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Office of Postsecondary Education
Fund for the Improvement of Postsecondary Education
Washington, DC 20006-8544



Fiscal Year 2009

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

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Dear Applicant Letter

Dear Applicant:

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

The emphasis in this program is on the development of partnerships between Russian and American universities that promote educational and academic exchanges of students and faculty between the two countries, contributing to the advancement of education and science in both countries. The aim is to support innovative projects that will improve education activities in higher education in the two nations.

It is expected that these programs, through promoting the study of and communication in foreign languages, will also increase awareness and understanding of the two cultures and strengthen the professional and scholarly ties between the two countries. This objective must remain central to grant proposals, since the ultimate intent of the Program is to assist with the strengthening of ties between the United States and Russia.

This program is based on objectives outlined in the 2006 Memorandum of Understanding (MOU) between the United States Department of Education and the Russian Ministry of Education and Science. The MOU laid out a plan focused on expanding cooperation and developing partnerships among various types of educational institutions in the United States and Russia that reflect the best practices of the education systems of both countries.

This letter highlights a few items in this application package important for applicants in the United States. You should review the entire package carefully before preparing and submitting your application.

An institution of higher education (IHE) from the United States interested in applying for grants under this U.S.-Russia Program should contact an IHE in the Russian Federation with whom they would like to form an educational consortium for potential collaboration. The lead U.S. institution in the

consortium should submit the proposal to FIPSE based on the guidelines given in this application document.

An applicant must select one academic discipline as the subject area for the grant application in this U.S.-Russia competition. For FY 2009, the Department and the Russian Ministry have jointly decided to make three awards as follows.

Grant A – In Environmental Science

Grant B – In Biotechnology

Grant C – In any other subject area, other than Environment Science or Biotechnology

Under this collaboration, the lead Russian institution should submit the same proposal to the Russian Ministry of Education and Science based on the Russian Ministry's application requirements. The Russian lead should contact the Russian Ministry for application requirements and submission guidelines.

Point of Contact in Russia:

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Though FIPSE and the Russian Ministry are issuing similar application materials and program guidelines to the institutions in their respective countries, some important differences exist to reflect country-specific needs. U.S. applicants should use the application materials and program guidelines issued by the U.S. Department of Education when completing the application packet.

In order to facilitate a comparable evaluation of the applications by officials from both countries, it is important that the proposal is developed jointly by the U.S. and Russian partners in the consortium so formed. All partners from both countries must agree on the objectives and content of the application.

All applications for FY 2009 grants under the U.S.-Russia Program should only be submitted electronically using U.S. government's Internet-based system accessible at:

<http://www.grants.gov>

A thorough discussion is included in this application package. *You are urged to acquaint yourself with the requirements this system early.*

U.S. applicants must submit applications to the U.S. Department of Education by July 7, 2009.

We suggest that you submit your application a few days before the deadline date. Please do not wait to submit it on the last day. *Applications submitted late will not be accepted.* No changes or additions to an application will be accepted after the deadline date.

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

/signed/

Sincerely,
Ralph Hines
Acting Director, FIPSE
Fund for the Improvement of Postsecondary Education
U.S. Department of Education
1900 K St, NW, Washington, DC 20006

United States-Russia Program: Improving Research and Educational Activities in Higher Education

Program Description

Background

On May 31, 2006, the U.S. Secretary of Education and the Minister of Education and Science of the Russian Federation signed an historic agreement aimed at promoting understanding between the peoples of the Russian Federation (RF) and the United States (U.S.) and to strengthen the role of universities in building an innovative society.

The focus of this Program, 'Improving Research and Educational Activities in Higher Education,' (U.S.-Russia Program or the Program) is to support innovative projects that will improve education activities in higher education in the two nations. The emphasis is on the development of partnerships between Russian and American universities that promote educational and academic exchanges of students, staff and faculty between the two countries, contributing to the advancement of education and science in both.

The growing pace of globalization in virtually all aspects of human life demands that our postsecondary institutions rethink how best to prepare students for a lifetime of work that will, in all likelihood, be in the global context. To support this goal, since 2007 the Russian Ministry of Education and Science (the Ministry) and Department of Education's Fund for the Improvement of Postsecondary Education (FIPSE) have provided grants for collaborative projects that can contribute to educational innovation and to the advancement of knowledge – both cultural and vocational – required to meet the challenges of the global knowledge-based economy.

FIPSE's participation in this program is governed by Section 744 of the Higher Education Act of 1965, as amended (HEA), 20 U.S.C. §1138c, which authorizes funding for projects to support innovative projects in areas of national need including "international cooperation and student exchange among postsecondary educational institutions" and authorizes the "evaluation and dissemination of model courses." See Section 744(c)(4) and (5) of the HEA; 20 U.S.C. Section 1138c(c)(4) and (5).

This Program provides financial support to bilateral projects involving Institutions of Higher Education (IHEs) or educational organizations active in the field of higher education and/or vocational training with the aim of enhancing collaboration between the Russian Federation and the United States. This application package is for IHEs in the U.S. that wish to seek financial support for projects aimed at the exchange of staff and students, and sharing innovative practices with IHEs in the Russian Federation. Proposals under this program should be aimed at improving the quality of higher education in both countries through the development of joint courses, educational materials, and other types of educational and methodological activities. It is expected that such collaborative projects would also advance the study and teaching of English and Russian languages while contributing to a better understanding of the cultural milieus of the United States and Russia.

It is hoped that relationships built during exchange programs will be maintained as students move into their careers. These would increase opportunities for future international collaboration that are an asset to the governments, private companies, and NGOs in both countries. It is expected that proposals under this program will set aside sufficient funds to enable student, faculty and staff exchanges that result in significant improvement in languages and our knowledge about each other's cultures.

It is expected that all projects funded under this program will demonstrate institutionalization and sustainability, which will support long-term research and educational collaboration between U.S. and the Russian Federation.

Examples of Collaborative Study Programs

Applicants to the U.S.-Russia Program may consider how a collaborative U.S.-Russian consortium might:

1. Support U.S. students who have attained high levels of Russian language ability, and Russian students who have attained high levels of English language ability, (perhaps through previous participation in foreign language study abroad programs), who want to work in a scientific research group or on a project-based scientific internship abroad.
 - Rationale: The U.S. and Russia have many issues of common interest in many disciplines, but each may provide unique opportunities and settings in which students can advance and apply their knowledge and skills.

- Outcome: Students, particularly in STEM (science, technology, engineering, and mathematics) areas who might otherwise not attempt to gain a high level proficiency in a foreign language would have an incentive to do so through participation in this program.
2. Support projects that would encourage the joint development of textbooks and the new interactive media-based educational materials for undergraduate students.
 - Rationale: The U.S. and Russia have a common need to advance teaching and learning using the new distance learning technologies. This could entail joint development of multimedia courses, digital simulations, electronic laboratory simulations, web-based instructional resources, and electronic assessments.
 - Outcome: Bilingual scientific online resources and instructional materials are made accessible to students and practitioners in both countries.
 3. Support projects that allow U.S. and Russian faculty to learn about each other's educational systems, including teaching methods, student learning assessment, accreditation, administration, and fiscal management. Included in fiscal management could be such topics as how to obtain support for sharing large-scale science instruments or facilities, how to translate basic research findings into commercial product development, and how to benefit from patent and copyright laws.
 - Rationale: The Russian system of higher education is centralized and largely dependent on the government for national curriculum, guidelines and funding. This is quite different from the American system in which each university functions as an independent and autonomous body. In the Russian Federation the government regulates institutional quality whereas in the U.S. the government works with independent bodies that guarantee minimum quality standards through institutional accreditation. These administrative and structural differences can impede cooperation and collaboration among U.S. and Russian researchers and educators.
 - Outcome: Develop new models of research or instructional collaboration that facilitates, for example, joint U.S.-Russian courses, degree programs, long-term research partnerships, and improved compliance with patent and copyright laws.

Eligibility Requirements

The U.S.-Russia Program is open to all disciplinary and professional fields and, vocational programs, as well as cross-disciplinary studies, involving undergraduate and graduate students, and to faculty and staff from institutions of higher education and vocational and training institutions. This program does not support doctoral candidates.

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

Institution of Higher Education (IHE) means any recognized establishment, which, according to the applicable laws or practices of each country, offers qualifications or diplomas at the higher or postsecondary education level, whatever such establishment may be called.

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

Student means any person enrolled full-time in courses or programs leading to a degree completion that is run by an IHE or a vocational education and training institution.

The Program will not fund basic research for its own sake, but it will fund student, faculty or staff participation in such research that has the collateral benefit of advancing education and international collaboration in ways that directly meet the stated goals of the Program. Applications may be based on the results of existing educational and research partnerships of IHEs in the U.S. and Russia, or based on new relationships between Russian and American partners.

An applicant must be a 'consortium of U.S. and Russian institutions' and must be lead by a non-profit institution in the United States, who would act as the 'project lead'. The U.S. project lead would be responsible for submitting the grant application to the U.S. Department of Education, for coordinating the project, and for grant management and fiscal control. A consortium must have a minimum of one U.S. institution and one Russian institution as partners. The Department encourages U.S. institutions to include additional partners from non-research institutions such as

community colleges that have expertise in the content area or innovative pedagogy.

The consortium, possibly with some previous experience in U.S.-Russia partnerships, may include other organizations such as industry and business groups, non-governmental organizations, publishers, government departments, chambers of commerce, and research institutes. Inclusion of such organizations in the consortium may help give your project the national and international visibility necessary for it to succeed beyond the funding period. These partners may offer internships or may offer professional advice and expertise as part of this grant program. Consortia should operate on the principle of parity and partnership.

We recommend that you have the same number of Russian and American institutions and organizations in your consortium and that you exchange the same number of faculty and students between the two nations. This, however, is not an eligibility requirement. We do not encourage consortia with more than four (4) partners in total.

Financial Considerations

The Department has proposed a budget of \$400K to fund three (3) projects in FY 2009. Each project will be funded for a 36-month or three-year period. The total budget for this program for the three-year period is \$1.2M. The estimated range of awards for the first budget year is \$100 to \$150K for each of the three grants. U.S. institutions in a consortium will receive funding from the Department. The Russian partner-institutions will receive funding from the Russian Ministry. The budget for the Russian Federation is a comparable but separate amount in Russian rubles.

Funds provided to the U.S. institutions by the U.S. Department of Education under this grant can only be used for students and staff of the U.S. institutions. Eligible U.S. students must be U.S. citizens or resident aliens. The use of these funds for Russian students or staff is not permitted since the Russian partner institutions in the consortium will receive an equivalent funding from the Russian Ministry.

Use of grant funds to pay for college tuition or any form of financial aid to students or anyone else is prohibited, with the exception of payments for language lessons.

This Program does not require cost sharing or matching. However U.S. applicants may make any voluntary contributions, if they so wish. Voluntary

institutional contributions are not required, but if pledged in the proposal, must be made in full over the project duration and appropriately documented. It is important for the applicant to explain how a part of or the entire project could be sustained beyond the funding period.

The Department will provide funding to a successful U.S. applicant in this competition via the lead U.S. institution, who will serve as the grantee and fiscal agent. Russian applicants must check their own requirements for the program.

Fees

Students are expected to spend some time in the Russian Federation. Students studying abroad will pay the usual tuition and fees at their home institution and should incur no additional financial obligations to the host institution(s). This includes fees for tuition, registration, examinations, and the use of library and laboratory facilities.

The tuition and fees arrangements must be carefully negotiated before the proposal is submitted, and the application for support must describe the agreed arrangements.

Stipends

Stipends are divided into two categories:

Faculty/staff/student mobility stipends and Language stipends.

Faculty/staff/student mobility stipends

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

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

Faculty and staff travel stipends should be estimated at \$1,000 per week plus a fixed amount of \$2,000 for travel per person. Faculty and staff travel in relation to scholarly work and teaching at a partner Russian institution must be for a minimum of one week and a maximum of one academic term or a compressed (summer) schedule.

Student travel stipends should be estimated at \$600 per week plus a fixed amount of \$2,000 for travel per person. Student travel in relation to study at a partner Russian institution must be for a minimum of one academic term or a compressed (summer) schedule.

Language stipends

A key objective of this program is to encourage and enable faculty, staff, and students to develop ideas and practices that support a U.S.-Russian perspective within an academic, cultural, and linguistic milieu. Although the U.S.-Russia program has language instruction as a key component in each funded project, we do not fund projects that focus exclusively on language training and study.

Grants funds may include language stipends that are intended to help U.S. faculty, staff, and students to improve their proficiency in Russian language for purposes of completing research activities and/or study in Russia. Thus, courses taken for training in Russian language may only be to improve language skills to enable faculty or students to participate in the academic component of the project, but not for basic language skills.

It is important to define carefully in the project narrative the resources that the applicant institution has allocated for teaching and learning Russian. It is also important to describe carefully language instruction to be taken by students and faculty with different proficiency levels. Please note that applications proposing programs of study with weak provision for language and cultural preparation will be considered less competitive. Language proficiency and cultural study prior to and during the study abroad period is key to a student's integration in the academic and training culture of the host institution and country.

Language stipends may be budgeted for each year of the grant period. We do not recommend the total amount of federal funds used for language training to exceed 15% of the project budget.

If the lead U.S. institutions need assistance with language preparation, they should contact the FIPSE coordinator for this program.

Annual Project Directors' Meetings

An important part of the U.S.-Russia Program is the annual meetings. All project leads and key project personnel are expected to attend the annual meetings. This participation is essential because it provides an important opportunity for the consortia members to share their individual experiences of the challenges in running a project of this nature, as well as its successes. It is also intended as a forum for the Russian Ministry and U.S. Department of Education officials to discuss program coordination between the two nations. It is expected that the independent project evaluator appointed by the lead U.S institution would attend the first annual meeting.

The annual meetings will be held alternatively in Russia and in the United States. Applicants should allocate sufficient funds for travel to these annual meetings.

Annual and Final Performance Reports

The two agencies – Russian Ministry and the Department – will monitor carefully the progress of projects towards their goals through regular communication with the respective lead institutions. As part of this monitoring process, the project leads are required to submit annual reports to the agency in their country. Annual performance reports must provide a status report on project goals, completed activities, expenditures, evaluation report (from the external evaluator), and a plan for upcoming activities. The Russian Ministry and FIPSE reserve the right to increase or decrease funding, or to terminate a project based on annual performance reviews. The U.S. Project Directors will be notified when annual reports are due; these are typically due during June to mid-July timeframe.

Both agencies also require a final performance report at the completion of the project. The Department has a website for providing current project information (such as project team, project descriptions, etc), and for submitting annual and final performance reports. This website is also used for the Project Directors to submit requests for administrative changes. FIPSE's final reports are due within 90 days after the grant ends.

Guidance for managing the project and instructions for submitting performance reports are provided to the Project Directors at the first annual Project Directors' meeting.

Memorandum of Understanding

Proposals in this program will only be implemented when agreements or memoranda of understanding (MOU) that demonstrate the commitment of the partner institutions have been signed. The most competitive proposals submit signed agreements as part of their application package. Memoranda may be signed in the first couple of months of the start of the project. The Department reserves the right to terminate any project that has not provided signed agreements, and no student may commence study abroad until all partners sign the MOU.

A MOU may include many items to be determined by the consortium partners. However, an MOU must include agreements on the recognition of credits and on tuition and fees. It must include references to the certificates that will be awarded. The agreement may also cover student services, housing assistance, cultural preparation, and special fees such as health insurance.

Competition Guidelines

Goals and Subject Areas for FY 2009

The U.S.-Russia Program is an educational cooperation between IHEs (Institutions of Higher Education) in the Russian Federation and the IHEs in the U.S. The objective is to use the educational content as a vehicle for language learning and cultural appreciation, sharing knowledge, and forming long-term relations between the two countries. In the context of the modern international society and a global economy, an understanding of the cultural context plays a vital role in education and training.

Applicants must select one academic discipline as the subject area for their grant proposal in this U.S.-Russia competition. For the year 2009, the Department and the Russian Ministry have jointly decided to make three awards, as follows.

Grant A - Environmental Science Studies

Grant B - Biotechnology Studies

Grant C - Any other discipline, other than Environmental Science
and Biotechnology

We define these areas of study as follows. However, we interpret these definitions in a broad, generic way, and these are not limited to the examples in the definitions given below.

1. Environmental Science is the inter-disciplinary application of scientific principles to restore, protect, and sustain the quality of the natural environment (ecosystems), to provide safe and healthy water, air, and land for human habitation, agriculture, and for other plant and animal life. Environmental science encompasses issues such as climate change, conservation, biodiversity, water quality, groundwater contamination, soil contamination, and use of natural resources, waste management, sustainable development, disaster reduction, air pollution, and noise pollution. Environmental issues are entwined with human activities, study of economics, law and social sciences, and these are often applied in conjunction with environmental science.
2. Biotechnology is the application of disciplines like genetics, molecular biology, biochemistry, embryology and cell biology, to the management of (parts of) microorganisms, or of cells and tissues of higher organisms, to make or modify food and other products, or to develop processes for use in healthcare and medicine. It includes terms like bioengineering, biomedical engineering, patho-biotechnology, and the like. Biotechnology is linked to disciplines like chemical engineering, information technology, and biorobotics.
3. Any other discipline: The applicants for this grant may select an area of study of their choice and expertise, other than Environmental Science and Biotechnology defined above. This includes arts, architecture-urban planning, humanities, social sciences, STEM (Science, Technology, Engineering or Maths), nanotechnology, legal and management studies, tourism-hotel management, or any other.

In each of the three funded projects, while working in the study area of their choice, the applicants *must accomplish* all of the five goals, (a) to (e) stated below.

- a. Establish a student and staff exchange (mobility) program among all partners of the consortium.
- b. Demonstrate language acquisition and/or improvement during the grant period among all exchange students from both countries.
- c. Demonstrate an enhanced understanding of the cultural milieus of the partner country among all participating in the exchange program.

- d. Demonstrate sharing of innovative or best practices in education and curricula with institutions in the partner country.
- e. Establish or enhance a long-term educational partnership between the IHEs from the two countries.

Collaboration between U.S. and Russian institutions in each of the three projects should be aimed at developing joint courses, educational materials or methodologies. It is expected that these programs, through promoting foreign languages, will also increase awareness and understanding of the two cultures and strengthen the cultural ties between the two countries. This objective must remain central to all three grants listed above. Such a goal can only be met through academic exchange of students and staff. While it may not be possible to arrange for student travel in the first year of the grant period, it is expected that such exchange will be an integral part of the program during the second and third year of the grant.

Application Process

Below is the application process for the U.S. applicants.

1. Building a consortium
 - a. The competition is open to all institutions of higher education (IHEs) in the Russian Federation and to all IHEs in the U.S.
 - b. An institution in the U.S. interested in submitting an application should contact an IHE in the Russian Federation with the aim of developing a bi-lateral educational program.
 - c. When the Russian IHE agrees to be the lead institution from Russia, the two lead institutions should enter into written agreements to form a consortium.
 - d. The two lead IHEs may then invite other IHEs in Russia and in the U.S. to participate in this project as partners in their consortium. We do not recommend a single consortium to have more than four institutional partners in total including the two lead IHEs.
 - e. All IHEs in both countries will have to provide letters from the institution's head (or authorized signatory) in support of the grant application and the formation of the consortium with the IHEs in both countries. These letters should be included with the application.
2. Developing a joint proposal
 - a. The consortium should select one of the following three grants that they wish to apply for:
 - Grant A – Environmental Science

Grant B – Biotechnology

Grant C – Any other subject area, other than A or B

- b. All partners of the consortium should jointly develop a proposal to address the program's five goals described above.
3. Submission of the proposal
 - a. The Lead U.S. institution should submit this joint proposal to the Department of Education using the instructions given in this document and in the notice in the Federal Register.
 - b. The lead Russian institution would submit the same proposal, with the same objectives and activities, to the Russian Ministry of Education and Science using the guidelines and the application requirements provided by the Russian Ministry.
 - c. Applications from the U.S. consortia leads must be submitted electronically.
4. Review of applications

The selection of successful applications will be a competitive process based on a peer review by a panel of external readers, followed by negotiations between the U.S. and Russian government officials. All eligible applications will be reviewed as described below.

 - a. FIPSE will conduct a peer review of all eligible applications received by the due date. Three independent reviewers review each application. These are the applications sent to FIPSE by the U.S. team lead in the consortium.
 - b. Applications will be rank-ordered by FIPSE based on the results of the peer review.
 - c. The Russian Ministry will independently review all eligible applications that they receive, by the due date. These are the applications sent to the Russian Ministry by the Russian lead institution in the consortium.
 - d. The Russian Ministry will then rank-order all eligible applications based on the results of their review.
 - e. After these independent reviews and rank ordering, FIPSE officials will meet with the officials from the Russian Ministry to make the final selection of the winners. Projects will be funded only when both funding agencies are in agreement.
5. Evaluation criteria for review

The evaluation criteria to be used by FIPSE are (see the section on Evaluation Criteria for detailed descriptions for each):

 - a. Project Need (10 Points)
 - b. Significance of the Project (15 Points)
 - c. Project Design and Management Plan (30 Points)
 - d. Project Personnel (15 Points)
 - e. Resources (10 Points)

- f. Project Evaluation Plan (20 Points)
- 6. Number of awards
Up to three awards will be made in FY 2009, one in each of the three areas listed above.
- 7. Duration of grants
The project duration will be three years or 36 months.
- 8. Grant sum
 - a. The grant for each project would be a maximum of US\$400 over 36 months, but not exceeding US\$150K in any single 12-month period during the duration of the project.
 - b. The funding for the U.S. institutions in the consortium will be disbursed by U.S. Department of Education through the lead U.S. institution. The Russian Ministry would provide an equivalent funding in Russian rubles to the Russian consortium partners.

The Russian institutions should contact the Russian Ministry for details of application guidelines, evaluation criteria, application deadline, etc. to be used by the Russian Ministry to receive and evaluate applications from the Russian partner in the consortium.

Though FIPSE and the Russian Ministry are issuing similar application materials and program guidelines to the institutions in their respective countries, some important differences exist to reflect country-specific needs. Because of the differences in the application procedures, it is possible that the application for funding to FIPSE by the U.S. institution may not be identical to the application to the Russian Ministry by the Russian institution.

It is important, nonetheless, that the proposal is developed jointly and the applications are as similar as possible, keeping the same project objectives and activities, in order to facilitate a comparable evaluation from both sides. The consortium partners from both countries should agree on the objectives and content of the application. This should be stated clearly in the agreement letters or memorandum of understanding.

Details of the submission procedures for the U.S. applicants are given in the sections that follow.

Project Narrative

A proposal must include a project narrative of no more than 20 pages (typed, double spaced, font size 12, one inch margin all round).

Please review carefully the six application evaluation criteria described in the section 'Evaluation Criteria' before writing this narrative. The narrative, along with other required components of the application package, will be evaluated against these criteria.

Please state at the start of the narrative which one of the three grants, A, B, or C you are competing for:

- A. Environmental Science Studies
- B. Biotechnology Studies, or
- C. A discipline other than Environmental Science and Biotechnology.

In general, it is expected that in order to satisfy all evaluation criteria, a narrative would include the following.

- A project design to address the need for the proposed project and strategies to solve the identified problems
- The significance of the proposed project in relation to other completed and/or on-going works, and the outcomes it aims to achieve in the three year grant period
- Strengths and track record of the project team and the institutional resources committed for solving the proposed problems, capacity building, and dissemination
- A plan of action or implementation plan
- A timeline for project activities
- An evaluation plan
- A plan for institutionalization and dissemination of project results.

A project funded under this program must accomplish all of the five goals listed under the section 'Program Goals and Subject Areas for FY 2009'. It is therefore vital that in the area of study chosen, the application states how these five goals will be achieved.

The narratives can take the form of one single essay, or broken into sections. This choice is left to the applicant. It is recommended that narratives have a one-page summary.

Information and data needed to support the narrative can be attached to the narrative, as addenda, which is in addition to the 20-page limit for the narrative. Examples are resumes of team members, project time line (as bar graphs or MS Project tables), equipment details, bibliography, results of past projects, etc.

The design of the project should address the educational goals of the project, such as innovative ways to address a common problem that reflect Russian-American cooperation in higher education. Explain how the project will enhance understanding of the issue(s) identified and how the resources of each U.S. and Russian institutions in the consortium will contribute to the project. Explain how this collaborative study project will operate as a consortium. Clearly delineate what skills and resources will each institutional partner contribute to the project? The application must include detailed information about the project director of each partner institution, and state clearly how each partner of the consortium project will provide input to the project.

Project evaluation is critical to the success of any project and, in particular, to ensure long-term benefits of the work beyond the grant period. An evaluation plan must be included in the project narrative. Evaluation should be based on subjective and objective evaluation techniques. Further, the evaluation plan must provide evidence that the evaluation data will be utilized during the course of the project to improve outcomes and to ensure that the products developed work as well in the hands of new users as they do in the hands of the developers. The evaluation plan must include methods to assess gains in language acquisition.

Since U.S. grantees must submit an evaluation report as part of the annual performance report as well as a final evaluation report as part of the final performance report, we recommend that you name an external evaluator in your application. It is important that you request funds in your budget to support project evaluation throughout the three years of your project.

Your proposal should include strategies for sustainability and for dissemination of project outcomes or products to a wider public, and specifically how others would learn from your project.

Within the guidelines given above, the application should include as much information as possible about faculty, staff, and student participants in the project, and it should outline the participants' goals, and provide the timing of their proposed visits to the partner university.

Evaluation Criteria

The quality of proposals from U.S. applicants will be judged by a U.S. peer review panel on the basis of the award criteria set out below. Note: The Russian Ministry will use similar criteria to judge the quality of proposals from the Russian applicants.

- a. Project Need (10 Points)
- b. Significance of the Project (15 Points)
- c. Project Design and Management Plan (30 Points)
- d. Project Personnel (15 Points)
- e. Resources (10 Points)
- f. Project Evaluation Plan (20 Points)

Each one of these is described in detail below.

a. Project Need (10 Points)

The proposal should identify and justify the need for the project. There should be a clearly defined problem area afflicts postsecondary education in both United States and Russia. The problem domain could be from any aspect of educational activities in the consortium IHEs that support the objectives of the U.S.-Russia Program described in this document.

The strength of the 'need' described in the application will be assessed using the following EDGAR¹ criteria, Section 75.210 (a).

- (i) The magnitude or severity of the problem to be addressed by the proposed project.
- (ii) The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses.

As a general guide, to meet the objectives of the U.S.-Russia Program, the Secretary expects that the proposals include a need statement to describe:

- Magnitude or severity of the problem, gaps or weaknesses in the current level of knowledge, curricula, or pedagogy for teaching and learning in the academic discipline selected by the consortium.
- The extent to which the project would train and educate faculty, students and education administrators in both countries to address the problems identified.
- The extent to which the project would address the needs of disadvantaged individuals or students in both countries.

b. Significance of the Project (15 Points)

¹ EDGAR can be downloaded from <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

The significance of the project and the services it would provide will be assessed based on the extent to which it would contribute to the theory, knowledge and practices to improve education in the selected field. Describe the potential outcomes from your project such as new or improved curricula, pedagogies, teaching materials, trained personnel, processes, techniques, strategies, global understanding, etc. that would be of value to institutions in both countries.

The project significance and the quality of services described in the application will be assessed using the following EDGAR criteria, Section 75.210 (b).

- (i) The potential contribution of the proposed project to increased knowledge or understanding of educational problems, issues, or effective strategies.
- (ii) The likelihood that the proposed project will result in system change or improvement.
- (iii) The extent to which the proposed project is likely to yield findings that may be utilized by other appropriate agencies and organizations.
- (iv) The extent to which the proposed project involves the development or demonstration of promising new strategies that builds on, or is an alternative to, existing strategies.
- (v) The potential replicability of the proposed project or strategies, including, as appropriate, the potential for implementation in a variety of settings.
- (vi) The importance or magnitude of the results or outcomes likely to be attained by the proposed project.

The project significance and the quality of services described in the application will also be assessed using the following EDGAR criteria, Section 75.210 (d). In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

As a general guide, to meet the objectives of the U.S.-Russia Program, the Secretary expects that the significance and services statement should include the extent to which the project outcomes will:

- Contribute to the improvement of the educational system in all organizations in the consortium.

- Improve the level of theory and knowledge of educational practices currently used in the U.S. and Russian IHEs.
- Be disseminated and utilized by other institutions in the U.S. or Russia or other countries.
- Be transferable to or replicated and utilized by other agencies or organizations – public and private – and globally, especially in the U.S. and Russia.

c. Project Design and Management Plan (30 Points)

The proposal must include well-defined goals, a detailed plan of activities, expected outcomes and development strategies; a plan for collaboration with the lead Russian institution and other consortium partners; and an implementation plan. This is primarily a collaborative program between the IHEs from the Russian Federation and the U.S. As such, details of the collaboration – including the exchange of students, staff and faculty – must be provided. The courses to be developed; course contents to be delivered by faculty at the IHEs in the other country; course contents to be taken by students in the other country; credits or certification to be earned; etc should be carefully thought-out and described.

This will be judged on its rigor, relevance, and likelihood to yield final deliverables that will achieve the stated goals. It will also be judged on its usefulness to others who may want to adapt and implement them on their own campuses. The aim is to have a project plan where progress can be measured, evaluated, and monitored.

The quality of project design and management plan described in the application will be assessed using the following EDGAR criteria, Section 75.210 (c).

- (i) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.
- (ii) 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.
- (iii) The extent to which the design of the proposed project 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.

- (iv) The extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance.
- (v) The extent to which the proposed project will be coordinated with similar or related efforts, and with other appropriate community, State, and Federal resources in both countries.
- (vi) The extent to which the proposed project encourages consumer involvement.
- (vii) The extent to which performance feedback and continuous improvement are integral to the design of the proposed project.

The quality of project design and management plan described in the application will also be assessed using the following EDGAR criteria, Section 75.210 (g).

- (i) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.
- (ii) The adequacy of procedures for ensuring feedback and continuous improvement in the execution of the proposed project.
- (iii) The adequacy of mechanisms for ensuring high-quality products and services from the proposed project.
- (iv) The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.
- (v) Ensuring that a diversity of perspectives are brought to bear in the execution of the proposed project, including those of parents, teachers, the business community, a variety of disciplinary and professional fields, recipients or beneficiaries of services, or others, as appropriate.

As a general guide, to meet the objectives of the U.S.-Russia Program, the Secretary expects that the proposed project design and management plan should include:

- Development framework, methods, tools and infrastructure (including IT, media, laboratories, video conferencing, and other facilities).
- An implementation plan with details of project activities including a project schedule.

- Details of the academic exchanges, such as the number of students and faculty expected to travel, and the purpose, duration and schedule for travel during the three years of the program.
- Plans for achieving proficiency in Russian for students and faculty who will be part of the exchange.
- Plans for periodic evaluation of progress and performance feedback.
- Project priorities ('must have' or 'must do' requirements).
- A risk and mitigation plan.
- A list of periodic and final documents and/or deliverables (curricula, training materials, etc). Note that an annual report and a final report are required.
- Collaboration activities with other agencies and organizations if this project is a part of or an extension to an ongoing research or development effort.
- A process for selecting and training students and faculty for the exchange (mobility) program.
- A plan for 'transfer' of knowledge and/or information on how the outcomes can be 'replicated' by others.

d. Project Personnel (15 Points)

The relevant qualifications, skills and experience of the personnel supporting the project both in the U.S. and Russia are key factors in this evaluation criterion. Applications should include a detailed description of qualifications of personnel who would support this project. Language proficiency in Russian is a key factor in the success of this project.

The adequacy of personnel described in the application will be assessed using the following EDGAR criteria, Section 75.210 (e).

- (i) The qualifications, including relevant training and experience, of the project director or principal investigator.
- (ii) The qualifications, including relevant training and experience, of key project personnel.
- (iii) The qualifications, including relevant training and experience, of project consultants or subcontractors.
- (iv) Evidence of personnel selection process that encourages applications from persons who are members of groups that traditionally have been under-represented based on race, color, national origin, gender, age, or disability (this is a mandatory requirement).

As a general guide, to meet the objectives of the U.S.-Russia Program, the Secretary expects that the proposal should provide:

- Prior experience of working with a Russian IHE in an academic or exchange program.
- Qualifications and proficiency in Russian language of key U.S. project staff and in English of key Russian project staff.
- Qualifications and experience in the academic discipline that is the focus of the project.
- Qualifications and experience in education research, instructional design, and education evaluation and assessment.
- Current proficiency (or expected proficiency after training) in Russian language of U.S. students and in English of Russian students who will be part of the exchange.

e. Resources (10 Points)

The success of a well-designed project depends on the adequacy of resources available for its implementation. Applications should include a detailed description of resources that will be committed to this project both in the U.S. and Russia. Indicate if the resources will be provided by the lead-applicant organization, or would be acquired at a cost from the project budget.

The adequacy of the resource commitments described in the application will be assessed using the following EDGAR criteria, Section 75.210 (f).

- (i) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization.
- (ii) The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project.
- (iii) The extent to which the budget is adequate to support the proposed project.
- (iv) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project.
- (v) The potential for continued support of the project after the Federal funding ends, including, as appropriate, the demonstrated commitment of appropriate entities to such support.
- (vi) The potential for the incorporation of project purposes, activities, or benefits into the ongoing program of the agency or organization at the end of Federal funding.

As a general guide, to meet the objectives of the U.S. Russia program, the Secretary expects that the project should have:

- Adequate support infrastructure including equipment, facilities and supplies provided by the organizations and institutions supporting the proposal and the project.
- Planned for an adequate budget based on reasonable costs to support all project tasks, including travel and external evaluator.
- Adequate continued support from lead-applicant organization should the federal funding end before project completion.

f. Project Evaluation Plan (20 Points)

Formative and summative evaluation conducted by an independent external evaluator is a critical aspect. Applications should therefore include plans for engaging an evaluator, who would be expected to provide an evaluation of the project design, project performance at milestones, and the final outcomes. It is important, therefore, that relevant measurement criteria needed for evaluation are considered during the project design. If evaluations are to be done both in the U.S. and Russian Federation, the plan should indicate how this would be done jointly and cooperatively.

The quality of the evaluation plan described in the application will be assessed using the following EDGAR criteria, Section 75.210 (h).

- (i) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project.
- (ii) The extent to which the methods of evaluation are appropriate to the context within which the project operates.
- (iii) The extent to which the methods of evaluation provide for examining the effectiveness of project implementation strategies.
- (iv) 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.
- (v) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes.
- (vi) The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings.

As a general guide, to meet the objectives of the U.S. Russia program, the Secretary expects that the evaluation plan and methods should:

- Be comprehensive and relevant to the project context and goals.
- Be able to assess the effectiveness of project plan and implementation strategies.
- Identify objective performance measures that would provide qualitative and quantitative data on project outcomes.
- Be capable of providing timely guidance and performance feedback based on periodic assessment of project plan and outcomes, both for evaluating progress as well as for quality assurance.
- Provide an assessment if the project strategies and design can be replicated or transferred to a different setting.

Submission of Applications

Applicants may submit more than one proposal and may accept more than one award for different projects. Selection of funded projects will be determined on the merits of each proposal.

The U.S. applicants must submit applications through Grants.gov, an Internet-based electronic system. If you wish to request an exemption from an electronic submission, note the conditions listed in the section 'Grants.gov Submission Procedures and Tips for Applicants'.

A detailed description of Grants.gov is included in this application package. Please acquaint yourself with the Grants.gov system early and register with Grants.gov immediately if you are not already registered. (The time required to complete registration can take 5 or more business days.) Also allow sufficient time to complete and submit your application before the closing date. If you encounter difficulties, you may contact the Grants.gov Contact Center on 1-800-518-4726 or by email at support@grants.gov.

Instructions for using Grants.gov are given in the next section, "Grants.gov Submission Procedures and Tips for Applicants". Instructions for submitting standard forms and other documents required in this application package are given in section 'Instructions for Completing the U.S.-Russia Application Package' starting on page 52.

The closing date for receiving applications is July 7, 2009, 4.30.00 PM Washington DC time. Applications not received through Grants.gov by the closing date will not be eligible for funding.

Contact Information

U.S. applicants seeking further information should contact the U.S.-Russia Program Coordinator:

Krish Mathur, Ph.D.
U.S.-Russia Program Manager
U.S. Department of Education
FIPSE, Office of Postsecondary Education
1990 K Street, NW, Room 6155
Washington, D.C. 20006-8544
Tel: 202-502-7512
Fax: 202-502-7877
Email: Krish.Mathur@ed.gov

IMPORTANT – PLEASE READ FIRST

U.S. Department of Education

Grants.gov Submission Procedures and Tips for Applicants

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

ATTENTION

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov. We strongly recommend that you review these details on www.Grants.gov before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Applicants will no longer need to use the PureEdge software to create or submit an application. If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

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

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

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

If the date/time received is later than 4:30:00 p.m. Washington, D.C. time, on the deadline date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is

complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: http://www.grants.gov/applicants/applicant_faqs.jsp#54. For more detailed information on why an application may be rejected, you can review Application Error Tips <http://www.grants.gov/section910/ApplicationErrorTips.pdf>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

Submission Problems – What should you do?

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

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

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

Helpful Hints When Working with Grants.gov

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

Please go to http://www.grants.gov/applicants/applicant_help.jsp 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

If you do not have a Windows operating System, you may need to use the Citrix solution discussed on Grants.gov to submit an application using Grants.gov. For additional information, review the FAQs for non-windows users http://www.grants.gov/help/download_software.jsp. **If electronic submission is required and you are concerned about your ability to submit electronically as a non-windows user, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

Attaching Files – Additional Tips

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

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

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:

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 84.116S)
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 84.116S)
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

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

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

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

Late Applications

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

Notice Inviting Applications for New Awards

4000-01-U

DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

Fund for the Improvement of Postsecondary Education, FIPSE- Special Focus Competition: The U.S.-Russia Program: Improving Research and Educational Activities in Higher Education.

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

NOTE: This notice supersedes the announcement published on April 29, 2009 (74 FR 19540-19543), which instructed applicants to apply for grants using the Department of Education's e-Grant system. This notice instructs applicants to apply for grants, under this program, via the government wide Grants.gov system.

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

Dates:

Applications Available: May 8, 2009.

Deadline for Transmittal of Applications: July 7, 2009.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The U.S.-Russia Program encourages cooperative education programs between institutions of higher education (IHEs) in the Russian Federation and the United States of America. The objective of this program is to provide grants that demonstrate partnerships between Russian and American IHEs that contribute to the development and promotion of educational opportunities between the two nations. The aim is to use the educational content as the vehicle for learning languages, cultural appreciation, sharing knowledge, and forming long-term relationships between the two countries. In the context of the modern international society and a global economy, an understanding of the cultural context plays a vital role in education and training.

Thus, this program is designed to support the formation of educational consortia of American and Russian IHEs to encourage mutual socio-cultural-linguistic cooperation; the joint development of curricula, educational materials, and other types of educational and methodological activities; and related educational student and staff mobility (exchanges).

Russian institutions will apply to The Russian Ministry of Education and Science for funding.

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

Invitational Priority: For FY 2009, this priority is an invitational priority. Under 34 CFR 75.105(c)(1), we do not give an application that meets this invitational priority a competitive or absolute preference over other applications.

Applicants must select one academic discipline as the subject area for their grant proposal in this U.S.-Russia competition. For the year 2009, the Department and the Russian Ministry have jointly decided to make up to three awards, as follows:

- (A) Environmental Science Studies – No more than one award.
- (B) Biotechnology - No more than one award.
- (C) Any discipline, other than (A) and (B)- No more than one award.

Applications are invited from institutions of higher education with the capacity to contribute to a collaborative project in the areas listed with a Russian institution. The consortium partners, through promoting the study of and communication in foreign languages, are expected to increase awareness and understanding of the two cultures, and to strengthen the professional and scholarly ties between the two countries.

The Russian institutions, as part of a U.S.-Russian consortium, will receive separate but equivalent funding from the Russian Ministry of Education and Science.

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

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

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

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

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$400,000.

Estimated Range of Awards: \$100,000-\$150,000.

Estimated Average Size of Awards: \$133,000.

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

Estimated Number of Awards: 3.

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: You can obtain an application package via the Internet or from the Education Publications Center (ED Pubs). To obtain a copy via the Internet, use the following address: <http://e-grants.ed.gov>. To obtain a copy from ED Pubs, write, fax, or call the following: Education Publications Center, P.O. Box 1398, Jessup, MD 20794-1398. Telephone, toll free: 1-877-433-7827. FAX: (301) 470-1244. If you use a telecommunications device for the deaf (TDD), call, toll free: 1-877-576-7734.

You can contact ED Pubs at its Web site, also: <http://www.ed.gov/pubs/edpubs.html> or at its email address: edpubs@inet.ed.gov.

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

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

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

Page Limit: The application narrative [Part III of the application] is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the application narrative [Part III] to the equivalent of no more than 20 typed 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 and Arial Narrow) will not be accepted.

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

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

3. Submission Dates and Times:

Applications Available: May 8, 2009.

Deadline for Transmittal of Applications: July 7, 2009.

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

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

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

6. 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 U.S.-Russia program: Improving Research and Educational Activities in Higher Education, CFDA Number 84.116S, 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 U.S. - Russia program at www.Grants.gov. You must search for the downloadable application package for this program by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.116, not 84.116S).

Please note the following:

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30:00 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 program to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov at <http://e-Grants.ed.gov/help/GrantsgovSubmissionProcedures.pdf>.
- To submit your application via Grants.gov, you must complete all steps in the Grants.gov registration process (see www.grants.gov/applicants/get_registered.jsp). These steps include (1) registering your organization, a multi-part process that includes registration with the Central Contractor Registry (CCR); (2) registering yourself as an Authorized Organization Representative (AOR); and (3) getting authorized as an AOR by your organization. Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see www.grants.gov/section910/Grants.govRegistrationBrochure.pdf). You also must provide on your application the same D-U-N-S Number used with this registration. Please note that the registration process may take five or more business days to complete, and you must have completed all registration steps to allow you to submit successfully an application via Grants.gov. In addition, you will need to update your CCR registration on an annual basis. This may take three or more business days to complete.
- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.
- You must submit all documents electronically, including all information you typically provide on the following forms: Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.
- You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password-protected file, we will not review that material.
- Your electronic application must comply with any 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 prevents 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: Krish Mathur, U.S. Department of Education, 1990 K Street, NW., room 6155, Washington, DC 20006-8544. FAX: (202) 502-7877.

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

b. **Submission of Paper Applications by Mail.**

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

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

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 84.116S)
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

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

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

(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and

(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

V. Application Review Information

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

VI. Award Administration Information

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

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

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

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

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

4. Performance Measures: Under the Government Performance and Results Act (GPRA), the Department will use the following measures to assess the performance of this program:

- (a) The percentage of FIPSE grantees reporting project dissemination to others.
- (b) The percentage of FIPSE projects reporting institutionalization on their home campuses.

If funded, you will be asked to collect and report data on these measures in your project's annual performance report (34 CFR 75.590). Applicants are also advised to consider these two measures in conceptualizing the design, implementation, and evaluation of the proposed project because of their importance in the application review process. Collection of data on these measures should be part of the project evaluation plan, along with any measures of progress on goals and objectives that are specific to your project.

VII. Agency Contacts

For Further Information Contact: Krish Mathur, FIPSE – Fund for the Improvement of Postsecondary Education, 1990 K Street, NW., room 6155, Washington, DC 20006-8544. Telephone: (202) 502-7512 or by e-mail: krish.mathur@ed.gov.

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

VIII. 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. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at: www.gpoaccess.gov/nara/index.html.

Delegation of Authority: The Secretary of Education has delegated authority to Daniel T. Madzellan, Director, Forecasting and Policy Analysis for the Office of Postsecondary Education, to perform the functions of the Assistant Secretary for Postsecondary Education.

Dated: May 5, 2009

/signed/

Daniel T. Madzellan,
Director,
Forecasting and Policy
Analysis.

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.

Intergovernmental Review of Federal Programs

Executive Order 12372 (Intergovernmental Review of Federal Programs)

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

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

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

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

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

Proof of mailing will be determined on the same basis as applications (see 34 CFR §75.102). Recommendations or comments may be hand-delivered until 4:30.00 p.m. (Washington DC 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.*

Government Performance and Results Act (GPRA)

What is GPRA?

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

FIPSE performance is focused on

- 1) the extent to which funded projects are being replicated—i.e., adopted or adapted—by others; and
- 2) the manner in which projects are being institutionalized and continued after grant funding.

These two results constitute FIPSE's indicators of the success of our program. Consequently, applicants for FIPSE grants are advised to give careful consideration to these two outcomes in conceptualizing the design, implementation, and evaluation the proposed project. Consideration of these outcomes is an important part of many of the review criteria discussed below. Thus, it is important to the success of your application that you include these objectives and their measure. If funded, you will be asked to collect and report data from your project on these indicators.

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

General Education Provisions Act (GEPA) Section 427

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

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

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

Applicants are required to address this provision by attaching a statement. 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.

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

The application package consists of standard forms, assurances, and narratives. These are listed in three parts below. All of the forms are found on Grants.gov.

Part I: Standard Forms

1. Application for Federal Assistance – SF 424
2. Department of Education Standard Budget Information – ED 524
3. Department of Education Supplemental Information Form for SF 424

Part II: Assurances, Certifications, and Survey Forms

1. Standard Assurances for Non-Construction Programs – SF 424B
2. Disclosure of Lobbying Activities – SF LLL
3. U.S. Department of Education Section 427 of General Education Provisions Act (GEPA)
4. Certification Regarding Lobbying (formerly ED Form 80-0013)
5. Survey on Ensuring Equal Opportunity for Applicants

Part III: Narrative Attachments

1. Project Abstract (1-page limit)
2. Project Narrative (20-page limit)
3. Other attachments: Information about team members (resumes), MOU or letters of agreement among consortium partners, project timeline, and other supporting documents (all packaged in a single file).
4. Budget Narrative and, if applicable, letters of financial support

Electronic submission requires that narratives and other files be attached to the “Attachment Forms” as:

- One-page Project Abstract must be attached to the “Department of Education Abstract Form”
- Project Narrative must be attached to the “Program Narrative Attachment Form”
- Other attachments must be attached to the “Other Attachment Form”
- Budget Narrative and, if applicable, Letters of Financial Support must be attached to the “Budget Narrative Attachment Form”

NOTES:

- Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although this form accepts attachments, the Department of Education will only review materials/files attached to the attachment forms listed above.
- Applicants must complete the SF 424 form in Part I first because some of the information you provide here is automatically inserted into other sections of Grants.gov.
- Only the Department of Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf) should be used as attachments. Also, please do not upload any password protected files to your application.

Detailed instructions about these forms are given in the sections that follow.

Instructions for Standard Forms

The following instructions are attached.

- Instructions for the SF 424
- Instructions for the Department of Education Supplemental Form for the SF 424
- Definitions for the Department of Education Supplemental Form for the SF 424
- Instructions for Completion of Disclosure of Lobbying Activities (SF LLL)
- Survey Instructions on Ensuring Equal Opportunity for Applicants

Instructions for SF 424 – Application for Federal Assistance

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

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

Item	Entry:	Item	Entry:
1.	<p>Type of Submission: (Required): Select one type of submission in accordance with agency instructions. Preapplication Application Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.</p>	10.	<p>Name Of Federal Agency: (Required) Enter the name of the Federal agency from which assistance is being requested with this application.</p>
		11.	<p>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.</p>
2.	<p>Type of Application: (Required) Select one type of application in accordance with agency instructions. New – An application that is being submitted to an agency for the first time. Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. Revision - Any change in the Federal Government’s financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify)</p>	12.	<p>Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.</p>
		13.	<p>Competition Identification Number/Title: Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.</p>
		14.	<p>Areas Affected By Project: List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.</p>
3.	<p>Date Received: Leave this field blank. This date will be assigned by the Federal agency.</p>	15.	<p>Descriptive Title of Applicant’s Project: (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing</p>

4.	Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or applicant’s control number, if applicable.		project location (e.g., construction or real property projects). For applications, attach a summary description of the project.
5a.	Federal Entity Identifier: Enter the number assigned to your organization by the Federal Agency, if any.	16.	Congressional Districts Of: (Required) 16a. Enter the applicant’s Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5 th district, CA-012 for California 12 th district, NC-103 for North Carolina’s 103 rd 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.
5b.	Federal Award Identifier: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		
6.	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 name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.	17.	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 the Grants.gov website.	19.	Is Application Subject to Review by State Under Executive Order 12372 Process? 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
	d. Address: Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).		
	e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.		

	<p>f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>		submitted to the State.																																																												
		20.	<p>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 debt include delinquent audit disallowances, loans and taxes. If yes, include an explanation on the continuation sheet.</p>																																																												
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="1" data-bbox="277 653 829 1694"> <tr> <td data-bbox="277 653 548 688">State Government</td> <td data-bbox="548 653 829 688">Nonprofit with 501C3</td> </tr> <tr> <td data-bbox="277 688 548 724">County Government</td> <td data-bbox="548 688 829 724">IRS Status (Other than</td> </tr> <tr> <td data-bbox="277 724 548 760">City or Township</td> <td data-bbox="548 724 829 760">Institution of Higher</td> </tr> <tr> <td data-bbox="277 760 548 795">Government</td> <td data-bbox="548 760 829 795">Education)</td> </tr> <tr> <td data-bbox="277 795 548 831">Special District</td> <td data-bbox="548 795 829 831">Nonprofit without</td> </tr> <tr> <td data-bbox="277 831 548 867">Government</td> <td data-bbox="548 831 829 867">501C3 IRS Status</td> </tr> <tr> <td data-bbox="277 867 548 903">Regional Organization</td> <td data-bbox="548 867 829 903">(Other than Institution</td> </tr> <tr> <td data-bbox="277 903 548 938">U.S. Territory or</td> <td data-bbox="548 903 829 938">of Higher Education)</td> </tr> <tr> <td data-bbox="277 938 548 974">Possession</td> <td data-bbox="548 938 829 974">Private Institution of</td> </tr> <tr> <td data-bbox="277 974 548 1010">Independent School</td> <td data-bbox="548 974 829 1010">Higher Education</td> </tr> <tr> <td data-bbox="277 1010 548 1045">District</td> <td data-bbox="548 1010 829 1045">Individual</td> </tr> <tr> <td data-bbox="277 1045 548 1081">Public/State</td> <td data-bbox="548 1045 829 1081">For-Profit Organization</td> </tr> <tr> <td data-bbox="277 1081 548 1117">Controlled Institution</td> <td data-bbox="548 1081 829 1117">(Other than Small</td> </tr> <tr> <td data-bbox="277 1117 548 1152">of Higher Education</td> <td data-bbox="548 1117 829 1152">Business)</td> </tr> <tr> <td data-bbox="277 1152 548 1188">Indian/Native</td> <td data-bbox="548 1152 829 1188">Small Business</td> </tr> <tr> <td data-bbox="277 1188 548 1224">American Tribal</td> <td data-bbox="548 1188 829 1224">Hispanic-serving</td> </tr> <tr> <td data-bbox="277 1224 548 1260">Government</td> <td data-bbox="548 1224 829 1260">Institution</td> </tr> <tr> <td data-bbox="277 1260 548 1295">(Federally</td> <td data-bbox="548 1260 829 1295">Historically Black</td> </tr> <tr> <td data-bbox="277 1295 548 1331">Recognized)</td> <td data-bbox="548 1295 829 1331">Colleges and</td> </tr> <tr> <td data-bbox="277 1331 548 1367">Indian/Native</td> <td data-bbox="548 1331 829 1367">Universities (HBCUs)</td> </tr> <tr> <td data-bbox="277 1367 548 1402">American Tribal</td> <td data-bbox="548 1367 829 1402">Tribally Controlled</td> </tr> <tr> <td data-bbox="277 1402 548 1438">Government (Other</td> <td data-bbox="548 1402 829 1438">Colleges and</td> </tr> <tr> <td data-bbox="277 1438 548 1474">than Federally</td> <td data-bbox="548 1438 829 1474">Universities (TCCUs)</td> </tr> <tr> <td data-bbox="277 1474 548 1509">Recognized)</td> <td data-bbox="548 1474 829 1509">Alaska Native and</td> </tr> <tr> <td data-bbox="277 1509 548 1545">Indian/Native</td> <td data-bbox="548 1509 829 1545">Native Hawaiian</td> </tr> <tr> <td data-bbox="277 1545 548 1581">American Tribally</td> <td data-bbox="548 1545 829 1581">Serving Institutions</td> </tr> <tr> <td data-bbox="277 1581 548 1617">Designated</td> <td data-bbox="548 1581 829 1617">Non-domestic (non-US)</td> </tr> <tr> <td data-bbox="277 1617 548 1652">Organization</td> <td data-bbox="548 1617 829 1652">Entity</td> </tr> <tr> <td data-bbox="277 1652 548 1688">Public/Indian Housing</td> <td data-bbox="548 1652 829 1688">Other (specify)</td> </tr> <tr> <td data-bbox="277 1688 548 1701">Authority</td> <td data-bbox="548 1688 829 1701"></td> </tr> </table>	State Government	Nonprofit with 501C3	County Government	IRS Status (Other than	City or Township	Institution of Higher	Government	Education)	Special District	Nonprofit without	Government	501C3 IRS Status	Regional Organization	(Other than Institution	U.S. Territory or	of Higher Education)	Possession	Private Institution of	Independent School	Higher Education	District	Individual	Public/State	For-Profit Organization	Controlled Institution	(Other than Small	of Higher Education	Business)	Indian/Native	Small Business	American Tribal	Hispanic-serving	Government	Institution	(Federally	Historically Black	Recognized)	Colleges and	Indian/Native	Universities (HBCUs)	American Tribal	Tribally Controlled	Government (Other	Colleges and	than Federally	Universities (TCCUs)	Recognized)	Alaska Native and	Indian/Native	Native Hawaiian	American Tribally	Serving Institutions	Designated	Non-domestic (non-US)	Organization	Entity	Public/Indian Housing	Other (specify)	Authority		21.	<p>Authorized Representative: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p>
State Government	Nonprofit with 501C3																																																														
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*Public reporting burden for this collection of information is estimated to average **60 minutes per response**, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.*

Instructions for Department of Education Supplemental Information for SF 424

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

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

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

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

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

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

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

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

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

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

Paperwork Burden Statement. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 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

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 SF LLL, Disclosure of Lobbying Activities

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

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

Instructions for Survey 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.
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Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** The Agency Contact listed in this grant application package.

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

Application Checklist

The application must have all of the following documents:

1. Application for Federal Assistance – SF 424
2. Department of Education Standard Budget Information – ED 524
3. Department of Education Supplemental Information Form for SF 424
4. Standard Assurances for Non-Construction Programs – SF 424B
5. Disclosure of Lobbying Activities – SF LLL
6. U.S. Department of Education Section 427 of General Education Provisions Act (GEPA)
7. Certification Regarding Lobbying (formerly ED Form 80-0013)
8. Survey on Ensuring Equal Opportunity for Applicants
9. Project Abstract (1-page limit)
10. Project Narrative (20-page limit)
11. Other attachments: Information about team members (resumes), MOU or letters of agreement among consortium partners, project timeline, and other supporting documents. (preferably packaged as one file)
12. Budget Narrative and, if applicable, letters of financial support

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1840-0790. The time required to complete this information collection is estimated to **average 30 hours** for the project director per application, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Fund for the Improvement of Postsecondary Education, Office of Postsecondary Education, U.S. Department of Education, 1990 K Street, N.W., 6th Floor, Washington, D.C. 20202-4651.

OMB No. 1840-0790

Expiration Date: 01-2011