

U.S. DEPARTMENT OF EDUCATION
Office of Postsecondary Education
Washington, DC 20006-8544



Fiscal Year 2011

APPLICATION FOR GRANTS UNDER THE
FIPSE COMPETITION:

COMPREHENSIVE PROGRAM

(CFDA NUMBER: 84.116B)

Form Approved: OMB No. 1894-0006, Expiration Date: 9/30/2011

CLOSING DATE:
May 23, 2011

4:30:00 p.m. (Washington, D.C. Time)

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Dear Applicant:

Thank you for your interest in the Fund for the Improvement of Postsecondary Education's (FIPSE) FY 2011 Comprehensive Program. FIPSE supports innovation and change in postsecondary education. Its projects address significant reforms and improvements that respond to problems of national importance and have potential as national models. Information about this program is accessible on the FIPSE Web site at:

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

Please take the time to review the applicable priorities, selection criteria, and all of the application instructions thoroughly. An application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the program.

All applicants are eligible to receive up to 100 points based on the published selection criteria. In addition, there are three competitive preference priorities in this competition: 1) a project design that promotes increasing postsecondary success, 2) a project design that will enable more data-based decision making, and 3) a project design that promotes to significantly improve productivity. **NOTE: We will award up to an additional two points, for each priority met. We will not award more than a total of six competitive preference points to any application.**

Furthermore, there are two Invitational Priorities for the Comprehensive program. The Secretary is interested in projects that will consider a proposal for: 1) curriculum alignment and, 2) reducing instructional costs. Descriptions of these priorities begin on page 51 in this booklet.

The Notice Inviting Applications for New Awards published in the *Federal Register* is the official document describing the requirements for submitting a grant application. Please carefully review these application guidelines and the *Federal Register* notice.

The Closing Date for the receipt of new applications is May 23, 2011. Please be advised that because very limited funds are available this year, the application process will be extremely competitive. We estimate that under this competition we will be able to fund 28 new awards in FY 2011.

For this competition it is **mandatory** for applicants to use the government-wide website, Grants.gov (<http://www.grants.gov>), to apply. Please note that the Grants.gov site works differently than the U.S. Department of Education's e-Application System. We strongly encourage you to familiarize yourself with Grants.gov and strongly recommend that you register *and* submit early.

The application process can be complicated and time consuming if you have not used Grants.gov. Make sure you allow yourself ample time to submit the electronic application by the deadline of May 23, 2011. We suggest that you submit your application several days before the deadline date. Grants.gov is accessible through its portal page at:

<http://www.grants.gov>

We encourage applicants to review the “Competition Highlights” found on page 3 in the application package for an overview of important items.

Finally, I would like to share with you the importance of ensuring that your application includes a strong evaluation plan. The peer reviewers will be instructed to look closely at each application's plan of evaluation. Applicants must clearly state their individual project goals and the performance indicators for the project. The evaluation plan should include clear information about the methodology that will be employed, the validity of that methodology, and the appropriate controls which will be included in the evaluation plan.

The evaluation plan should also include a description of the strategies that will be utilized to ensure that the evaluation plan will be independent in nature and led by an individual or entity other than the project director or material developers. The evaluation plan should follow the development of the project and provide benchmarks for the measurement of progress throughout the grant award period. The evaluation should also, where appropriate, attempt to link program outcomes to specific activities.

FIPSE appreciates your interest in this competition and looks forward to receiving your application.

Sincerely,

/signed/

Ralph Hines
Director
Fund for the Improvement of Postsecondary Education

COMPETITION HIGHLIGHTS

1. **FIPSE Comprehensive applications submitted for FY 2011 must be submitted electronically using Grants.gov.** You are urged to acquaint yourself with the requirements of Grants.gov early as the registration procedures may require 5 or more days to complete. A more thorough discussion is included later in this application package. Grants.gov is accessible through its portal page at:

<http://www.grants.gov>

2. It is important to know that the Grants.gov site works differently than the Department's e-Application system, used in past competitions. Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to log on to Grants.gov to upload and submit the application.

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

- 1.) We strongly encourage you to register in Grants.gov early. The registration procedures may require 5 or more days to complete.
- 2.) We strongly recommend that you submit your application 2-3 days prior to the closing date. The time it takes to upload an application will vary depending on your application and the speed of your Internet connection. The application submission process must be complete prior to the deadline for transmittal of applications.
- 3.) In order to submit successfully, you must remember to provide the DUNS number on your application that was used when your organization registered with the CCR Central Contractor Registry (CCR).
- 4.) Grants.gov does not allow applicants to "un-submit" applications. Therefore, if you discover that changes or additions are needed once your application has been accepted and validated by the Department, you must "re-submit" the application. You should know that if the Department receives duplicate applications, we will accept and process the application with the latest "date/time received" validation.

After you electronically submit your application, you will receive the first e-mail from Grants.gov acknowledging the date and time at which your application was received. You will receive a second e-mail from Grants.gov that will state that your application has been validated OR that your application was rejected with errors. If your application is validated, you will receive a third e-mail from the Department of Education with an assigned PR/Award number, which is an ED-specified identifying number that is unique to your application. **This third confirmation by e-mail, with a PR/Award number assigned, is the e-mail that verifies that your application was submitted on time by the closing date. This may take several days.**

3. As mentioned in the Dear Applicant Letter, there are three Competitive Preference Priorities along with two Invitational Priorities in this 2011 competition. Explicit details on these priorities are addressed on page 51 in this application package, and in the closing date notice contained in this package. You are urged to fully review the Closing Date Notice carefully before preparing your application.
4. There is a required page limit for the program narrative section of the application. You must adhere to a limit of 30 pages.
5. The deadline for the submission of your application via the Grants.gov website is May 23, 2011, at 4:30:00 p.m. Washington, D.C. time.
6. All Attachments in Grants.gov must be submitted in .PDF format.
7. **The Grants.gov Submission Procedures and Tips for Applicants should be read carefully by ALL individuals involved with preparation of the application - the individuals writing the application, those responsible for approving it, and those submitting it electronically to Grants.gov. All must be aware of the application submission requirements, potential problems, and critical timeframes.**

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.

This information should be read carefully by ALL individuals involved with preparation of the application - the individuals writing the application, those responsible for approving it, and those submitting it electronically to Grants.gov. All must be aware of the application submission requirements, potential problems, and critical timeframes.

ATTENTION – Adobe Forms and PDF Files Required

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov. We strongly recommend that you review these details on www.Grants.gov before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Also, applicants are required to upload their attachments in .pdf format only. (See details below under “Attaching Files – Additional Tips.”) If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

Also, applicants should be aware that on October 11, 2010, Grants.gov implemented a new security build which requires each organization’s e-Biz POC (Point of Contact) update their Grants.gov registration. To complete this step, the e-Biz POC must have their DUNS number and CCR MPIN. We recommend this step be completed several days before application submission unless the e-Biz POC has already responded to this requirement. For more information on this topic, please visit this Grants.gov information link: <http://www.grants.gov/securitycommebiz/>.

- 1) **REGISTER EARLY** – Grants.gov registration may take five or more business days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. For detailed information on the Registration Steps, please go to: http://www.grants.gov/applicants/get_registered.jsp. [Note: Your organization will need to update its Central Contractor Registry (CCR) registration annually.]
- 2) **SUBMIT EARLY** – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30:00 p.m. Washington, DC time on the deadline date.

Note: To submit successfully, you must provide the DUNS number on your application that was used when 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 CCR (Central Contractor Registry). 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 and the Department of Education receive your Grants.gov submission timely and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m. Washington, DC time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

If the date/time received is later than 4:30:00 p.m. Washington, D.C. time, on the deadline date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: http://www.grants.gov/applicants/applicant_faqs.jsp#54. For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Error Messages document at <http://www.grants.gov/assets/AdobeReaderErrorMessages.pdf>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

SUBMISSION PROBLEMS – WHAT SHOULD YOU DO?

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

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

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

HELPFUL HINTS WHEN WORKING WITH GRANTS.GOV

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. **You must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov.**

Please go to http://www.grants.gov/applicants/applicant_help.jsp for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov http://www.grants.gov/help/submit_application_faqs.jsp.

DIAL-UP INTERNET CONNECTIONS

When using a dial up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial up connection. **If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following the instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

MAC USERS

For MAC compatibility information, review the Operating System Platform Compatibility Table at the following Grants.gov link: http://www.grants.gov/help/download_software.jsp. **If electronic submission is required and you are concerned about your ability to submit electronically as a non-windows user, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

Attaching Files – Additional Tips

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

1. Ensure that you attach **.PDF files only** for any attachments to your application. 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. Any attachments uploaded that are not .PDF files or are password protected files will not be read. If you need assistance converting your files to a .pdf format, please refer to this Grants.gov webpage with links to conversion programs: http://www.grants.gov/help/download_software.jsp#pdf_conversion_programs
2. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
3. When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded files must be less than 50 characters, contain no spaces, no special characters (example: -, &, *, %, /, #, \) including periods (.), blank spaces and accent marks. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.
4. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

Grants.gov Organization Registration Instructions

The following instructions provide registration guidance for a company, academic or research institution, state, local or tribal government, not-for-profit, or other type of organization. Registration is a one-time process that is required before representatives of an organization can submit grant application packages electronically through Grants.gov. **The registration process can take up to four weeks** depending on your organization and whether all steps are taken in a timely manner. For more information, visit http://www07.grants.gov/applicants/get_registered.jsp.

Note: If you are an individual applying for a grant on your own behalf and not on behalf of a company, academic or research institution, state, local or tribal government, not-for-profit, or other type of organization, visit http://www.grants.gov/applicants/individual_registration.jsp. If you apply as an individual to a grant designated for organizations, your application will be rejected.

STEP 1: OBTAIN DATA UNIVERSAL NUMBER SYSTEM (DUNS) NUMBER

WHY?

- The federal government has adopted the use of DUNS numbers to track how federal grant money is allocated. DUNS numbers identify your organization.

HOW?

- Ask the grant administrator, chief financial officer, or authorizing official of your organization to identify your DUNS number.
- If your organization does not know its DUNS number or needs to register for one, visit Dun & Bradstreet at <http://fedgov.dnb.com/webform/displayHomePage.do>.

TIME REQUIRED?

- Same day. You will receive DUNS number information online.

STEP 2: REGISTER WITH CENTRAL CONTRACTOR REGISTRATION (CCR)

WHY?

- Registering with the CCR is required for organizations to use Grants.gov.

HOW?

- Ask the grant administrator, chief financial officer, or authorizing official of your organization if your organization has registered with the CCR.
- If your organization is not registered, apply online at <http://www.ccr.gov>.
- When your organization registers with CCR, you must designate an E-Business Point of Contact (E-Biz POC). This person will identify a special password called an MPIN.
- This MPIN gives the E-Biz POC authority to designate which staff members from your organization are allowed to submit applications electronically through Grants.gov. These designated staff members are called Authorized Organization Representatives (AORs).

TIME REQUIRED?

- If your organization already has an Employment Identification Number (EIN) or Taxpayer Identification Number (TIN), allow one to three business days to complete the entire CCR registration.
- If your organization does not have an EIN or TIN, allow two weeks for obtaining the EIN or TIN from the Internal Revenue Service (IRS) if requested via phone or Internet.

- *Your organization needs to renew its CCR registration once a year, which may take up to five business days. You will not be able to move on to Step 3 until this step is completed.*

STEP 3: CREATE GRANTS.GOV USERNAME & PASSWORD

WHY?

- An AOR username and password serves as an "electronic signature" when submitting a Grants.gov application.

HOW?

- To create a username and password, AORs must complete a profile on Grants.gov (using their organization's DUNS number) at <https://apply07.grants.gov/apply/OrcRegister>.
- AORs must wait one business day after their organization registers with the CCR before creating a profile.

TIME REQUIRED?

- Same day. After the AOR has completed their profile they will be prompted to create a username and password that will allow the user to log in and check their approval status immediately.

STEP 4: AOR AUTHORIZATION

WHY?

- Only the E-Biz POC can approve AORs, who then have the ability to submit applications on behalf of the organization.

HOW?

- When an AOR registers with Grants.gov, that organization's E-Biz POC is notified by email.
- The E-Biz POC must then log in to Grants.gov (using the organization's DUNS number for the username and the MPIN password obtained in Step 2) and approve the AOR, thereby giving him or her permission to submit applications.
- When an E-Biz POC approves an AOR, Grants.gov will send the AOR a confirmation email.

TIME REQUIRED?

- This depends on how long it takes the E-Biz POC to log in and approve the AOR. Once the approval is completed, the AOR can immediately submit an application.

STEP 5: TRACK AOR STATUS

WHY?

- To verify that the organization's E-Biz POC has approved the AOR.

HOW?

- AORs can log in using their username and password (obtained in Step 3) to check if they have been approved by the E-Biz POC.

TIME REQUIRED?

- Logging in as an applicant is instantaneous. The approval process depends on how long it takes the E-Biz POC to log in and approve the AOR

APPLICATION TRANSMITTAL INSTRUCTIONS

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

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

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

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

Applications Submitted Electronically

You must submit your grant application through the Internet using the software provided on the Grants.gov Web site (<http://www.grants.gov>) by 4:30:00 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 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 84.116B)
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 84.116B)
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 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.

SUPPLEMENTAL INFORMATION

The following information supplements the information provided in the “Dear Applicant” letter and the Closing Date Notice (CDN) inviting applications for new awards for Fiscal Year (FY) 2011.

1. Estimated Funding and Project Period

- Estimated Available Funds for FY 2011: \$20,347,000
- Estimated Range of Awards: \$500,000 - \$750,000
- Estimated Average Size of Awards: \$733,000
- Estimated Number of New Awards: 28
- Project Period for New Awards: Up to 36 months

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

2. Intergovernmental Review of Federal Programs

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

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the state's process under Executive Order 12372. A listing of the Single Point of Contact for each state may be viewed at: <http://www.whitehouse.gov/OMB/grants/spoc.html>.

3. Applicant Funding

The Department is often unable to award the full amount of funds requested. Applicants should pay close attention to the “Award Information” section of the Closing Date Notice.

4. Appendices to Applications

Appendices may include the following:

- Project evaluation chart.
- Narrative summaries of the qualifications of key personnel (maximum one page each).
- Short position descriptions for staff to be hired or determined (include % or FTE of Project Director).
- Project timeline chart.
- Letters of support from partners and other project beneficiaries.
- References cited in the proposal narrative (if applicable).

NOTE: All appendices must be combined into a single .pdf file and attached to the “Other Attachments file” in Grants.gov

5. Evaluation of Applicants for Awards

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

7. Selection Criteria

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

8. Notice to Successful Applicants

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

9. Notice to Unsuccessful Applicants

Unsuccessful applicants will be notified in writing after awards are finalized.

10. Annual Performance Report Requirements

If you receive a FY 2011 new grant award, you will be required during the funding cycle to submit annual and final performance reports using the FIPSE Grant Database. This online system collects narratives and data about funded projects to help program officers determine if a grantee is making substantial progress toward meeting approved project objectives. The database is accessible at: <http://www.fipse.aed.org>. The Annual Performance Report used for this program can be found at <http://www.ed.gov/programs/fipsecomp/performance.html>.

11. Contact Information

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

Coordinator: Sarah Beaton
Address: Fund for the Improvement of Postsecondary Education
U.S. Department of Education
1990 K Street, N.W., Room 6154
Washington, D.C. 20006-8544
Telephone: (202) 502-7500
Fax: (202) 502-7877
E-mail Address: FIPSE@ed.gov

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

Support Desk: Grants.gov Contact Center
Telephone: 1-800-518-4726
Hours: 24/7, except Federal Holidays

4000-01-U

DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

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

Notice inviting applications for new awards for fiscal year (FY)
2011.

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

Dates:

Applications Available: **March 22, 2011**

Deadline for Transmittal of Applications: **May 23, 2011**

Deadline for Intergovernmental Review: **July 20, 2011**

Full Text of Announcement

I. Funding Opportunity Description

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

Priorities: This notice contains three competitive preference priorities and two invitational priorities. The competitive preference priorities are from the notice of final supplemental priorities and definitions for discretionary grant programs,

published in the Federal Register on December 15, 2010 (75 FR 78486).

Competitive Preference Priorities: For FY 2011, these priorities are competitive preference priorities. Under 34 CFR 75.105(c)(2)(i), we award up to an additional two points, for each priority met, to an application that meets one or more of these priorities. We will not award more than a total of six competitive preference points to any application.

These priorities are:

Competitive Preference Priority 1--Increasing Postsecondary Success.

Projects that are designed to address one or more of the following priority areas:

(a) Increasing the number and proportion of high-need students (as defined in this notice) who persist in and complete college or other postsecondary education and training.

(f) Increasing the number and proportion of postsecondary students who complete college or other postsecondary education and training and who are demonstrably prepared for successful employment, active participation in civic life, and lifelong learning.

Competitive Preference Priority 2--Enabling More Data-Based Decision-Making.

Projects that are designed to collect (or obtain), analyze, and use high-quality and timely data, including data on program

participant outcomes, in accordance with privacy requirements (as defined in this notice), in the following priority area:

Improving postsecondary student outcomes relating to enrollment, persistence, and completion and leading to career success.

Competitive Preference Priority 3--Improving Productivity.

Projects that are designed to significantly increase efficiency in the use of time, staff, money, or other resources while improving student learning or other educational outcomes (i.e., outcome per unit of resource). Such projects may include innovative and sustainable uses of technology, modification of school schedules and teacher compensation systems, use of open educational resources (as defined in this notice), or other strategies.

Invitational Priorities: For FY 2011, these priorities are invitational priorities. Under 34 CFR 75.105(c)(1), we do not give an application that meets these priorities a competitive or absolute preference over other applications.

These priorities are:

Invitational Priority 1--Curriculum Alignment.

Under this priority, we are particularly interested in initiatives to align curriculum between high schools and colleges and between 2- and 4-year postsecondary programs.

Invitational Priority 2--Reducing Instructional Costs.

For applicants that are addressing Competitive Preference Priority 3--Improving Productivity, we are particularly interested in projects that propose to make meaningful and constructive changes to postsecondary courses and programs that effectively demonstrate potential in improving learning outcomes while reducing the cost of delivery.

Definitions: These definitions are from the notice of final supplemental priorities and definitions for discretionary grant programs, published in the Federal Register on December 15, 2010.

High-need children and high-need students means children and students at risk of educational failure, such as children and students who are living in poverty, who are English learners, who are far below grade level or who are not on track to becoming college- or career-ready by graduation, who have left school or college before receiving, respectively, a regular high school diploma or a college degree or certificate, who are at risk of not graduating with a diploma on time, who are homeless, who are in foster care, who are pregnant or parenting teenagers, who have been incarcerated, who are new immigrants, who are migrant, or who have disabilities.

Open educational resources (OER) means teaching, learning, and research resources that reside in the public domain or have been released under an intellectual property license that permits their free use or repurposing by others.

Privacy requirements means the requirements of the Family Educational Rights and Privacy Act (FERPA), 20 U.S.C. 1232g, and its implementing regulations in 34 CFR part 99, the Privacy Act, 5 U.S.C. 552a, as well as all applicable Federal, State and local requirements regarding privacy.

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

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 82, 84, 85, 86, 97, 98, and 99. (b) The notice of final supplemental priorities and definitions for discretionary grant programs, published in the Federal Register on December 15, 2010 (75 FR 78486).

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

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

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: The Administration has requested \$64,036,000 for the Fund for the Improvement of Postsecondary Education for FY 2011, of which we intend to use an estimated \$20,347,000 for awards under this competition. The actual level of funding, if any, depends on final Congressional action.

However, we are inviting applications to allow enough time to

complete the grant process, if Congress appropriates funds for this program.

Estimated Range of Awards: \$500,000-\$750,000 for a three year project period. \$150,000-\$200,000 for the first year.

Estimated Average Size of Awards: \$733,000--for a three-year project period. \$175,000 for the first year.

Maximum Award: We will reject any application that proposes a budget exceeding \$750,000 for the 36 month budget period. The Assistant Secretary for Postsecondary Education may change the maximum amount through a notice published in the Federal Register.

Estimated Number of Awards: 28.

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

Project Period: Up to 36 months.

III. Eligibility Information

1. Eligible Applicants: IHEs or combinations of IHEs and other public and private nonprofit institutions and agencies.

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

IV. Application and Submission Information

1. Address to Request Application Package: ED Pubs, U.S. Department of Education, P.O. Box 22207, Alexandria, VA 22304. Telephone, toll free: 1-877-433-7827. FAX: (703) 605-6794. If

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

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

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

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

2. Content and Form of Application Submission: Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this program. Page Limit: The application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the application narrative to no more than 30 pages.

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.

- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and

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

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

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

The 30-page limit does not apply to the cover sheet; the budget section, including the budget narrative; the assurances and certifications; the one-page abstract; the resumes; the bibliography; or the letters of support.

However, the page limit does apply to all of the application narrative section.

Note: Partial pages (pages on which the narrative or data do not take up the full page) are counted as whole pages for purposes of the page limitation.

We will reject your application if you exceed the page limit.

3. Submission Dates and Times:

Applications Available: **March 22, 2011**

Deadline for Transmittal of Applications: **May 23, 2011**

Applications for grants under this program must be submitted electronically using the Grants.gov Apply site (Grants.gov). For

information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 7. Other Submission Requirements of this notice.

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

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

Deadline for Intergovernmental Review: **July 20, 2011**

4. Intergovernmental Review: This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79.

Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this program.

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

6. Data Universal Numbering System Number, Taxpayer Identification Number, and Central Contractor Registry: To do business with the Department of Education, you must--

a. Have a Data Universal Numbering System (DUNS) number and a Taxpayer Identification Number (TIN);

b. Register both your DUNS number and TIN with the Central Contractor Registry (CCR), the Government's primary registrant database;

c. Provide your DUNS number and TIN on your application; and

d. Maintain an active CCR registration with current information while your application is under review by the Department and, if you are awarded a grant, during the project period.

You can obtain a DUNS number from Dun and Bradstreet. A DUNS number can be created within one business day.

If you are a corporate entity, agency, institution, or organization, you can obtain a TIN from the Internal Revenue Service. If you are an individual, you can obtain a TIN from the Internal Revenue Service or the Social Security Administration. If you need a new TIN, please allow 2-5 weeks for your TIN to become active.

The CCR registration process may take five or more business days to complete. If you are currently registered with the CCR, you may not need to make any changes. However, please make certain that the TIN associated with your DUNS number is correct.

Also note that you will need to update your CCR registration on an annual basis. This may take three or more business days to complete.

In addition, if you are submitting your application via Grants.gov, you must (1) be designated by your organization as an Authorized Organization Representative (AOR); and (2) register yourself with Grants.gov as an AOR. Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see www.grants.gov/section910/Grants.govRegistrationBrochure.pdf).

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

a. Electronic Submission of Applications.

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

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

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

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

Please note the following:

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.

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

we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30:00 p.m., Washington, DC time, on the application deadline date.

- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection.

Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.

- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this competition to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov under News and Events on the Department's G5 system home page at <http://www.G5.gov>.

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

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

-Non-Construction Programs (ED 524), and all necessary assurances and certifications.

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

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

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

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

Application Deadline Date Extension in Case of Technical Issues

with the Grants.gov System: If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must

obtain a Grants.gov Support Desk Case Number and must keep a record of it.

If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30:00 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically or by hand delivery. You also may mail your application by following the mailing instructions described elsewhere in this notice.

If you submit an application after 4:30:00 p.m., Washington, DC time, on the application deadline date, please contact the person listed under For Further Information Contact in section VII of this notice and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your application by 4:30:00 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

Note: The extensions to which we refer in this section apply only to the unavailability of, or technical problems with, the Grants.gov system. We will not grant you an extension if you

failed to fully register to submit your application to Grants.gov before the application deadline date and time or if the technical problem you experienced is unrelated to the Grants.gov system.

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through the Grants.gov system because--

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to

the Grants.gov system;

and

- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application.

If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to: Sarah T. Beaton, Comprehensive Program, U.S. Department of Education, 1990 K Street, NW., room 6054, Washington, DC 20006-8521. FAX: (202) 502-7877.

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

b. Submission of Paper Applications by Mail.

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

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

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

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

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

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

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

(1) A private metered postmark.

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

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

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

c. Submission of Paper Applications by Hand Delivery.

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

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

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 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.

Q. V. Application Review Information

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

2. Review and Selection Process: 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 also 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).

3. Special Conditions: Under 34 CFR 74.14 and 80.12, the Secretary may impose special 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 34 CFR parts 74 or 80, as applicable; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

VI. Award Administration Information

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

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

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

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

3. Reporting:

(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 multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to www.ed.gov/fund/grant/apply/appforms/appforms.html.

4. Performance Measures: Under the Government Performance and Results Act of 1993 (GPRA), the Department will use the following two performance measures in assessing the successful performance of the Comprehensive Program:

(1) The extent to which funded projects are being replicated (i.e., adopted or adapted by others).

(2) The extent to which projects are being institutionalized and continued after funding.

If funded, you will be asked to collect and report data from your project on steps taken toward achieving the outcomes evaluated by these performance measures (i.e., institutionalization and replication). Consequently, applicants are advised to include these two outcomes in conceptualizing the design, implementation, and evaluation of their proposed projects. Institutionalization and replication are important outcomes that ensure the ultimate success of projects funded under this program.

5. Continuation Awards: In making a continuation award, the Secretary may consider, under 34 CFR 75.253, the extent to which a grantee has made "substantial progress toward meeting the objectives in its approved application." This consideration includes the review of a grantee's progress in meeting the targets and projected outcomes in its approved application, and whether the grantee has expended funds in a manner that is consistent with its approved application and budget. In making a continuation grant, 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. Agency Contact

For Further Information Contact: Sarah T. Beaton, Comprehensive Program, U.S. Department of Education, 1990 K Street, NW., room 6054, Washington, DC 20006-8544. Telephone: (202) 502-7621.

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

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 computer diskette) on request to the program contact person listed under For Further Information Contact in section VII of this notice.

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

www.ed.gov/news/fedregister. To use PDF you must have Adobe Acrobat Reader, which is available free at this site.

Note: The official version of this document is the document published in the Federal Register. Free Internet

access to the official edition of the Federal Register and the Code of Federal Regulations is available via the Federal Digital System at: www.gpo.gov/fdsys.

Dated:

/signed/
Eduardo M. Ochoa,
Assistant Secretary for
Postsecondary Education.

AUTHORIZING LEGISLATION

FIPSE Authorizing Legislation (20 U.S.C. 1138-1138d)

Higher Education Act of 1965
Title VII, Part B, Subparts 741-745
(As amended by the Higher Education Opportunity Act of 2008)

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

- (a) **AUTHORITY** — The Secretary is authorized to make grants to, or enter into contracts with, institutions of higher education, combinations of such institutions, and other public and private nonprofit institutions and agencies, to enable such institutions, combinations, and agencies to improve postsecondary education opportunities by—
- (1) the encouragement of reform and improvement of, and innovation in, postsecondary education and the provision of educational opportunity for all students, including nontraditional students;
 - (2) the creation of institutions, programs, and joint efforts involving paths to career and professional training, including—
 - (A) Efforts that provide academic credit for programs; and
 - (B) Combinations of academic and experiential learning;
 - (3) the establishment and continuation of institutions, programs, consortia, collaborations, and other joint efforts based on communications technology, including those efforts that utilize distance education and technological advancements to educate and train postsecondary students (including health professionals serving medically underserved populations);
 - (4) the carrying out, in postsecondary educational institutions, of changes in internal structure and operations designed to clarify institutional priorities and purposes;
 - (5) the design and introduction of cost-effective methods of instruction and operation;
 - (6) the introduction of institutional reforms designed to expand individual opportunities for entering and reentering postsecondary institutions and pursuing programs of postsecondary study tailored to individual needs;
 - (7) the introduction of reforms in graduate education, in the structure of academic professions, and in the recruitment and retention of faculties;
 - (8) the creation of new institutions and programs for examining and awarding credentials to individuals, and the introduction of reforms in current institutional practices related thereto;
 - (9) the introduction of reforms in remedial education, including English language instruction, to customize remedial courses to student goals and help students progress rapidly from remedial courses into core courses and through postsecondary program completion;
 - (10) the provision of support and assistance to partnerships between institutions of higher education and secondary schools with a significant population of

- students identified as late-entering limited English proficient students, to establish programs that—
- (A) Result in increased secondary school graduation rates of limited English proficient students; and
 - (B) Increase the number of participating late-entering limited English proficient students who pursue postsecondary education;
- (11) the creation of consortia that join diverse institutions of higher education to design and offer curricular and cocurricular interdisciplinary programs at the undergraduate and graduate levels, sustained for not less than a 5 year period, that—
- (A) Focus on poverty and human capability; and
 - (B) Include—
 - (i) A service-learning component; and
 - (ii) the delivery of educational services through informational resource centers, summer institutes, midyear seminars, and other educational activities that stress the effects of poverty and how poverty can be alleviated through different career paths;
- (12) the provision of support and assistance for demonstration projects to provide comprehensive support services to ensure that homeless students, or students who were in foster care or were a ward of the court at any time before the age of 13, enroll and succeed in postsecondary education, including providing housing to such students during periods when housing at the institution of higher education is closed or generally unavailable to other students; and
- (13) the support of efforts to work with institutions of higher education, and nonprofit organizations, that seek to promote cultural diversity in the entertainment media industry, including through the training of students in production, marketing, and distribution of culturally relevant content.
- (b) **PLANNING GRANTS** — The Secretary is authorized to make planning grants to institutions of higher education for the development and testing of innovative techniques in postsecondary education. Such grants shall not exceed \$20,000.
- (c) **CENTER FOR BEST PRACTICES TO SUPPORT SINGLE PARENT STUDENTS**
—
- (1) The Secretary is authorized to award one grant or contract to an institution of higher education to enable such institution to establish and maintain a center to study and develop best practices for institutions of higher education to support single parents who are also students attending such institutions.
 - (2) The Secretary shall award the grant or contract under this subsection to a four-year institution of higher education that has demonstrated expertise in the development of programs to assist single parents who are students at institutions of higher education, as shown by the institution's development of a variety of targeted services to such students, including on-campus housing, child care, counseling, advising, internship opportunities, financial aid, and financial aid counseling and assistance.
 - (3) The center funded under this section shall—
 - (A) Assist institutions implementing innovative programs that support single parents pursuing higher education;
 - (B) Study and develop an evaluation protocol for such programs that includes quantitative and qualitative methodologies;

- (C) Provide appropriate technical assistance regarding the replication, evaluation, and continuous improvement of such programs; and
- (D) Develop and disseminate best practices for such programs.

(d) PROHIBITION —

- (1) In general. — No funds made available under this part shall be used to provide direct financial assistance in the form of grants or scholarships to students who do not meet the requirements of section 484(a).
- (2) Rule of construction. — Nothing in this subsection shall be construed to prevent a student who does not meet the requirements of section 484(a) from participating in programs funded under this part.

(e) PRIORITY — In making grants under this part to any institution of higher education after the date of enactment of the Higher Education Opportunity Act, the Secretary may give priority to institutions that meet or exceed the most current version of ASHRAE/IES Standard 90.1 (as such term is used in section 342(a)(6) of the Energy Policy and Conservation Act (42 U.S.C. 6313(a)(6)) for any new facilities construction or major renovation of the institution after such date, except that this subsection shall not apply with respect to barns or greenhouses or similar structures owned by the institution.

(f) SCHOLARSHIP PROGRAM FOR FAMILY MEMBERS OF VETERANS OR MEMBERS OF THE MILITARY —

- (1) Authorization. — The Secretary shall enter into a contract with a nonprofit organization with demonstrated success in carrying out the activities described in this subsection to carry out a program to provide postsecondary education scholarships for eligible students.
- (2) Definition of eligible student.--In this subsection, the term `eligible student' means an individual who is enrolled as a full-time or part-time student at an institution of higher education (as defined in section 102) and is—
 - (A) A dependent student who is a child of—
 - (i) An individual who is—
 - (I) serving on active duty during a war or other military operation or national emergency (as defined in section 481); or
 - (II) Performing qualifying National Guard duty during a war or other military operation or national emergency (as defined in section 481);
 - or
 - (ii) A veteran who—
 - (I) served or performed, as described in clause (i), since September 11, 2001; and
 - (II) died, or has been disabled, as a result of such service or performance; or
 - (B) An independent student who—
 - (i) is a spouse of an individual who is—
 - (I) serving on active duty during a war or other military operation or national emergency (as defined in section 481); or
 - (II) Performing qualifying National Guard duty during a war or other military operation or national emergency (as defined in section 481);
 - (ii) Was (at the time of death of the veteran) a spouse of a veteran who—
 - (I) served or performed, as described in clause (i), since September 11, 2001; and
 - (II) died as a result of such service or performance; or

- (iii) Is a spouse of a veteran who—
 - (I) served or performed, as described in clause (i), since September 11, 2001; and
 - (II) has been disabled as a result of such service or performance.
- (3) Awarding of scholarships. —Scholarships awarded under this subsection shall be awarded based on need with priority given to eligible students who are eligible to receive Federal Pell Grants under subpart 1 of part A of title IV.
- (4) Maximum scholarship amount. —The maximum scholarship amount awarded to an eligible student under this subsection for an award year shall be the lesser of \$5,000, or the student's cost of attendance (as defined in section 472).
- (5) Amounts for scholarships. —All of the amounts appropriated to carry out this subsection for a fiscal year shall be used for scholarships awarded under this subsection, except that the nonprofit organization receiving a contract under this subsection may use not more than one percent of such amounts for the administrative costs of the contract.

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

- (a) ESTABLISHMENT — There is established a National Board of the Fund for the Improvement of Postsecondary Education (in this part referred to as the `Board'). The Board shall consist of 15 members appointed by the Secretary for overlapping 3-year terms. A majority of the Board shall constitute a quorum. Any member of the Board who has served for 6 consecutive years shall thereafter be ineligible for appointment to the Board during a 2-year period following the expiration of such sixth year.
- (b) MEMBERSHIP — The Secretary shall designate one of the members of the Board as Chairperson of the Board. A majority of the members of the Board shall be public interest representatives, including students, and a minority shall be educational representatives. All members selected shall be individuals able to contribute an important perspective on priorities for improvement in postsecondary education and strategies of educational and institutional change.
- (c) DUTIES — The Board shall—
 - (1) Advise the Secretary on priorities for the improvement of postsecondary education and make such recommendations as the Board may deem appropriate for the improvement of postsecondary education and for the evaluation, dissemination, and adaptation of demonstrated improvements in postsecondary educational practice;
 - (2) Advise the Secretary on the operation of the Fund for the Improvement of Postsecondary Education, including advice on planning documents, guidelines, and procedures for grant competitions prepared by the Fund; and
 - (3) Meet at the call of the Chairperson, except that the Board shall meet whenever one-third or more of the members request in writing that a meeting be held.
- (d) INFORMATION AND ASSISTANCE — The Secretary shall make available to the Board such information and assistance as may be necessary to enable the Board to carry out its functions.

SEC. 743. ADMINISTRATIVE PROVISIONS.

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

SEC. 744. SPECIAL PROJECTS.

- (a) GRANT AUTHORITY — The Secretary is authorized to make grants to institutions of higher education, or consortia thereof, and such other public agencies and nonprofit organizations as the Secretary deems necessary for innovative projects concerning one or more areas of particular national need identified by the Secretary.
- (b) APPLICATION — No grant shall be made under this part unless an application is made at such time, in such manner, and contains or is accompanied by such information as the Secretary may require.
- (c) AREAS OF NATIONAL NEED — Areas of national need shall include at a minimum, the following:
 - (1) Institutional restructuring to improve learning and promote productivity, efficiency, quality improvement, and cost reduction.
 - (2) Improvements in academic instruction and student learning, including efforts designed to assess the learning gains made by postsecondary students.
 - (3) Articulation between two- and four-year institutions of higher education, including developing innovative methods for ensuring the successful transfer of students from two- to four-year institutions of higher education.
 - (4) Development, evaluation, and dissemination of model courses, including model courses that—
 - (A) Provide students with a broad and integrated knowledge base;
 - (B) include, at a minimum, broad survey courses in English literature, American and world history, American- political institutions, economics, philosophy, college-level mathematics, and the natural sciences; and
 - (C) Include study of a foreign language that leads to reading and writing competency in the foreign language.
 - (5) International cooperation and student exchanges among postsecondary educational institutions.
 - (6) Support of centers to incorporate education in quality and safety into the preparation of medical and nursing students, through grants to medical schools, nursing schools, and osteopathic schools. Such grants shall be used to assist in providing courses of instruction that specifically equip students to—
 - (A) Understand the causes of, and remedies for, medical error, medically induced patient injuries and complications, and other defects in medical care;
 - (B) Engage effectively in personal and systemic efforts to continually reduce medical harm; and
 - (C) Improve patient care and outcomes, as recommended by the Institute of Medicine.

SEC. 745. AUTHORIZATION OF APPROPRIATIONS.

There are authorized to be appropriated to carry out this part such sums as may be necessary for fiscal year 2009 and each of the five succeeding fiscal years.

GENERAL EDUCATION PROVISIONS ACT (GEPA) SECTION 427

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

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

NOTES:

- **Applicants for new awards must include information in their applications to address this provision in order to receive funding under this program.**
- **Applicants are required to address this provision by attaching a statement to the ED GEPA 427 Form in Grants.gov**

GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)

What is GPRA?

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

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

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

Goal 1: Improve student achievement with a focus on bringing all students to grade level in reading and mathematics by 2014, as called for by the No Child Left Behind Act.

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

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

What are the performance indicators for the Comprehensive Program?

Here are the 2011 performance indicators used to measure the success of funded projects:

1. The extent to which funded projects are being replicated (i.e., adopted or adapted by others.) and
2. The extent to which projects are being institutionalized and continued after funding.

If funded, you will be asked to collect and report data from your 2011 project on steps taken toward achieving these goals. Applicants to this competition are advised to include the two FIPSE performance indicators in conceptualizing the design, implementation, and evaluation of the proposed project. These indicators are related to some of the review criteria discussed below. Thus, it is important to the success of your application that you address them. Their measure, along with measures of goals and objectives specific to your project design, are to be a part of the project evaluation plan.

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

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

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

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:

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

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

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

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

THE FIPSE PROGRAM'S ESSENTIAL ELEMENTS

Projects submitted to the Fund for the Improvement of Postsecondary Education must have a postsecondary level focus. In order to be successful, applicants must address all of the listed Selection Criteria and explain the proposed project's response to FIPSE's focus on Innovation, Significance, Impact, Evaluation Dissemination and Sustainability. Regardless of a project's focus on any of the competitive preference or invitational priorities, it must integrate with FIPSE's primary purpose, which is the improvement of postsecondary education.

INNOVATION AND SIGNIFICANCE

Innovation

- All funded projects must reflect innovation.
- Innovation means new, not-yet implemented, novel, and original
- In your Significance section, please provide evidence that your proposed project deploys innovative strategy (ies) or interventions(s) that address your stated need.

Significance

- All funded projects must have national significance. Discuss the impact of your project on your respective campus or organization- and demonstrate the impact that your project will have on campuses or organizations across the country.

IMPACT

Innovation by itself is not sufficient. FIPSE projects must have national impact.

Applicants and their partners should disseminate projects to a national constituency or audience. If the innovation succeeds, applicants should demonstrate that there will be a national audience ready to adapt/adopt it.

In order to document an institution's ability to disseminate nationally, applicants may append letters from other institutions or organizations that commit to adapting or adopting the proposed innovation. Applicants may:

- Collaborate with institutions or organizations to create and implement a proposed reform.
- Partner with private sector entities private sector, (e.g., publishers, technology companies).
- Tackle major issues (i.e., broad curriculum reform, departmental, institutional, or system reform, etc.)
- Enlist partner institutions for the project's implementation and pilot test phases.
- Expand and improve existing reform efforts.

- Conduct training workshops to help others implement project ideas.
- Use the Internet in innovative ways.
- Enlist expert to advise project staff on implementation and dissemination issues.
- Include outcomes assessment an integral part of project modifications.

EVALUATION

All applicants to FIPSE **are required** to conduct a project evaluation as part of the grant activities. As a general rule, applicants are encouraged to allocate as much as 10 percent of the federal budget request to cover the cost of evaluation activities and the salary of the independent evaluator. You will be required to hire an outside evaluator for your project. This evaluator should be someone with experience in program evaluation and educational research skills – attributes commonly found in the social science disciplines. This person will work with you to locate or design appropriate measurement instruments, set up a schedule so that preliminary results can inform decisions about adjusting project activities, and help you clearly understand what baseline and project data you will need to collect to be able to ultimately assess whether your project met its educational goals. For a longer discussion of the role of the outside evaluator, please refer to the **“Role of the Outside Evaluator”** on the FIPSE Web site.

Your independent evaluator must be someone who does not stand to gain personally or professionally from the project results. You do *not* need to name your outside evaluator in your application. You will need to locate an outside project evaluator and submit his/her name to FIPSE within 90 days of your grant’s start date. At this time FIPSE cannot recommend specific evaluators. For general guidance as to where to look for a project evaluator, please refer to **“Finding a FIPSE Project Evaluator”** on the FIPSE Web site.

The evaluation section of your application should briefly present two to five main project goals primarily focused on educational outcomes for *postsecondary* students or professional development of those working in the field of *postsecondary* education. Reviewers will look for assessment that focuses on gains or changes in knowledge, skills, behaviors, and/or attitudes. The evaluation may also include assessment of other outcomes, particularly if the project aims to change organizational structures, create cost-efficiencies, or achieve other ends not specifically represented by learning. An evaluation section that states that you will discuss program administration, describe your activities, and presents the results of a satisfaction survey will be considered a *poor* evaluation plan. Please consult **“What a FIPSE Program Evaluation Is Not”** on the FIPSE Web site for additional guidance.

In this application you should briefly explain the data gathering procedures you plan to use to monitor and assess progress toward your primary objectives. When describing the measurement instruments you plan to use (surveys, interviews, focus groups, assessments of e-portfolios or capstone projects, measures of class performance, scores on standardized tests, cost-benefit analyses, etc.), be sure to mention why they are appropriate to gauging the success of your endeavor. This section of the application should make a convincing case to the proposal reviewers that at the conclusion of the

grant you would be in a position to discuss the extent to which the project goals you set have been achieved. The proposal reviewers will be looking for evidence that you have thought about how you will know what worked, what didn't work as planned, and what adjustments could be made to enhance program outcomes in the future. Collection of this evidence is critical to achieving FIPSE's goal of making data about educational improvements and innovations available to the postsecondary education community.

Keep in mind that if you hope to earn points toward any of this competition's three Competitive Preference Priorities, your applications' evaluation plan must be strong. An application addressing Competitive Preference Priority 1 must describe convincing strategies for tracking student persistence and completion of college or other postsecondary training. Whatever the focus of a proposed project might be, in order to address Competitive Preference Priority 2, the application must use high-quality data reflecting student outcomes related to enrollment, persistence, and completion and leading to career success. And, finally, an application addressing Competitive Preference Priority 3 must identify appropriate measures that provide evidence of increased efficiency in the use of time, staffing, money, or other resources while improving postsecondary educational outcomes. It will not be sufficient for an applicant to indicate that a competitive priority is being addressed without identifying persuasive strategies for measuring outcomes associated with it.

DISSEMINATION AND SUSTAINABILITY

Dissemination

- All funded projects must disseminate their interventions. Dissemination means that the successful applicant proposes adaptation, adoption, or transfer of a project in new settings.
- Applicants should explain how they will disseminate proposed innovations to new settings.
- Indicate those institutions/organizations that must learn about the project.
- Indicate which evaluation data will convince others to implement or adapt the project idea.
- Indicate the barriers that adopters/adapters might encounter
- Indicate the assistance that the applicant might provide to help adopters/adapters overcome barriers.

Sustainability

- After federal funding ends, FIPSE projects must be sustainable and institutionalized.
- After the end of the FIPSE support, funded projects should sustain operation, continue growing, and continue to influence postsecondary education practice.
- Successful applicants will clearly delineate their plans for project continuation in the home institution(s).

FY 2011 COMPETITIVE PREFERENCE and INVITATIONAL PRIORITIES

The purpose of all applications under the Comprehensive Program must be the improvement of postsecondary education. In FY 2011, the Secretary of Education is particularly interested in applications that meet the following competitive preference and invitational priorities. However, under 34 CFR 75.105(c)(1) we do not give an application that meets an invitational priority a competitive or absolute preference over other applications. Such an application will not receive extra points or any other advantage over applications not addressing any of these invitational priorities.

Competitive Preference Priorities: (we will award up to an additional two points, for each priority met. We will not award more than a total of six competitive preference points to any application.

1. Increasing Postsecondary Success

(a) Projects that increase the number and proportion of high-need students who persist in and complete college or other postsecondary education and training.

(b) Projects that increase the number and proportion of postsecondary students who complete college or other postsecondary education and training and who are demonstrably prepared for successful employment, active participation in civic life, and lifelong learning.

2. Enabling More Data-Based Decision-Making

(a) Projects that collect (or obtain), analyze, and use high-quality and timely data, including data on program participant outcomes, (in accordance with privacy requirements) on improving postsecondary student outcomes relating to enrollment, persistence, and completion and leading to career success.

3. Improving Productivity

Projects that significantly increase efficiency in the use of time, staff, money, or other resources while improving student learning or other educational outcomes.

Invitational Priorities: There are no additional points awarded for invitational priorities.

- Curriculum Alignment

Projects that align curriculum between high schools and colleges and between 2- and 4-year postsecondary programs.

- Reducing Instructional Costs

For applicants that are addressing Competitive Preference Priority 3—Improving Productivity, we are interested in projects that will make meaningful and constructive changes to postsecondary courses and programs that effectively demonstrate potential in improving learning outcomes while reducing the cost of delivery.

GUIDE TO PROPOSAL DEVELOPMENT

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

This competition is a single-stage competition. All applicants must submit a proposal consisting of a 30-page project narrative (pages numbered and double-spaced), *plus* a one-page abstract, a budget summary, a detailed budget narrative, and an “ Other Attachment” file containing all appendices, as well as other any additional information. Applications must be submitted electronically using Grants.gov website.

UNDERSTANDING FUNDING PRACTICES AND REVIEW PROCESSES

Before You Prepare an Application

FIPSE awards national, not local, innovative projects.

Many national model postsecondary education programs already exist. In order to demonstrate that a proposed project is innovative:

- Applicants should conduct a literature review that examines other similar U.S. efforts.
- The review and the applicant’s assertions should differentiate the proposed project from existing efforts.

FIPSE’s Web site at <http://www.ed.gov/FIPSE> contains information on resources that would be useful to a prospective applicant in developing a proposal. The Web site also directs you to descriptions of projects FIPSE has funded since 1994, evaluation information and suggestions, material on other competitions, and funding advice from FIPSE program officers. For further project description information, we recommend visiting the FIPSE grant database at <http://fipsedatabase.ed.gov>

Cost Sharing/Institutional Support

This grant competition does not mandate any particular rate for cost sharing or matching funds. However, Selection Criterion 5 (adequacy of resources) addresses the applicant institution’s and partners’ significant support for the project, both philosophically and financially. Because FIPSE applicants often seek support that will develop or strengthen their own programs or capacities, FIPSE expects the host institution and its partners to contribute substantial resources (funding shown in the Budget Summary Form, ED 524, Section B). This will not always be the case, however, as individual circumstances and the resources available to participating institutions vary.

Indirect Cost Rates

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

Conflicts of Interest

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

Recommended Proposal Outline

We recommend that applicants map proposals to each of the review criteria:

- Need for the project.
- Significance of the project.
- Quality of the project design.
- Quality of the project evaluation.
- Adequacy of resources.

NOTE: Competitive Preference and/or Invitational Priorities addressed should be aligned throughout the review criteria.

Review Requirements and Process

Applicants will submit at the Grants.gov Web site, an application consisting of the following requirements for the proposal narrative:

1. Limit the length of the project narrative to 30 numbered pages, double-spaced (no more than three lines per vertical inch), *plus* a one-page abstract, budget summary, budget narrative (detailed line-item budget), and appendices.
2. Only the following fonts may be used:
 - Times New Roman
 - Courier

- Courier New
- Arial

Applications submitted in any other font (take care NOT to use Times Roman or Arial Narrow) will not be accepted. Use minimum 1-inch margins on all four sides of the page, and avoid font sizes smaller than 12 point. Make sure your line spacing is set for **double-spacing** and not 1.5 lines or other spacing.

In addition to the 30-page project narrative, abstract, budget summary, and budget narrative (detailed line-item budget), include in the application package an appendix containing the following items. Note: Include these and other appendix items in the “Other Attachments” in Grants.gov.

- Project evaluation chart (required), indicating for project objectives and activities the evaluation methods that will be used.
- Short position descriptions (maximum one page each) for all key personnel – project director, co-director (if applicable), evaluator (required), and others.
- Project timeline chart.
- Letters of support or commitment from partners and other project beneficiaries (if applicable).
- References cited in the proposal narrative (if applicable).
- Other information documenting your proposed project.

The application should clearly explain competitive and/or invitational priority (ies) addressed, problem(s) addressed, and proposed solutions.

The application must include an evaluation component.

Applicants should use clear, direct language and avoid jargon, cliché’s, and acronyms. As noted above, explain how the proposed project strategy differs from and improves upon current practice at your institution and elsewhere in the nation.

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

ALIGNING YOUR PROPOSAL TO THE SELECTION CRITERIA

Selection Criteria

FIPSE suggests that you organize your proposal narrative according to the selection criteria. Each selection criterion is presented in bold type, followed by particulars of each criterion in standard text. Using these criteria, external proposal reviewers will develop ratings (point scores).

Please note: Applicants that address a competitive priority(s) or an invitational priority(s) must substantiate this priority focus – and align all proposal elements to those priorities.

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

1) The need for the project, as determined by the following factor (20 points):

- a) the magnitude or severity of the problem addressed by the project.
- b) the magnitude of the need for the services to be provided or the activities to be carried out by the proposed project.

You should make clear the national implications of your stated problem. The priorities described in this competition identify some areas of needed reform, but you may choose to focus on a topic not specifically mentioned in these guidelines, or you may choose to address more than one topic in a single project.

Is the problem you have identified central to your institution's vitality or to the effectiveness of your educational services? Does the same problem affect other institutions around the country? Have attempts to remedy the situation been made by you or by others in the past, and with what results? What will be the local and national consequences of a successful completion of your project? Are other institutions or organizations likely to benefit from proposed services of your project or learn from your experience in ways that would enable them to improve their own programs and services?

In short, the need or problem should be widely experienced, your strategies should address the central causes of the problem, and your strategies should address the types of services needed to improve these challenges.

2) The significance of the project, as determined by the following factors (20 points):

- a) the national significance of the proposed project;

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

It is not enough to address an important problem; you must also offer a solution to that problem. This solution must be *innovative* when compared to what others on the nation have done to address the problem. Furthermore, it must be a solution that has potential for large-scale implementation and replicability.

Reviewers look for any evidence illustrating how your project differs from or improves upon previous efforts. Describe how your project will demonstrate effective, new reform strategies.

3) The quality of the project design, as determined by the following factors (20 points):

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

Your narrative should offer reviewers a clear description of who will do what, when, where, why, and with what anticipated results. The project's goals and objectives must be clearly identified and measurable. Responsibilities, timelines, and milestones for accomplishing project tasks must also be specified.

In the appendix to your proposal, include the qualifications of key personnel, including the project director, project co-director, evaluator, and major consultants or subcontractors. Please note that standard curriculum vitae are not appropriate for this purpose. What is needed is a brief (one page maximum) bio of each individual's background, with a special focus on those experiences related to the topic of your application. (Vitae for key personnel will be requested from successful applicants after awards are announced.)

4) The quality of the project evaluation, as determined by the following factors (20 points):

- a) the extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project;

- b) the extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible; and
- c) the extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings.

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

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

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

In addition to project-specific objectives, the evaluation plan must include as objectives the two FIPSE performance indicators discussed above in the section on the Government Performance and Results Act (GPRA). The plans must also include *measures* of the two indicators: 1) replication (the extent to which a project is being replicated, i.e., adopted or

adapted by others) and 2) Institutionalization (the extent to which projects are being Institutionalized and continued after the funding.)

5) The adequacy of resources for the proposed project, as determined by the following factors (20 points):

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

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

A budget summary (SF 524 A and B) and the budget narrative attachment that you include, should itemize the support you request from FIPSE and the support you expect to obtain from sources other than FIPSE. It must be clear in the proposal narrative how your budget request relates to the attainment of your goals and objectives.

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

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

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

FIPSE funding ends. Proposals requiring grant dollars for equipment, student financial aid, or faculty and student incentive payments are rarely competitive. Instead, FIPSE expects that projects requiring such funds will acquire them or equivalent in-kind contributions from other sources. Grants cannot be used for the purchase of real property or for construction. See the section above on “Cost Sharing/Institutional Support.

INSTRUCTIONS FOR COMPLETING THE APPLICATION PACKAGE

These instructions must be used in preparing an application. An application consists of four parts, which correspond to the sequence of your application sections. The parts are as follows. Remember to upload all forms and sections and follow carefully the Grants.gov application instructions. **REMEMBER: All Attachments must be a .PDF file**

Part I: 424 Forms

- Application for Federal Assistance – Standard Form (SF) 424
- ED Supplemental Information Form for SF 424

Part II: 524 Forms

- Department of Education Budget Summary Form (ED 524)
Sections A & B

Part III: Program Narrative

- ED Abstract Form
- Project Narrative Attachment Form (page limit of 30 pages)
- Budget Narrative Attachment Form
- Other Attachments Form

Part IV: Assurances, Certifications, and Survey Forms

- SF-424B - Assurances Non-Construction Programs
- Disclosure of Lobbying Activities (SF-LLL)
- Grants.gov Lobbying Form (Formerly ED Form 80-0013)
- Survey on Ensuring Equal Opportunity for Applicants
- GEPA Section 427 Requirement

Project Abstract: **Attach your one-page project abstract in the ED Abstract Form in Grants.gov.** The abstract should identify the competitive and/or invitational priority (ies) you are addressing, the problem being addressed, a concise description of proposed project objectives and activities, and intended outcomes. It should also indicate what makes the project innovative and a potential model for replication by others.

Project Narrative Attachment Form: The Project Narrative includes the narrative section addressing the program selection criteria that will be used to evaluate applications submitted for this competition. The narrative must describe the innovative aspects of your project and your project's potential for replication. **This narrative has a strict page limit of 30 pages**, using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

You must attach your project narrative in the Project Narrative Attachment Form in Grants.gov.

Budget Narrative Attachment Form: Attach a detailed line item budget and any explanatory supplemental budget information. The budget should demonstrate and justify that all costs are reasonable and necessary to accomplish the proposed project activities. The detailed budget maps precisely, line item by line item, to the Standard Budget Sheet SF 524) and breaks down costs under each line item sub-total. **Your detailed budget narrative must be attached to the Budget Narrative Attachment Form in Grants.gov.**

Other Attachments Form: You may include additional items such as;

- Project evaluation chart. (See instructions under Selection Criterion 4.)
- Narrative summaries of the qualifications of key personnel (maximum one page each). For the Project Director only, include a single percentage or full-time equivalent (FTE) of level of effort averaged over the entire project period.
- Project timeline chart.
- Letters of support from partners and other project beneficiaries (optional).
- References cited in the proposal narrative, if you choose to use endnotes (optional).
- Other pertinent information.

You must attach any of the items mentioned above in the Other Attachments Form in Grants.gov.

Instructions for Standard Forms

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

INSTRUCTIONS FOR THE SF-424

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. <ul style="list-style-type: none"> • 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.
		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.
2.	Type of Application: (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> • 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	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 by 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 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 which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.
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.		
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.																										
	<table border="0"> <tr> <td>A. State Government</td> <td>M. Nonprofit</td> </tr> <tr> <td>B. County Government</td> <td>N. Private Institution of Higher Education</td> </tr> <tr> <td>C. City or Township Government</td> <td>O. Individual</td> </tr> <tr> <td>D. Special District Government</td> <td>P. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td>E. Regional Organization</td> <td>Q. Small Business</td> </tr> <tr> <td>F. U.S. Territory or Possession</td> <td>R. Hispanic-serving Institution</td> </tr> <tr> <td>G. Independent School District</td> <td>S. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td>H. Public/State Controlled Institution of Higher Education</td> <td>T. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td>I. Indian/Native American Tribal Government (Federally Recognized)</td> <td>U. Alaska Native and Native Hawaiian Serving Institutions</td> </tr> <tr> <td>J. Indian/Native American Tribal Government (Other than Federally Recognized)</td> <td>V. Non-US Entity</td> </tr> <tr> <td>K. Indian/Native American Tribally Designated Organization</td> <td>W. Other (specify)</td> </tr> <tr> <td>L. Public/Indian Housing Authority</td> <td></td> </tr> </table>	A. State Government	M. Nonprofit	B. County Government	N. Private Institution of Higher Education	C. City or Township Government	O. Individual	D. Special District Government	P. For-Profit Organization (Other than Small Business)	E. Regional Organization	Q. Small Business	F. U.S. Territory or Possession	R. Hispanic-serving Institution	G. Independent School District	S. Historically Black Colleges and Universities (HBCUs)	H. Public/State Controlled Institution of Higher Education	T. Tribally Controlled Colleges and Universities (TCCUs)	I. Indian/Native American Tribal Government (Federally Recognized)	U. Alaska Native and Native Hawaiian Serving Institutions	J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Non-US Entity	K. Indian/Native American Tribally Designated Organization	W. Other (specify)	L. Public/Indian Housing Authority			
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[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 DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

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

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

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

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

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

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

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

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

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

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

Paperwork Burden Statement. *According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1894-0007. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street, S.W. Room 7076, Washington, D.C. 20202-4260.*

**DEFINITIONS FOR
DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424
(ATTACHMENT TO INSTRUCTIONS FOR SUPPLEMENTAL INFORMATION FOR SF 424)**

Definitions:

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

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

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

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

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

—Research

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

Human Subject

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

B. Exemptions.

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

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

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

or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed. [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

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

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

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

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

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

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

A. Exempt Research Narrative.

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

exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

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

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

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

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

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

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

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

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

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the U.S. Department of Education, Protection of Human Subjects Coordinator, Office of the Chief Financial

Officer, LBJ Building, 400 Maryland Avenue, SW, Washington, D.C. 20202-4250, telephone: (202) 260-3353, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site: <http://www.ed.gov/about/offices/list/ocfo/humansub.html>

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

Instructions for ED 524

General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. You may access the Education Department General Administrative Regulations, 34 CFR 74 – 86 and 97-99, on ED's website at:

<http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

You must consult with your Business Office prior to submitting this form.

Section A - Budget Summary

U.S. Department of Education Funds

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

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

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

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

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

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

Section B - Budget Summary

Non-Federal Funds

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

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

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

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

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

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

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. For non-Federal funds or resources listed in Section B that are used to meet a cost-sharing or matching requirement or provided as a voluntary cost-sharing or matching commitment, you must include:
 - a. The specific costs or contributions by budget category;
 - b. The source of the costs or contributions; and
 - c. In the case of third-party in-kind contributions, a description of how the value was determined for the donated or contributed goods or services.

[Please review ED's general cost sharing and matching regulations, which include specific limitations, in 34 CFR 74.23, applicable to non-governmental entities, and 80.24, applicable to governments, and the applicable Office of Management and Budget (OMB) cost principles for your entity type regarding donations, capital assets, depreciation and use allowances. OMB cost principle circulars are available on OMB's website at: <http://www.whitehouse.gov/omb/circulars/index.html>]

3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in

the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

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

5. Provide other explanations or comments you deem necessary.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1894-0008**. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

Instructions for Budget Summary Form and Itemized Line Item Budget

NOTE: Applicants to the Comprehensive program must submit (1) a budget information form to categorize requested funds (ED Form 524, Section A & B), **and** (2) a detailed line item budget narrative attachment with cost justification.

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

Both the detailed line item budget AND the accompanying budget narrative for each year funding being requested should be included in “Budget Narrative Attachment in Grants.gov,” which requests information on the applicant’s financial plan for carrying out the project. **You should also asterisk items on the detailed budget that relate to the announced priorities for FY 2011.**

Applicants should describe how all costs support project activities. For each line item, provide detailed costs and narrative justification to support your request. Please check all figures and combined totals and compare the line item budget figures to those on the ED Form 524 for both Sections A & B.

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

1. **Personnel:** Enter only the project personnel salaries and wages. [Fees and expenses for consultants should be included on line 8 – “Other”.] The budget should include the total commitment of time and the total salary to be charged to the project for each key staff person. A breakdown of project personnel should include: position titles, specific time commitments to project for each staff person in days/months or in percentage, and other relevant information.
2. **Fringe Benefits:** Enter the amount of fringe benefits. The organization’s or institution’s normal fringe benefit contribution may be charged to the project. Leave this blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect costs. In the budget, include an explanation and appropriate justification if the normal fringe benefit contribution exceeds 20 percent of salaries.
3. **Travel:** Provide the costs for project personnel. [Consultants’ travel should be included on line 8 – “Other”] Indicate the number of people traveling, whether they are faculty or administrative personnel, their destination, and a breakdown of travel costs. Transportation costs should not exceed economy airfare. Foreign travel may be authorized under the grant for itineraries that are in compliance with the Fly America Act. Per diem costs are allowable for project-related travel, in accordance with OMB Circular A-21, J.48c.
4. **Equipment:** Provide the cost for property charged to the grant having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

5. Supplies: Include materials necessary for conducting, developing, or implementing the project, such as library resources, conference materials, software, computers, and general office supplies that are less than \$5000 per unit.
6. Contractual: Not applicable. Leave blank.
7. Construction: Not applicable. Leave blank.
8. Other: Other miscellaneous costs may be requested in this category. Examples of allowable costs include: professional services fees for consultants, evaluators, conference speakers, auditors, etc.; printing costs for newsletters and publications; travel expenses for non-project personnel; and per diem for non-project personnel. Provide a detailed breakdown of the costs, such as the number of days for the per diem being requested; number of days and costs for consultant or evaluator services; quantity and cost for printing; ground transportation costs, etc. Please note that professional services fees should not exceed amounts permitted under comparable institutional policies.
9. Total Direct Costs: Enter the total direct costs (items 1-8) being requested.
10. Indirect Costs: If you are charging indirect costs to the comprehensive grant, you must have a current indirect cost rate agreement.
11. Training Stipends: Not applicable. Leave blank.

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 follow up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or 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.

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

Survey Instructions on Ensuring Equal Opportunity for Applicants

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

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

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0010. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** The Agency Contact listed in this grant application package.

OMB No. 1890-0010 Exp. 05/31/12

APPLICATION CHECKLIST

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

Part I: 424 Forms

- Application for Federal Assistance – Standard Form (SF) 424
- ED Supplemental Information Form for SF 424

Part II: Budget Forms

- Department of ED Budget Summary Form (ED 524)
Sections A & B

Part III: Narrative Attachments:

- ED Abstract Form
- Project Narrative Attachment Form (page limit of 30 pages)
- Budget Narrative Attachment Form
- Other Attachments Form
 - Other Appendices include documents such as the following:
 - Key personnel one-page resumes (include % or FTE of Project Director).
 - Short position descriptions.
 - Project timeline chart.
 - Letters of support or commitment from project partners and other beneficiaries.
 - Project evaluation chart.
 - References cited in the Project Narrative (if applicable).

Part IV: Assurances, Certifications, and Survey Forms:

- SF-424B- Assurances Non- Construction Programs
- Disclosure of Lobbying Activities (SF-LLL)
- Grants.gov Lobbying Form (Formerly ED Form 80-0013)
- Survey on Ensuring Equal Opportunity for Applicants
- GEPA Section 427 Requirement

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1894-0006**. The time required to complete this information collection is estimated to average 25 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-8544. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.