.20 How does an institution of higher education apply for a grant?

(a) To apply for a grant under this part, an institution of higher education shall submit an application that responds to the appropriate selection criteria in §648.31.

(b) In addition, an application for a grant must—

(1) Describe the current academic program for which the grant is sought;

(2) Request a specific number of fellowships to be awarded on a full-time basis for the academic year covered under the grant in each academic field included in the application;

(3) Set forth policies and procedures to ensure that in making fellowship awards under this part the institution will seek talented students from traditionally underrepresented backgrounds;

(4) Set forth policies and procedures to assure that in making fellowship awards under this part the institution will make awards to individuals who satisfy the requirements of §648.40;

(5) Set forth policies and procedures to ensure that Federal funds made available under this part for any fiscal year will be used to supplement and, to the extent practical, increase the funds that otherwise would be made available for the purposes of this part and, in no case, to supplant those funds;

(6) Provide assurances that the institution will provide the institutional matching contribution described in §648.7;

(7) Provide assurances that, in the event that funds made available to the academic department under this part are insufficient to provide the assistance due a student under the

commitment entered into between the academic department and the student, the academic department will, from any funds available to it, fulfill the commitment to the student;

(8) Provide that the institution will comply with the requirements in subpart F; and

(9) Provide assurances that the academic department will provide at least one year of supervised training in instruction to students receiving fellowships under this program.

(c) In any application period, an academic department may not submit more than one application for new awards.
(Approved by the Office of Management and Budget under control number 1840-0604)
(Authority: 20 U.S.C. 1135b)
[58 FR 65842, Dec. 16, 1993, as amended at 64 FR 13487, Mar. 18, 1999]

Subpart C—How Does the Secretary Make an Award?

§648.30 How does the Secretary evaluate an application?

(a) The Secretary evaluates an application on the basis of the criteria in §648.31.

(b) The Secretary informs applicants of the maximum possible score for each criterion in the application package or in a notice published in the FEDERAL REGISTER.
(Authority: 20 U.S.C. 1135, 1135b)
[58 FR 65842, Dec. 16, 1993, as amended at 70 FR 13375, Mar. 21, 2005]

§648.31 What selection criteria does the Secretary use?

The Secretary evaluates an application on the basis of the criteria in this section.

(a) *Meeting the purposes of the program.* The Secretary reviews each application to determine how well the project will meet the purposes of the program, including the extent to which—

(1) The applicant's general and specific objectives for the project are realistic and measurable;

(2) The applicant's objectives for the project seek to sustain and enhance the capacity

51

for teaching and research at the institution and at State, regional, or national levels;

(3) The applicant's objectives seek to institute policies and procedures to ensure the enrollment of talented graduate students from traditionally underrepresented backgrounds; and

(4) The applicant's objectives seek to institute policies and procedures to ensure that it will award fellowships to individuals who satisfy the requirements of §648.40.

(b) *Extent of need for the project.* The Secretary considers the extent to which a grant under the program is needed by the academic department by considering—

(1) How the applicant identified the problems that form the specific needs of the project;

(2) The specific problems to be resolved by successful realization of the goals and objectives of the project; and

(3) How increasing the number of fellowships will meet the specific and general objectives of the project.

(c) *Quality of the graduate academic program.* The Secretary reviews each application to determine the quality of the current graduate academic program for which project funding is sought, including—

(1) The course offerings and academic requirements for the graduate program;

(2) The qualifications of the faculty, including education, research interest, publications, teaching ability, and accessibility to graduate students;

(3) The focus and capacity for research; and

(4) Any other evidence the applicant deems appropriate to demonstrate the quality of its academic program.

(d) *Quality of the supervised teaching experience.* The Secretary reviews each application to determine the quality of the teaching experience the applicant plans to provide fellows under this program, including the extent to which the project—

(1) Provides each fellow with the required supervised training in instruction;

(2) Provides adequate instruction on effective teaching techniques;

(3) Provides extensive supervision of each fellow's teaching performance; and

(4) Provides adequate and appropriate evaluation of the fellow's teaching performance.

(e) *Recruitment plan.* The Secretary reviews each application to determine the quality of the applicant's recruitment plan, including—

(1) How the applicant plans to identify, recruit, and retain students from traditionally underrepresented backgrounds in the academic program for which fellowships are sought;

(2) How the applicant plans to identify eligible students for fellowships;

(3) The past success of the academic department in enrolling talented graduate students from traditionally underrepresented backgrounds; and

(4) The past success of the academic department in enrolling talented graduate students for its academic program.

(f) *Project administration.* The Secretary reviews the quality of the proposed project administration, including—

(1) How the applicant will select fellows, including how the applicant will ensure that project participants who are otherwise eligible to participate are selected without regard to race, color, national origin, religion, gender, age, or disabling condition;

(2) How the applicant proposes to monitor whether a fellow is making satisfactory progress toward the degree for which the fellowship has been awarded;

(3) How the applicant proposes to identify and meet the academic needs of fellows;

(4) How the applicant proposes to maintain enrollment of graduate students from traditionally underrepresented backgrounds; and

(5) The extent to which the policies and procedures the applicant proposes to institute for administering the project are likely to ensure efficient and effective project implementation, including assistance to and oversight of the project director.

(g) *Institutional commitment.* The Secretary reviews each application for evidence that—

(1) The applicant will provide, from any funds available to it, sufficient funds to support the financial needs of the fellows if the funds made available under the program are insufficient;

(2) The institution's social and academic environment is supportive of the academic success of students from traditionally underrepresented backgrounds on the applicant's campus;

(3) Students receiving fellowships under this program will receive stipend support for the time necessary to complete their courses of study, but in no case longer than 5 years; and

(4) The applicant demonstrates a financial commitment, including the nature and amount of the institutional matching contribution, and other institutional commitments that are likely to ensure the continuation of project activities for a significant period of time following the period in which the project receives Federal financial assistance.

(h) *Quality of key personnel.* The Secretary reviews each application to determine the quality of key personnel the applicant plans to use on the project, including—

(1) The qualifications of the project director;

(2) The qualifications of other key personnel to be used in the project;

(3) The time commitment of key personnel, including the project director, to the project; and

(4) How the applicant, as part of its nondiscriminatory employment practices, will ensure that its personnel are selected without regard to race, color, national origin, religion, gender, age, or disabling condition, except pursuant to a lawful affirmative action plan.

(i) *Budget.* The Secretary reviews each application to determine the extent to which—

(1) The applicant shows a clear understanding of the acceptable uses of program funds; and

(2) The costs of the project are reasonable in relation to the objectives of the project.

(j) *Evaluation plan.* The Secretary reviews each application to determine the quality of the evaluation plan for the project, including the extent to which the applicant's methods of evaluation—

(1) Relate to the specific goals and measurable objectives of the project;

(2) Assess the effect of the project on the students receiving fellowships under this program, including the effect on persons of different racial and ethnic backgrounds, genders, and ages, and on persons with disabilities who are served by the project;

(3) List both process and product evaluation questions for each project activity and outcome, including those of the management plan;

(4) Describe both the process and product evaluation measures for each project activity and outcome;

(5) Describe the data collection procedures, instruments, and schedules for effective data collection;

(6) Describe how the applicant will analyze and report the data so that it can make adjustments and improvements on a regular basis; and

(7) Include a time-line chart that relates key evaluation processes and benchmarks to other project component processes and benchmarks.

(k) *Adequacy of resources.* The Secretary reviews each application to determine the adequacy of the resources that the applicant makes available to graduate students receiving fellowships under this program, including facilities, equipment, and supplies.
(Approved by the Office of Management and Budget under control number 1840-0604)
(Authority: 20 U.S.C. 1135-1135c)
[58 FR 65842, Dec. 16, 1993, as amended at 70 FR 13375, Mar. 21, 2005]

§648.32 What additional factors does the Secretary consider?

(a) *Continuation awards.* (1) Before funding new applications, the Secretary gives preference to grantees requesting their second or third year of funding.

(2) If appropriations for this program are insufficient to fund all continuation grantees for the second and third years at the approved funding level, the Secretary prorates the available funds, if any, among the continuation grantees and, if necessary, awards continuation grants of less than $100,000.

(b) *Equitable distribution.* In awarding grants, the Secretary will, consistent with an allocation of awards based on the quality of competing applications, ensure the following:

53

(1) An equitable geographic distribution of grants to eligible applicant institutions of higher education.

(2) An equitable distribution of grants to eligible applicant public and eligible applicant private institutions of higher education.
(Authority: 20 U.S.C. 1135-1135c)

§648.33 What priorities and absolute preferences does the Secretary establish?

(a) For each application period, the Secretary establishes as an area of national need and gives absolute preference to one or more of the general disciplines and sub-disciplines listed as priorities in the appendix to this part or the resulting interdisciplines.

(b) The Secretary announces the absolute preferences in a notice published in the FEDERAL REGISTER.
(Authority: 20 U.S.C. 1135, 1135a)

Subpart D—How Are Fellows Selected?

§648.40 How does an academic department select fellows?

(a) In selecting individuals to receive fellowships, an academic department shall consider only individuals who—

(1) Are currently enrolled as graduate students, have been accepted at the grantee institution, or are enrolled or accepted as graduate students at an eligible nondegree-granting institution;

(2) Are of superior ability;

(3) Have an excellent academic record;

(4) Have financial need;

(5) Are planning to pursue the highest possible degree available in their course of study;

(6) Are planning a career in teaching or research;

(7) Are not ineligible to receive assistance under 34 CFR 75.60; and

(8)(i) Are United States citizens or nationals;

(ii) Are permanent residents of the United States;

(iii) Provide evidence from the Immigration and Naturalization Service that they are in the United States for other than a temporary purpose with the intention of becoming permanent residents; or

(iv) Are citizens of any one of the Freely Associated States.

(b) An individual who satisfies the eligibility criteria in paragraph (a) of this section, but who attends an institution that does not offer the highest possible degree available in the individual's course of study, is eligible for a fellowship if the individual plans to attend subsequently an institution that offers this degree.
(Authority: 20 U.S.C. 1135, 1135b)
[58 FR 65842, Dec. 16, 1993, as amended at 64 FR 13487, Mar. 18, 1999]

§648.41 How does an individual apply for a fellowship?

An individual shall apply directly to an academic department of an institution of higher education that has received a grant.
(Authority: 20 U.S.C. 1135, 1135c)

Subpart E—How Does the Secretary Distribute Funds?

§648.50 What are the Secretary's payment procedures?

(a) The Secretary awards to the institution of higher education a stipend and an institutional payment for each individual awarded a fellowship under this part.

(b) If an academic department of an institution of higher education is unable to use all of the amounts available to it under this part, the Secretary reallots the amounts not used to academic departments of other institutions of higher education for use in the academic year following the date of the reallotment.
(Authority: 20 U.S.C. 1135a, 1135c, 1135d)

§648.51 What is the amount of a stipend?

(a) For a fellowship initially awarded for an academic year prior to the academic year 1993-94, the institution shall pay the fellow a stipend in an amount that equals the fellow's financial need or $10,000, whichever is less.

(b) For a fellowship initially awarded for the academic year 1993-94, or any succeeding academic year, the institution shall pay the fellow a stipend at a level of support equal to that provided by the National Science Foundation graduate fellowships, except that this amount must be adjusted as necessary so as not to exceed the fellow's demonstrated level of financial need as determined under part F of title IV of the HEA. The Secretary announces the amount of the stipend in a notice published in the FEDERAL REGISTER.
(Authority: 20 U.S.C. 1135c)
[58 FR 65842, Dec. 16, 1993, as amended at 64 FR 13487, Mar. 18, 1999]

§648.52 What is the amount of the institutional payment?

(a) For academic year 1998-1999, the amount of the institutional payment received by an institution of higher education for each student awarded a fellowship at the institution is $10,222. Thereafter, the Secretary adjusts the amount of the institutional payment annually in accordance with inflation as determined by the United States Department of Labor's Consumer Price Index for the previous calendar year. The Secretary announces the amount of the institutional payment in a notice published in the FEDERAL REGISTER.

(b) The institutional allowance paid under paragraph (a) of this section is reduced by the amount the institution charges and collects from a fellowship recipient for tuition and other expenses as part of the recipient's instructional program.
(Authority: 20 U.S.C. 1135d)
[58 FR 65842, Dec. 16, 1993, as amended at 64 FR 13487, Mar. 18, 1999]

Subpart F—What Are the Administrative Responsibilities of the Institution?

§648.60 When does an academic department make a commitment to a fellow to provide stipend support?

(a) An academic department makes a commitment to a fellow at any point in his or her graduate study for the length of time necessary for the fellow to complete the course of graduate study, but in no case longer than five years.

(b) An academic department shall not make a commitment under paragraph (a) of this section to provide stipend support unless the academic department has determined that adequate funds are available to fulfill the commitment either from funds received or anticipated under this part or from institutional funds.
(Authority: 20 U.S.C. 1135c)

§648.61 How must the academic department supervise the training of fellows?

The institution shall provide to fellows at least one academic year of supervised training in instruction at the graduate or undergraduate level at the schedule of at least one-half-time teaching assistant.
(Authority: 20 U.S.C. 1135b)

§648.62 How can the institutional payment be used?

(a) The institutional payment must be first applied against a fellow's tuition and fees.

(b) After payment of a fellow's tuition and fees, the institutional payment may be applied against educational expenses of the fellow that are not covered by tuition and fees and are related to the academic program in which the fellow is enrolled. These expenses include the following:

(1) Costs for rental or purchase of any books, materials, or supplies required of students in the same course of study.

(2) Costs of computer hardware, project specific software, and other equipment prorated by the length of the student's fellowship over the reasonable life of the equipment.

(3) Membership fees of professional associations.

(4) Travel and per diem to professional association meetings and registration fees.

(5) International travel, per diem, and registration fees to participate in educational activities.

(6) Expenses incurred in research.

(7) Costs of reproducing and binding of educational products.

(c) The institutional payment must supplement and, to the extent practical, increase the funds that would otherwise be made available for the purpose of the program and, in no case, to supplant institutional funds currently available for fellowships.
(Authority: 20 U.S.C. 1135b, 1135d)

§648.63 How can the institutional matching contribution be used?

(a) The institutional matching contribution may be used to—
(1) Provide additional fellowships to graduate students who are not already receiving fellowships under this part and who satisfy the requirements of §648.40;
(2) Pay for tuition, fees, and the costs listed in §648.62(b);
(3) Pay for costs of providing a fellow's instruction that are not included in the tuition or fees paid to the institution in which the fellow is enrolled; and
(4) Supplement the stipend received by a fellow under §648.51 in an amount not to exceed a fellow's financial need.
(b) An institution may not use its institutional matching contribution to fund fellowships that were funded by the institution prior to the award of the grant.
(Authority: 20 U.S.C. 1135, 1135b, 1135c)

§648.64 What are unallowable costs?

Neither grant funds nor the institutional matching funds may be used to pay for general operational overhead costs of the academic department.
(Authority: 20 U.S.C. 1135, 1135d)

§648.65 How does the institution of higher education disburse and return funds?

(a) An institution that receives a grant shall disburse a stipend to a fellow in accordance with its regular payment schedule, but shall not make less than one payment per academic term.
(b) If a fellow withdraws from an institution before completion of an academic term, the institution may award the fellowship to another individual who satisfies the requirements in §648.40.
(c) If a fellowship is vacated or discontinued for any period of time, the institution shall return a prorated portion of the institutional payment and unexpended stipend funds to the Secretary, unless the Secretary authorizes the use of those funds for a subsequent project period. The institution shall return the prorated portion of the institutional payment and unexpended stipend funds at a time and in a manner determined by the Secretary.
(d) If a fellow withdraws from an institution before the completion of the academic term for which he or she received a stipend installment, the fellow shall return a prorated portion of the stipend installment to the institution at a time and in a manner determined by the Secretary.
(Authority: 20 U.S.C. 1135c, 1135d)

§648.66 What records and reports are required from the institution?

(a) An institution of higher education that receives a grant shall provide to the Secretary, prior to the receipt of grant funds for disbursement to a fellow, a certification that the fellow is enrolled in, is making satisfactory progress in, and is devoting essentially full time to study in the academic field for which the grant was made.
(b) An institution of higher education that receives a grant shall keep records necessary to establish—
(1) That each student receiving a fellowship satisfies the eligibility requirements in §648.40;
(2) The time and amount of all disbursements and return of stipend payments;
(3) The appropriate use of the institutional payment; and
(4) That assurances, policies, and procedures provided in its application have been satisfied.
(Approved by the Office of Management and Budget under control number 1840-0604)
(Authority: 20 U.S.C. 1135-1135d)

Subpart G—What Conditions Must Be Met by a Fellow After an Award?

§648.70 What conditions must be met by a fellow?

To continue to be eligible for a fellowship, a fellow must—

(a) Maintain satisfactory progress in the program for which the fellowship was awarded;

(b) Devote essentially full time to study or research in the academic field in which the fellowship was awarded; and

(c) Not engage in gainful employment, except on a part-time basis in teaching, research, or similar activities determined by the academic department to be in support of the fellow's progress toward a degree.

(Authority: 20 U.S.C. 1135c)

Appendix to Part 648—Academic Areas

The Secretary may give an absolute preference to any of the academic areas listed as disciplines or subdisciplines below, or the resulting inter-disciplines. The list was derived from the Classification of Instructional Programs (CIP) developed by the Office of Educational Research and Improvement of the U.S. Department of Education and includes the instructional programs that may constitute courses of studies toward graduate degrees. The code number to the left of each discipline and subdiscipline is the Department's identification code for that particular type of instructional program.

05. Area, Ethnic, and Cultural Studies
    05.01 Area Studies
    05.02 Ethnic and Cultural Studies
11. Computer and Information Sciences
    11.01 Computer and Information Sciences, General
    11.02 Computer Programming
    11.04 Information Sciences and Systems
    11.05 Computer Systems Analysis
    11.07 Computer Science
13. Education
    13.01 Education, General
    13.02 Bilingual/Bicultural Education
    13.03 Curriculum and Instruction
    13.04 Education Administration and Supervision
    13.05 Educational/Instructional Media Design
    13.06 Educational Evaluation, Research, and Statistics
    13.07 International and Comparative Education
    13.08 Educational Psychology
    13.09 Social and Philosophical Foundations of Education
    13.10 Special Education
    13.11 Student Counseling and Personnel Services
    13.12 General Teacher Education
    13.13 Teacher Education, Specific Academic, and Vocational Programs
    13.14 Teaching English as a Second Language/Foreign Language
14. Engineering
    14.01 Engineering, General
    14.02 Aerospace, Aeronautical, and Astronautical Engineering
    14.03 Agricultural Engineering
    14.04 Architectural Engineering
    14.05 Bioengineering and Biomedical Engineering
    14.06 Ceramic Sciences and Engineering
    14.07 Chemical Engineering
    14.08 Civil Engineering
    14.09 Computer Engineering
    14.10 Electrical, Electronic, and Communications Engineering
    14.11 Engineering Mechanics
    14.12 Engineering Physics
    14.13 Engineering Science
    14.14 Environmental/Environmental Health Engineering
    14.15 Geological Engineering
    14.16 Geophysical Engineering
    14.17 Industrial/Manufacturing Engineering
    14.18 Materials Engineering
    14.19 Mechanical Engineering
    14.20 Metallurgical Engineering
    14.21 Mining and Mineral Engineering
    14.22 Naval Architecture and Marine Engineering
    14.23 Nuclear Engineering
    14.24 Ocean Engineering
    14.25 Petroleum Engineering
    14.27 Systems Engineering
    14.28 Textile Sciences and Engineering
    14.29 Engineering Design
    14.30 Engineering/Industrial Management

14.31 Materials Science
14.32 Polymer/Plastics Engineering
16. Foreign Languages
16.01 Foreign Languages and Literatures
16.03 East and Southeast Asian Languages and Literatures
16.04 East European Languages and Literatures
16.05 Germanic Languages and Literatures
16.06 Greek Languages and Literatures
16.07 South Asian Languages and Literatures
16.09 Romance Languages and Literatures
16.11 Middle Eastern Languages and Literatures
16.12 Classical and Ancient Near Eastern Languages and Literatures
22. Law and Legal Studies
22.01 Law and Legal Studies
25. Library Science
25.01 Library Science/Librarianship
25.03 Library Assistant
26. Biological Sciences/Life Sciences
26.01 Biology, General
26.02 Biochemistry and Biophysics
26.03 Botany
26.04 Cell and Molecular Biology
26.05 Microbiology/Bacteriology
26.06 Miscellaneous Biological Specializations
26.07 Zoology
27. Mathematics
27.01 Mathematics
27.03 Applied Mathematics
27.05 Mathematic Statistics
40. Physical Sciences
40.01 Physical Sciences, General
40.02 Astronomy
40.03 Astrophysics
40.04 Atmospheric Sciences and Meteorology
40.05 Chemistry
40.06 Geological and Related Sciences
40.07 Miscellaneous Physical Sciences
40.08 Physics
42. Psychology
42.01 Psychology
42.02 Clinical Psychology
42.03 Cognitive Psychology and Psycholinguistics
42.04 Community Psychology

42.06 Counseling Psychology
42.07 Developmental and Child Psychology
42.08 Experimental Psychology
42.09 Industrial and Organizational Psychology
42.11 Physiological Psychology/Psychobiology
42.16 Social Psychology
42.17 School Psychology
50. Visual and Performing Arts
50.01 Visual and Performing Arts
50.02 Crafts, Folk Art, and Artisanry
50.03 Dance
50.04 Design and Applied Arts
50.05 Dramatic/Theater Arts and Stagecraft
50.06 Film/Video and Photographic Arts
50.07 Fine Arts and Art Studies
50.09 Music
51. Health Professions and Related Sciences
51.01 Chiropractic (D.C., D.C.M.)
51.02 Communication Disorders Sciences and Services
51.03 Community Health Services
51.04 Dentistry (D.D.S., D.M.D.)
51.05 Dental Clinical Sciences/Graduate Dentistry (M.S., Ph.D.)
51.06 Dental Services
51.07 Health and Medical Administrative Services
51.08 Health and Medical Assistants
51.09 Health and Medical Diagnostic and Treatment Services
51.10 Health and Medical Laboratory Technologies/Technicians
51.11 Health and Medical Preparatory Programs
51.12 Medicine (M.D.)
51.13 Medical Basic Science
51.14 Medical Clinical Services (M.S., Ph.D)
51.15 Mental Health Services
51.16 Nursing
51.17 Optometry (O.D.)
51.18 Ophthalmic/Optometric Services
51.19 Osteopathic Medicine (D.O.)
51.20 Pharmacy
51.21 Podiatry (D.P.M., D.P., Pod.D.)
51.22 Public Health
51.23 Rehabilitation/Therapeutic Services

51.24 Veterinary Medicine (D.V.M.)
51.25 Veterinary Clinical Services

51.27 Miscellaneous Health Professions

INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS
EXECUTIVE ORDER 12372

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

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

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

> https://www.whitehouse.gov/wp-content/uploads/2017/11/Intergovernmental_-Review-_SPOC_01_2018_OFFM.pdf

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

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

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

GENERAL EDUCATION PROVISIONS ACT (GEPA) SECTION 427

NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about the following provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) 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 provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.

3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

4) An applicant that proposes a project to increase school safety might describe the special efforts it will take to address concern of lesbian, gay, bisexual, and transgender students, and efforts to reach out to and involve the families of LGBT students

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email ICDocketMgr@ed.gov and reference the OMB Control Number 1894-0005.

GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)

What is GPRA?

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

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

As required by GPRA, the Department of Education has prepared a strategic plan for 2014-2018. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

Goal 1: Postsecondary Education, Career and Technical Education, and Adult Education.
Increase college access, affordability, quality, and completion by improving postsecondary education and lifelong learning opportunities for youths and adults.

Goal 2: Elementary and Secondary Education.
Improve the elementary and secondary education system's ability to consistently deliver excellent instruction aligned with rigorous academic standards while providing effective support services to close achievement and opportunity gaps, and ensure all students graduate high school college- and career-ready.

Goal 3: Early Learning.
Improve the health, social-emotional, and cognitive outcomes for all children from birth through 3rd grade, so that all children, particularly those with high needs, are on track for graduating from high school college- and career-ready.

Goal 4: Equity.
Increase educational opportunities for and reduce discrimination against underserved students so that all students are well-positioned to succeed.

Goal 5: Continuous Improvement of the U.S. Education System.
Enhance the education system's ability to continuously improve through better and more widespread use of data, research and evaluation, evidence, transparency, innovation, and technology.

Goal 6: U.S Department of Education Capacity.
Improve the organizational capacities of the Department to implement this strategic plan.

What are the performance indicators for the GAANN Program?

The performance indicators for the GAANN program are part of the Department's plan for meeting Goal 1. The specific goal for the GAANN program is "to increase the number of persons trained at the highest academic level" in the areas of national need.

The performance indicators for the GAANN program are:

(1.1)   **Graduate school completion:** the percentage of GAANN fellows completing the terminal degree in the designated areas of national need.

(1.2)   **Time to completion:** the median of time to completion of Master's and Doctoral degrees for GAANN students.

(1.3)   **Employment:** the percentage of GAANN fellows who have placements in faculty or professional positions in the area of their studies within one year of completing the degree.

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

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

INSTRUCTIONS FOR

COMPLETING THE

GAANN

APPLICATION PACKAGE

ORGANIZATION OF THE APPLICATION PACKAGE

The instructions for completing the GAANN application package have been divided into three parts. Your submitted application should be organized in the same manner as the parts appearing in this section. Please read the instructions carefully in the following pages before preparing and submitting your application.

Part I: **SF 424 Forms**
- Application for Federal Assistance – (SF 424)
- Department of Education Supplemental Information Form for SF 424

Note:

- ➢ Applicants must complete the Standard Form (SF) 424 first because some of the information provided here is automatically inserted into other sections of the Grants.gov application package.
- ➢ Do not attach any narratives, supporting files, or application components to the SF 424. Although the form accepts attachments, the Department of Education will only review materials/files attached to the forms listed below.

Part II: **Abstract, Project Narrative, and Program Specific Forms**

- ED Abstract Form
- Project Narrative Attachment Form
- Other Attachments Form

The **ED Abstract Form** is where you attach your one page project abstract.

Note:

- ➢ Each application must include an "ED Abstract Form."
- ➢ In addition to a short summary covering the designated area(s) of national need, the abstract should include:

Institution Name:	
Type of Application: (Single/Inter-Disciplinary/Multi-Disciplinary)	
Area of National Need:	
Degree Level of Program of Study (Masters, PSM, or Doctorate):	
Length of Time Degree Program has been in Existence:	
Number of Federally Funded GAANN Fellows Requested:	

The **Project Narrative Attachment Form** includes the narrative sections addressing the program selection criteria that will be used to evaluate applications submitted for this competition - this section has page limit recommendations depending on the type of application you are submitting.

Note: The **Budget Narrative** will be included in the Project Narrative as part of the Selection Criteria.

The **Other Attachments Form** is where you attach the appendices, referenced in the section "Instructions for Completing the Project Narrative." You will also include the required GAANN

program specific forms: the GAANN Budget Spreadsheet(s) Form and the GAANN Statutory Assurances.

> Attach all Curriculum Vitae (CV) as a single document.

> Attach the following **GAANN Program Specific Forms** to the "Other Attachments Form" in Grants.gov. These Program Specific Forms are found at the end of the application package:

- **GAANN Statutory Assurances Form**

  Instructions for the GAANN Statutory Assurances Form are covered in the **"Program Specific Forms Instructions"** section of the application package.

- **GAANN Budget Spreadsheet(s) Form**

  The GAANN Budget Spreadsheet(s) Form is where the applicant provides budget information for the GAANN Budget Narrative. The applicant must submit the Budget Spreadsheet(s) Form electronically as a separate document and attach the document(s) into the "Other Attachments Form."

  Please note that more detailed instructions for completing and attaching the Budget Spreadsheet(s) Form are covered in the **"Program Specific Forms Instructions"** section of the application package.

Note: These forms must not be altered in any way. Grants.gov upload requirements must be followed when uploading these two program specific forms.

Part III: **Assurances and Certifications**

Assurances and Certifications

- GEPA Section 427 Requirement
- Assurances – Non-Construction Programs (SF 424B)
- Disclosure of Lobbying Activities (SF-LLL)
- Grants.gov Lobbying Form (ED form 80-0013)

Grants.gov Uploading Requirements:

You must upload any narrative sections and all other attachments to your application as files in a PDF (Portable Document) read-only, non-modifiable format. Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-modifiable PDF or submit a password-protected file, we will not review that material.

PART II:
Instructions for Completing the Project Narrative

Applications must be submitted electronically via Grants.gov. Please refer to "Grants.gov Submission Procedures and Tips for Applicants" for more information regarding electronic submission requirements.

Before preparing the Project Narrative, the applicant should **<u>read carefully</u>**: the program statute, the Notice Inviting Applications, and the program regulations, including Subpart B, §648.20, <u>How does an Institution of Higher Education Apply for a Grant?</u> and Subpart C, §648.30 through §648.33, <u>How Does the Secretary Make an Award?</u>

<u>ABSTRACT INSTRUCTIONS</u>:

The one-page abstract must contain a short summary covering the designated area(s) of national need; in addition, the abstract should include the following information:

Institution Name:	
Type of Application (Single/Inter-Disciplinary/Multi-Disciplinary):	
Area of National Need:	
Degree Level of Program of Study (Masters, PSM, or Doctorate):	
Length of Time Degree Program has been in Existence:	
Number of Federally Funded GAANN Fellows Requested:	

<u>Note</u>:
- The number of Federally Funded GAANN Fellows requested does not include any matching fellows that your department proposes.

Formatting and Uploading Documents:

The one-page abstract must be attached electronically. You must upload any narrative sections and all other attachments to your application as files in a PDF (Portable Document) read-only, non-modifiable format. Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-modifiable PDF or submit a password-protected file, we will not review that material.

Once the document has been saved, the applicant must attach the document to the "ED Abstract Form" section in the Grants.gov system.

The one-page abstract may be single or double spaced. The following format recommendations apply to the abstract:

- A "page" is "8.5x11," on one side only, with 1" margins.
- Double-space all text in the application project narrative, and single-space titles, headings, footnotes, quotations, references and captions.
- Use an easily readable font such as Times New Roman, Courier, Courier New, or Arial.
- Use a 12-point font.

PROJECT NARRATIVE INSTRUCTIONS:

Selection Criteria:

Address the selection criteria, including all sub-criteria, in sequential order. The selection criteria can also be found in the program regulations, Subpart C, §648.31, <u>What Selection Criteria Does the Secretary Use</u>?

§648.31 What selection criteria does the Secretary use?

The Secretary evaluates an application on the basis of the criteria in this section.

(a) *Meeting the purposes of the program.* (7 Points) The Secretary reviews each application to determine how well the project will meet the purposes of the program, including the extent to which—

    (1) The applicant's general and specific objectives for the project are realistic and measurable;

    (2) The applicant's objectives for the project seek to sustain and enhance the capacity for teaching and research at the institution and at State, regional, or national levels;

    (3) The applicant's objectives seek to institute policies and procedures to ensure the enrollment of talented graduate students from traditionally underrepresented backgrounds; and

    (4) The applicant's objectives seek to institute policies and procedures to ensure that it will award fellowships to individuals who satisfy the requirements of §648.40.

(b) *Extent of need for the project.* (5 Points) The Secretary considers the extent to which a grant under the program is needed by the academic department by considering—

    (1) How the applicant identified the problems that form the specific needs of the project;

    (2) The specific problems to be resolved by successful realization of the goals and objectives of the project; and

    (3) How increasing the number of fellowships will meet the specific and general objectives of the project.

(c) *Quality of the graduate academic program.* (20 Points) The Secretary reviews each application to determine the quality of the current graduate academic program for which project funding is sought, including—

    (1) The course offerings and academic requirements for the graduate program;

    (2) The qualifications of the faculty, including education, research interest, publications, teaching ability, and accessibility to graduate students;

    (3) The focus and capacity for research; and

    (4) Any other evidence the applicant deems appropriate to demonstrate the quality of its academic program.

(d) *Quality of the supervised teaching experience.* (10 Points) The Secretary reviews each application to determine the quality of the teaching experience the applicant plans to provide fellows under this program, including the extent to which the project—

    (1) Provides each fellow with the required supervised training in instruction;

    (2) Provides adequate instruction on effective teaching techniques;

    (3) Provides extensive supervision of each fellow's teaching performance; and

    (4) Provides adequate and appropriate evaluation of the fellow's teaching performance.

(e) *Recruitment plan.* (5 Points) The Secretary reviews each application to determine the quality of the applicant's recruitment plan, including—

(1) How the applicant plans to identify, recruit, and retain students from traditionally underrepresented backgrounds in the academic program for which fellowships are sought;

(2) How the applicant plans to identify eligible students for fellowships;

(3) The past success of the academic department in enrolling talented graduate students from traditionally underrepresented backgrounds; and

(4) The past success of the academic department in enrolling talented graduate students for its academic program.

(f) *Project administration.* (8 Points) The Secretary reviews the quality of the proposed project administration, including—

(1) How the applicant will select fellows, including how the applicant will ensure that project participants who are otherwise eligible to participate are selected without regard to race, color, national origin, religion, gender, age, or disabling condition;

(2) How the applicant proposes to monitor whether a fellow is making satisfactory progress toward the degree for which the fellowship has been awarded;

(3) How the applicant proposes to identify and meet the academic needs of fellows;

(4) How the applicant proposes to maintain enrollment of graduate students from traditionally underrepresented backgrounds; and

(5) The extent to which the policies and procedures the applicant proposes to institute for administering the project are likely to ensure efficient and effective project implementation, including assistance to and oversight of the project director.

(g) *Institutional commitment.* (15 Points) The Secretary reviews each application for evidence that—

(1) The applicant will provide, from any funds available to it, sufficient funds to support the financial needs of the fellows if the funds made available under the program are insufficient;

(2) The institution's social and academic environment is supportive of the academic success of students from traditionally underrepresented backgrounds on the applicant's campus;

(3) Students receiving fellowships under this program will receive stipend support for the time necessary to complete their courses of study, but in no case longer than 5 years; and

(4) The applicant demonstrates a financial commitment, including the nature and amount of the institutional matching contribution, and other institutional commitments that are likely to ensure the continuation of project activities for a significant period of time following the period in which the project receives Federal financial assistance.

(h) *Quality of key personnel.* (5 Points)   The Secretary reviews each application to determine the quality of key personnel the applicant plans to use on the project, including—

(1) The qualifications of the project director;

(2) The qualifications of other key personnel to be used in the project;

(3) The time commitment of key personnel, including the project director, to the project; and

(4) How the applicant, as part of its nondiscriminatory employment practices, will ensure that its personnel are selected without regard to race, color, national origin, religion, gender, age, or disabling condition, except pursuant to a lawful affirmative action plan.

(i) *Budget.* (5 Points)   The Secretary reviews each application to determine the extent to which —

(1) The applicant shows a clear understanding of the acceptable uses of program funds; and

(2) The costs of the project are reasonable in relation to the objectives of the project.

(j) *Evaluation plan.* (15 Points) The Secretary reviews each application to determine the quality of the evaluation plan for the project, including the extent to which the applicant's methods of evaluation—

(1) Relate to the specific goals and measurable objectives of the project;

(2) Assess the effect of the project on the students receiving fellowships under this program, including the effect on persons of different racial and ethnic backgrounds, genders, and ages, and on persons with disabilities who are served by the project;

(3) List both process and product evaluation questions for each project activity and outcome, including those of the management plan;

(4) Describe both the process and product evaluation measures for each project activity and outcome;

(5) Describe the data collection procedures, instruments, and schedules for effective data collection;

(6) Describe how the applicant will analyze and report the data so that it can make adjustments and improvements on a regular basis; and

(7) Include a time-line chart that relates key evaluation processes and benchmarks to other project component processes and benchmarks.

(k) *Adequacy of resources.* (5 Points)   The Secretary reviews each application to determine the adequacy of the resources that the applicant makes available to graduate students receiving fellowships under this program, including facilities, equipment, and supplies.

Formatting Recommendations:

- A "page" is "8.5x11," on one side only, with 1" margins.

- Double-space all text in the application project narrative, and single-space titles, headings, footnotes, quotations, references and captions.

- Use an easily readable font such as Times New Roman, Courier, Courier New, or Arial.

- Use a 12-point font.

Project Narrative Page Recommendations:

- Single and Inter-Disciplinary project narratives should be limited to no more than 40 pages.
    - An **inter-disciplinary** application must request funding for a single proposed program of study that involves academic fields in two or more disciplines.
- Multi-disciplinary project narratives, as defined below, should be limited to no more than 40 pages for each academic department included in the proposal.
    - A **multi-disciplinary** application must request funding for two or more academic departments in areas of national need designated as priorities by the Secretary that are **independent** and **unrelated** to one another.

- Applicants must abide by the definition of multi-disciplinary when applying page limits.

Note: Applicants have the option of including a Table of Contents. However, this document should not be longer than two (2) pages. The formatting should be the same as listed above in the "Formatting Recommendations" of the Project Narrative Instructions and does not count toward the recommended Narrative page limit.

Grants.gov Uploading Requirements:

You must upload any narrative sections and all other attachments to your application as files in a PDF (Portable Document) read-only, non-modifiable format. Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-modifiable PDF or submit a password-protected file, we will not review that material.

NOTE: Section 648.31 – What selection criteria does the Secretary use?

The selection criteria at C.F.R. 648.31, consider an applicant's policies and procedures to ensure enrollment of talented graduate students from traditionally underrepresented backgrounds. Do these criteria require an applicant to give priority to or set aside stipends for students based on race or ethnicity?

That is not the intent of the selection criteria. Rather, they are intended to direct applicants to engage in outreach and recruitment efforts as a means of fostering the enrollment of eligible students from traditionally underrepresented backgrounds. The GAANN criteria do not independently require or authorize applicants to give priority for or set aside stipends for students based on race or ethnicity. It should be noted, however, that an institution of higher education (IHE) is permitted to take race and ethnicity into consideration in the award of financial aid, provided that the institution complies with the legal principles described in the Department's policy guidance on race-targeted financial aid, under Title VI of the Civil Rights Act, which was published in the Federal Register on February 23, 1994 (59 FED.REG8756). In summary, it is permissible for IHEs to consider race and ethnicity in granting financial aid in order to promote diversity of their student body and to remedy the effects of discrimination. As explained in this guidance, use of race or ethnicity as a remedy or to promote diversity must be narrowly tailored to achieve those objectives. IHEs that seek to do this should consult the policy guidance for further clarification on how to ensure that race-targeted financial aid is narrowly tailored to meet the objectives of remedying past discrimination or promoting diversity. IHEs in the Fifth Circuit should note that the legality of discrimination in a public school system as a whole is unclear in light of the Fifth Circuit's decision in Hopwood v. Texas, 78F 3d 932 (5th Cir.) cert. denied, Texas v. Hopwood, 115 S. CT. 2581 (1996).

APPENDICES:

Appendices are limited to the following:
1. Curriculum Vitae (CV) – recommended no more than two (2) pages per faculty member;
2. Course listing;

3. Letters of commitment;
4. Bibliography; and
5. One additional optional appendix relevant to the support of the proposal, recommended no more than five (5) pages.
   GAANN Program Specific Forms:
6. GAANN Statutory Assurances Form
7. GAANN Budget Spreadsheet(s) Form

Formatting and Uploading Requirements:

There are no additional formatting requirements for the appendices, however, please see each appendix above for any additional information.

Each appendix must be attached electronically as a separate document, and each saved in PDF (Portable Document) read-only, non-modifiable format. Once the documents have been saved, the applicant must attach the documents included in the appendices to the corresponding "Other Attachments Form."

Grants.gov Upload Requirements:

You must upload any narrative sections and all other attachments to your application as files in a PDF (Portable Document) read-only, non-modifiable format. Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-modifiable PDF or submit a password-protected file, we will not review that material.

INSTRUCTIONS FOR STANDARD AND PROGRAM SPECIFIC FORMS

STANDARD FORMS INSTRUCTIONS:

- Application for Federal Education Assistance (SF 424 Form) Instructions

- Department of Education Supplemental Information for SF 424 Form Instructions

- Disclosure of Lobbying Activities (SF-LLL)

PROGRAM SPECIFIC FORMS INSTRUCTIONS:

- GAANN Statutory Assurances Form Instructions

- GAANN Budget Spreadsheet(s) Form Instructions

This is a standard form 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 fields on the form are identified with an asterisk (*) and are also specified as "Required" in the instructions below. In addition to these instructions, applicants must consult agency instructions to determine other specific requirements.

Item	Entry:	Item:	Entry:
1.	**Type of Submission:** (Required) Select one type of submission in accordance with agency instructions. • Pre-application • Application • Changed/Corrected Application – Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date.	10.	**Name Of Federal Agency**: (Required) Enter the name of the federal agency from which assistance is being requested with this application.
2.	**Type of Application**: (Required) Select one type of application in accordance with agency instructions. • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the federal government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. A. Increase Award D. Decrease Duration B. Decrease Award E. Other (specify) C. Increase Duration	11.	**Catalog Of Federal Domestic Assistance Number/Title:** Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
		12.	**Funding Opportunity Number/Title:** (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	**Competition Identification Number/Title:** Enter the competition identification number and title of the competition under which assistance is requested, if applicable.
		14.	**Areas Affected By Project:** This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.
3.	**Date Received:** Leave this field blank. This date will be assigned by the Federal agency.	15.	**Descriptive Title of Applicant's Project:** (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.
4.	**Applicant Identifier:** Enter the entity identifier assigned buy the Federal agency, if any, or the applicant's control number if applicable.		
5a.	**Federal Entity Identifier**: Enter the number assigned to your organization by the federal agency, if any.	16.	**Congressional Districts Of**: 16a. (Required) Enter the applicant's congressional district. 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 district, CA-012 for California 12 district, NC-103 for North Carolina's 103 district. If all
5b.	**Federal Award Identifier**: For new applications, enter NA. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application,		

	enter the federal identifier in accordance with agency instructions.		
6.	**Date Received by State:** Leave this field blank. This date will be assigned by the state, if applicable.		congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for
7.	**State Application Identifier:** Leave this field blank. This identifier will be assigned by the state, if applicable.		
8.	**Applicant Information**: Enter the following in accordance with agency instructions:		
	a. Legal Name: (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting www.Grants.gov.	17.	**Proposed Project Start and End Dates**: (Required) Enter the proposed start date and end date of the project.
	b. Employer/Taxpayer Number (EIN/TIN): (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	**Estimated Funding:** (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.
	c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting www.Grants.gov.	19.	**Is Application Subject to Review by State Under Executive Order 12372 Process?** (Required**)** 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.
	d. Address: Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).	20.	**Is the Applicant Delinquent on any Federal Debt?** (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.
	e. Organizational Unit: Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.	21.	**Authorized Representative**: To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. 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.)
	f. Name and contact information of person to be contacted on matters involving this application: Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.		
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.		

	A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority	M. Nonprofit N. Private Institution of Higher Education O. Individual P. For-Profit Organization (Other than Small Business) Q. Small Business R. Hispanic-serving Institution S. Historically Black Colleges and Universities (HBCUs) T. Tribally Controlled Colleges and Universities (TCCUs) U. Alaska Native and Native Hawaiian Serving Institutions V. Non-US Entity W. Other (specify)		

[**U.S Department of Education note**: As of spring, 2010, the FON discussed in Block 12 of the instructions can be found via the following URL: http://www.grants.gov/applicants/find_grant_opportunities.jsp.]

Instructions for U.S. Department of Education
Supplemental Information for the SF-424

1. Project Director. Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application. Items marked with an asterisk (*) are mandatory.

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

This novice applicant information will be used by ED to: 1) determine the amount and type of technical assistance that a novice might need, if funded, and 2) determine novice applicant eligibility in discretionary grant competitions that give special consideration to novice applications. Certain ED discretionary grant programs give special consideration to novice applications, either by establishing a special competition for novice applicants or by giving competitive preference to novice applicants under the procedures in 34 CFR 75.105(c)(2). If special consideration is being given to novice applications under a particular discretionary grant competition, the application notice for the competition published in the Federal Register will specify this information

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

3a. 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.

3a. 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 U.S. Department of Education Supplemental Information for SF-424.")

3b. 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. Check 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 U.S. Department of Education Supplemental Information for the SF-424."

3b. 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 attached page entitled "Definitions for U.S. Department of Education Supplemental Information for the SF-424."

3b. Human Subjects Assurance Number. If the applicant has an approved Federal Wide Assurance (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. **(A list of current FWAs is available at: http://ohrp.cit.nih.gov/search/search.aspx?styp=bsc)** 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.

3c. If applicable, please attach your "Exempt Research" or "Nonexempt Research" narrative to your submission of the U.S Department of Education Supplemental Information for the SF-424 form as instructed in item II, "Instructions for Exempt and Nonexempt Human Subjects Research Narratives" in the attached page entitled "Definitions for U.S. Department of Education Supplemental Information for the SF-424."

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.

No covered human subjects research can be conducted until the study has ED clearance for protection of human subjects in research.

Public 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. Public reporting burden for this collection of information is estimated to average 20 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. The obligation to respond to this collection is required to obtain or retain benefit (20 USC 3474 General Education Provisions Act). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email ICDocketMgr@ed.gov and reference the OMB Control Number 1894-0007. Note: Please do not return the completed ED SF 424 Supplemental Form to this address.

Definitions:

Novice Applicant (See 34 CFR 75.225)

For discretionary grant programs, novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;

- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and

- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

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

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

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

—Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge. 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 **directly or indirectly** linked to that individual), 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 <u>**only**</u> 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. *If an educational practice is being introduced to the site and is not widely used <u>for similar populations</u>, it is not covered by this exemption*.

(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. *[This exemption applies only to retrospective studies using data collected before the initiation of the research.]*

(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. *[The standards of this exemption are rarely met because it was designed to apply only to specific research conducted by the Social Security Administration and some Federal welfare benefits 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.b. of the U.S. Department of Education Supplemental Information for the SF 424, the applicant must attach a human subjects "exempt research" or "nonexempt research" narrative to the U.S. Department of Education Supplemental Information for the SF-424 form. 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.b. and designated exemption numbers(s), attach the "exempt research" narrative to the U.S. Department of Education Supplemental Information for the SF-424. 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.b. you must attach the "nonexempt research" narrative to the U.S. Department of Education Supplemental Information for the SF-424. 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 Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4331, telephone: (202) 245-8090, 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 SF-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 subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1.   Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2.   Identify the status of the covered Federal action.

3.   Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4.   Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5.   If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.

6.   Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7.   Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8.   Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."

9.   For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10.   (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

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

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

GAANN Statutory Assurances Form Instructions

This document is available under the "Forms" section of the application package.

1. The GAANN Statutory Assurances Form must be **signed and dated by the Authorized (Certifying) Official**.

Attention:
Special instructions for attaching the Statutory Assurances

2. Applicants should copy and paste the form and save the document as a .PDF (Portable Document) file only. **DO NOT MODIFY OR CHANGE THE CONTENTS IN ANY WAY**.

3. The applicant must attach the signed document to the "Other Attachments Form" in the Grants.gov system.

Grants.gov Uploading Requirements: You must upload any narrative sections and all other attachments to your application as files in a PDF (Portable Document) read-only, non-modifiable format.   Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-modifiable PDF or submit a password-protected file, we will not review that material.

GAANN Budget Spreadsheet(s) Form Instructions

This document is available under the "Forms" section of the application package.

Attention:
Special instructions for attaching GAANN Budget Spreadsheet(s) Form

Formatting Requirements

Applicants should copy and paste the spreadsheet and save the document in landscape format as a .PDF (Portable Document) read-only, non-modifiable format. **Do not modify or change the contents in any way**.

Once the spreadsheet(s) has been completed, the applicant must attach the document to the "Other Attachments Form" in the Grants.gov system.

Grants.gov Upload Requirements: You must upload any narrative sections and all other attachments to your application as files in a PDF (Portable Document) read-only, non-modifiable format. Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-modifiable PDF or submit a password-protected file, we will not review that material.

Note: **The Budget Spreadsheet(s) Form is attached SEPARATELY from the budget narrative, which is attached as part of the Project Narrative.**

General Instructions

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

- Single discipline or inter-disciplinary applicants need *only* complete Sections A and B.

- Inter-disciplinary applicants must fill in Box 1 of Section A with the Classification of Instructional Programs code for each academic field of study within that inter-disciplinary program.

- Multi-disciplinary applicants are those requesting funding for two or more academic departments in the areas of national need designated as priorities by the Secretary and must complete Sections A and B for *each* discipline for which support is requested. Multi-disciplinary applicants must also provide summary data in Sections C and D.

Note: The program regulations, Sec. 648.5(b), state that in any fiscal year, no academic department may receive more than $750,000 as an aggregate total of new and continuing grants.

Section A: Fellowship Data for Each Discipline

Complete this section for each discipline or area proposed for your fellowship project.

1. Discipline and CIP code. Enter the national need priority area or discipline and the Classification of Instructional Programs (CIP) code listed in the program regulations. List only one discipline or area and one CIP code.

Note: If an applicant is requesting support for an **inter-disciplinary** program, the applicant must list the CIP code for each academic field of study within that inter-disciplinary program under Box 1 of Section A.

If an applicant is requesting support for **multi-disciplinary** programs (two or more academic departments in areas of national need designated as priorities by the Secretary), a separate form (Section A and B) must be completed for each discipline or area.

2. Number of fellowships from Federal funds. Enter the number of fellowships to be supported from Federal funds for the first year only.

3. Additional fellowships from institutional matching contributions. Enter the number of additional fellowships that will be supported from institutional matching contributions.

Section B: Federal Funds Requested and Required Institutional Matching Contribution

Note: **Institutional matching contributions must be an amount equal to at least 25 percent of the Federal funds requested each budget period.**

4. Stipends. Enter the dollar amounts of requested Federal funds and non-Federal contributions (institutional matching) for each year of the proposed project. Sum the totals for all the years of the proposed project. Estimate a stipend of $34,000 per GAANN fellow for each academic year.

5. Institutional payment. Enter the Federal funds for the institutional payment for each year of the proposed project. Sum the total for all the years of the proposed project. Estimate an institutional payment of $15,750 per GAANN fellow for each academic year.

6 - 8. Tuition, fees, and other educational costs. Enter the amount of tuition, fees, and other educational costs to be contributed from institutional matching (non-Federal) funds for each year of the proposed project. Sum the totals for all the years of the proposed project.

9. Total. Sum the Federal funds requested and the institutional matching funds to be contributed for each year of the proposed project. Sum the totals for all the years of the proposed project. Total Federal funds requested must not be less than $100,000 nor greater than $750,000 in any fiscal year, see program regulation Sec. 648.5 (a) and (b). **Institutional matching contributions must be an amount equal to at least 25 percent of the Federal funds requested each budget period.**

10. Total program funds. Enter the total of Federal and institutional (non-Federal) matching funds for each year of the proposed project. Sum the totals for all the years of the proposed project.

Section C: Fellowship Data Summary for Two or More Disciplines
Note: This section applies only to Multi-disciplinary applicants

1. Disciplines and CIP codes. Enter the Classification of Instructional Programs (CIP) codes for each academic department included in the application. The data entered must be consistent with entries in all the Section A and B forms completed for each single discipline.

2. Total number of fellowships from Federal funds. Enter the total number of fellowships for each academic department to be supported from Federal funds.

3. Total additional fellowships from institutional matching contributions. Enter the total number of additional fellowships that will be supported by institutional matching contributions.

Section D: Summary of Federal Funds Requested and Required Institutional Matching Contributions
Note: This section applies only to Multi-disciplinary applicants

Use this section to summarize all requested allowable costs for all disciplines for all the years of the proposed project. Sum all totals. See the instructions for Section C.

OMB No: 1840-0604
Exp. XX/XX/XXXX

GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED PROGRAM

STATUTORY ASSURANCES

NOTE: Do not modify or amend this page. Copy, save in PDF format and attach to the "Other Attachments Form."

This form must be signed by the official who has authority to commit the organization to accept Federal funds and submitted with the application.

1.   From the funds received under this program, the applicant will make commitments to graduate students at any point of their graduate study to provide stipends for the length of time necessary for the student to complete the course of graduate study, but in no case longer than five years. No such commitments will be made to students under this program unless the applicant has determined that adequate funds are available to fulfill the commitment from either funds received or anticipated under this program, or from institutional funds. In the event that funds made available to the academic department under the program are insufficient to provide the assistance due a student under the commitment entered into between the academic department and the student, the academic department will endeavor, from any funds available to it, to fulfill the commitment to the student.

2.   For a fellowship initially awarded for the academic year 1998-99, or any succeeding academic year, the applicant will ensure that a stipend paid a fellow will be at a level of support equal to that provided by the National Science Foundation graduate fellowships, as of February 1, 2018, except that such amounts shall be adjusted as necessary so as not to exceed the fellow's demonstrated level of financial need.

3.   The applicant will ensure that no student shall receive an award except during periods in which such student is maintaining satisfactory progress in, and devoting essentially full time to, study or research in the field in which such fellowship was awarded, or if the student is engaging in gainful employment other than part-time employment involved in teaching, research, or similar activities determined by the institution to be in support of the student's progress toward a degree.

4.   The applicant will ensure that it will provide, from other non-Federal funds, for the purposes of the fellowship program under this part an amount equal to at least 25 percent of the amount of the grant received under this part.

5.   The applicant will ensure that Federal funds or institutional matching contribution made available under this part for any fiscal year will be used to supplement and, to the extent practical, increase the funds that would otherwise be made available for the purpose of this part and in no case to supplant those funds.

6.   The applicant will ensure that the academic department will provide at least one year of supervised training in instruction in accordance with §648.61 of the program regulations.

_____   _____

Signature of Authorized Certifying Official   **Date**

GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED (GAANN) FELLOWSHIP PROGRAM
PART II.- BUDGET INFORMATION

SECTION A: FELLOWSHIP DATA FOR EACH SINGLE DISCIPLINE

1. 2. Discipline: CIP Code:	2. Number of fellowships from Federal funds (first year only):	3. Additional fellowships from institutional matching contributions:

SECTION B: FEDERAL FUNDS REQUESTED AND REQUIRED INSTITUTIONAL MATCHING CONTRIBUTIONS

Allowable Cost Categories	1st Year		2nd Year		3rd Year		Total	
	Federal	Non-Federal	Federal	Non-Federal	Federal	Non-Federal	Federal	Non-Federal
4. Stipends	$	$	$	$	$	$	$	$
5. Institutional Payment	$		$		$		$	
6. Tuition		$		$		$		$
7. Fees		$		$		$		$
8. Other Educational Costs		$		$		$		$
9. Total	$	$	$	$	$	$	$	$
10. Total Program Funds (Federal + Non-Federal)	$		$		$		$	

Note: Please refer to 34 CFR Part 648 Subpart F--What are the Administrative Responsibilities of the Institution for budget information.
(Federal funds remaining at the end of the current budget period will be carried over into the next budget period. The total amount of the next budget period may be reduced by the amount carried over).
NOTE: DO NOT MODIFY OR AMEND THIS PAGE. COPY, SAVE AND ATTACH TO THE "Other Attachments Form."

GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED (GAANN) FELLOWSHIP PROGRAM FELLOWSHIP DATA SUMMARY FOR TWO OR MORE DISCIPLINES								
SECTION C: FELLOWSHIP DATA FOR TWO OR MORE DISCIPLINES								
1. Disciplines: CIP Codes:			2. Total number of fellowships from Federal funds (first year only):			3. Total additional fellowships from institutional matching contributions:		
SECTION D: SUMMARY OF FEDERAL FUNDS REQUESTED AND REQUIRED INSTITUTIONAL MATCHING CONTRIBUTIONS								
	1st Year		2nd Year		3rd Year		Total	
Allowable Cost Categories	Federal	Non-Federal	Federal	Non-Federal	Federal	Non-Federal	Federal	Non-Federal
4. Stipends	$	$	$	$	$	$	$	$
5. Institutional Payment	$		$		$		$	
6. Tuition		$		$		$		$
7. Fees		$		$		$		$
8. Other Educational Costs		$		$		$		$
9. Total	$	$	$	$	$	$	$	$
10. Total Program Funds (Federal + Non-Federal)	$		$		$		$	
NOTE: DO NOT MODIFY OR AMEND THIS PAGE. COPY, SAVE AND ATTACH TO THE "Other Attachments Form."								

APPLICATION CHECKLIST

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

Part I: ☐ **Application for Federal Assistance (SF 424)**

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

Note: Please <u>do not</u> 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 below.

Part II: ☐ **ED Abstract Form**
Attach your one page abstract to the "ED Abstract Form" in Grants.gov.

☐ **Project Narrative Attachment Form**

1. Optional "Table of Contents" (recommended maximum two (2) pages)
2. Responses to selection criteria under Section 648.31 of the GAANN Program Regulations.

☐ **Other Attachments Form**

1. Curriculum Vitae (CV) – recommended no more than two (2) pages per faculty member (all faculty CV's must be uploaded in a single attachment);
2. Course listing;
3. Letters of commitment;
4. Bibliography; and
   5. One additional optional appendix relevant to the support of the proposal, recommended no more than five (5) pages.
   6. GAANN Statutory Assurances
   7. GAANN Budget Spreadsheet(s) Form

Part III: ☐ **Assurances and Certifications**
All "Assurances and Certifications" must be completed.

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

Grants.gov Upload Requirements:

You must upload any narrative sections and all other attachments to your application as files in a PDF (Portable Document) read-only, non-modifiable format. Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-modifiable PDF or submit a password-protected file, we will not review that material.

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. Public reporting burden for this collection of information is estimated to average 41.33 hours 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. The obligation to respond to this collection is required to obtain or retain benefit (20 U.S.C. 1135, 34 CFR Sections 648.20, 648.31, and 648.66). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to regulations.gov during the public comment period for this collection of information. If you have specific questions about the form, instrument or survey, please contact U.S. Department of Education, Graduate Assistance in Areas of National Need (GAANN) Program, 400 Maryland Avenue, SW, RM: 268-04, Washington, DC 20202 or email OPE_GAANN_Program@ed.gov and reference the OMB Control Number 1840-0604.