U.S. DEPARTMENT OF EDUCATION
Office of Postsecondary Education
Washington, D.C. 20202
www2.ed.gov/programs/gaann/index.html

FY 2021
APPLICATION FOR GRANTS UNDER THE
GRADUATE ASSISTANCE IN AREAS OF
NATIONAL NEED (GAANN) PROGRAM
CFDA NO. 84.200A

Form Approved
OMB No. 1840-0604, Expiration Date 07/31/2021

DATED MATERIAL – OPEN IMMEDIATELY

CLOSING DATE: March 1, 2021
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Dear Applicant:

We are pleased to provide the application package for the fiscal year (FY) 2021 Graduate Assistance in Areas of National Need (GAANN) Program grant competition, which contains the information and instructions needed to submit a complete application to the U.S. Department of Education (Department) through Grants.gov.

The GAANN Program provides fellowships, through academic departments and programs of institutions of higher education, to assist graduate students with excellent records who demonstrate financial need and plan to pursue the highest degree available in their course of study at the institution in a field designated as an area of national need.

Within the FY 2021 absolute priority found in the Notice Inviting Applications and this application package, the Department will only consider an application that addresses this absolute priority and we sincerely hope applicants will offer innovative solutions for addressing a national need. The Secretary is only interested in receiving grant applications in one or more of the academic areas designated as an area of national need. In addition, for the FY 2021 competition there is a New Potential Grantee competitive preference priority.

Please review the entire application package carefully before preparing and submitting an application. Lastly, please do not rely upon any information that is inconsistent with the guidance contained within the Federal Register Notice.

Thank you for your interest in the GAANN Program. We look forward to receiving your application.

Sincerely,

Christopher J. McCaghren, Ed.D.
Acting Assistant Secretary for Postsecondary Education
1. **GAANN applications for FY 2021 must be submitted electronically using Grants.gov.** You are urged to acquaint yourself with the requirements of Grants.gov early as the registration procedures may require 5 or more days to complete. A more thorough discussion is included later in this application package. Grants.gov is accessible through its portal page at: https://www.Grants.gov. The requirements for obtaining an exception to the electronic submission requirement are included in the Notice for FY 2021. If you think you may need an exception, you are urged to review the requirements promptly.

2. **Register Early:**

   Grants.gov registration involves many steps including registration on SAM (www.sam.gov) which may take approximately one week to complete, but could take upwards of several weeks to complete, depending upon the completeness and accuracy of the data entered into the SAM database by an applicant. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the registration steps are complete. Please note that once your SAM registration is active, it will take 24-48 hours for the information to be available in Grants.gov.

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

4. Please note that you must submit your application by 11:59:59 p.m. (Eastern Time) on or before the application deadline date. Late applications will not be accepted. We suggest that you submit your application several days before the deadline. The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date and time.

5. **Updated Grants.gov Upload Requirements:**

   All attachments must be in a Portable Document Format (PDF) or Microsoft Word. Other types of files will not be accepted. Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. It is important to note where you are saving the Grants.gov file on your computer. You will need to log on to Grants.gov to upload and submit the application. You must provide the DUNS number that was used when your organization registered with the System for Award Management (SAM).

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

   Support Desk e-Mail: support@Grants.gov
   Support Desk Telephone: (800) 518-4726
   Contact Telephone Hours: 24 hours, 7 days a week, except Federal holidays
   Online Web Site: https://www.Grants.gov
   Also, refer to the “U.S. Department of Education Grants.gov Submission Procedures and Tips for Applicants” section found in this application booklet.
You are reminded that the Notice published in the Federal Register is the official document, and that you should not rely upon any information that is inconsistent with the guidelines contained within the official document.

6. **Absolute Priority:**

The absolute priority is selected from the list of academic areas in the Appendix to 648 of the GAANN program regulations.

The Department will only consider applications that address the absolute priority as stated in the Notice. The FY 2021 designated areas of national need under the GAANN program competition are as follows:

A. For the following academic areas, the project must provide fellowships for programs that lead either to a Professional Science Masters (PSM) degree, Master’s degree, or a doctoral degree, whichever is the highest degree awarded in the area of need at the institution.

1. Computer and Information Sciences. A degree or a degree with specialization in one or more of the following areas:
   - Cybersecurity (the interdiscipline of “11.01 Computer and Information Sciences, General” and “11.05 Computer Systems Analysis”).
   - Secure computer programming (the interdiscipline of “11.01 Computer and Information Sciences, General” and “11.02 Computer Programming”).
   - Artificial Intelligence (the interdiscipline of “11.02 Computer Programming,” “11.04 Information Sciences and Systems,” and “14.09 Computer Engineering”).

2. (14.) Engineering.
   
   14.01 Engineering, General
   14.02 Aerospace, Aeronautical, and Astronautical Engineering
   14.03 Agricultural Engineering
   14.04 Architectural Engineering
   14.05 Bioengineering and Biomedical Engineering
   14.06 Ceramic Sciences and Engineering
   14.07 Chemical Engineering
   14.08 Civil Engineering
   14.09 Computer Engineering
   14.10 Electrical, Electronic, and Communications Engineering
   14.11 Engineering Mechanics
   14.12 Engineering Physics
   14.13 Engineering Science
   14.14 Environmental/Environmental Health Engineering
   14.15 Geological Engineering
   14.16 Geophysical Engineering
   14.17 Industrial/Manufacturing Engineering
   14.18 Materials Engineering
   14.19 Mechanical Engineering
   14.20 Metallurgical Engineering
   14.21 Mining and Mineral Engineering
   14.22 Naval Architecture and Marine Engineering
   14.23 Nuclear Engineering
   14.24 Ocean Engineering
   14.25 Petroleum Engineering
   14.27 Systems Engineering
   14.28 Textile Sciences and Engineering
   14.29 Engineering Design
   14.30 Engineering/Industrial Management
   14.31 Materials Science
   14.32 Polymer/Plastics Engineering
B. For the following academic areas, the project must provide fellowships in programs that lead either to a PSM degree, master’s degree, or a doctoral degree, whichever is the highest degree awarded in the area of need at the institution. Students are planning a career in teaching or research.

- 26. Biological Sciences/Life Sciences.
  26.01 Biology, General
  26.02 Biochemistry and Biophysics
  26.03 Botany
  26.04 Cell and Molecular Biology
  26.05 Microbiology/Bacteriology
  26.06 Miscellaneous Biological Specializations
  26.07 Zoology

- 42. Psychology.
  42.01 Psychology
  42.02 Clinical Psychology
  42.03 Cognitive Psychology and Psycholinguistics
  42.04 Community Psychology
  42.05 Community Mental Health Psychology
  42.06 Counseling Psychology
  42.07 Developmental and Child Psychology
  42.08 Experimental Psychology
  42.09 Industrial and Organizational Psychology
  42.10 Quantitative Psychology and Measurement
  42.11 Physiological Psychology/Psychobiology
  42.12 Psychometrics
  42.13 Psychophysiology
  42.14 Psychology, General
  42.15 Psychology, Social
  42.16 Social Psychology

- 51.16 Nursing. Applications from nursing programs must focus on the preparation of nurse scholars for educational leadership roles. Graduates will become the teachers preparing students for careers in nursing and will disseminate to the public new knowledge gained from disciplined inquiry related to nursing and nursing education.
  
  **Note:** Not for clinical degrees.

7. The FY 2021 GAANN competition has one competitive preference priority:

**Applications from New Potential Grantees (1 point)**

Under this priority, an applicant must demonstrate one or more of the following:

The applicant does not, as of the deadline date for submission of applications, have an active grant, including through membership in a group application submitted in accordance with 34 CFR 75.127–75.129, under the program from which it seeks funds.

For the purpose of this priority, a grant or contract is active until the end of the grant’s or contract’s project or funding period, including any extensions of those periods that extend the grantee’s or contractor’s authority to obligate funds.

8. The GAANN Abstract:

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

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

**Note:** Information provided in the GAANN one-page abstract must be attached to the “ED Abstract Form” in the Grants.gov system. Further instructions are provided in the
“Instructions for Completing the Project Narrative” section of the application package about the upload requirements and formatting the abstract.

9. Program Specific Forms:

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

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

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

  **Note**: The Budget Narrative (which is a part of the Selection Criteria) should be included in the “Project Narrative Attachment Form.”

10. Annual Performance Requirements:

If you receive a FY 2021 new grant award, you will be required to submit annual and final performance reports during the three-year funding cycle using the GAANN Performance Reporting System. This online system collects narratives and data about funded projects to enable program officers to determine if a grantee is making substantial progress toward meeting approved project objectives. If you wish to view the performance report currently required, visit the GAANN Web site at:


Please be advised that the report is for informational purposes only and does not reflect the actual reporting instrument that you will use, should you receive a FY 2021 grant award.

11. Two years after the expiration of the grant:

Grantees are required to submit a supplemental performance report. The purpose of this supplement to the Final Performance Report is to identify and report the educational outcome of each GAANN fellow.
IMPORTANT – PLEASE READ FIRST

U.S. Department of Education

Grants.gov Submission Procedures and Tips for Applicants

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

Browser Support

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

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

ATTENTION – Workspace, Adobe Forms and PDF Files

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

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

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

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

a. Adobe Reader: If you decide not to apply by filling out web forms you can download individual PDF forms in Workspace. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at: https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html

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

c. Complete SF-424 Fields First: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS Number. Once it is completed, the information will transfer to the other forms.
3) Submit a Workspace: An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.

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

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

Helpful Reminders

1) REGISTER EARLY – Grants.gov registration involves many steps including registration on SAM (www.sam.gov) which may take approximately one week to complete, but could take upwards of several weeks to complete, depending upon the completeness and accuracy of the data entered into the SAM database by an applicant. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. Please note that once your SAM registration is active, it will take 24-48 hours for the information to be available in Grants.gov, and before you can submit an application through Grants.gov. For detailed information on the Registration Steps, please go to: http://www.grants.gov/web/grants/register.html [Note: Your organization will need to update its SAM registration annually.]

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

2) SUBMIT EARLY – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully to Grants.gov before 11:59:59 p.m. Eastern Time on the deadline date.

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

3) VERIFY SUBMISSION IS OK – You will want to verify that Grants.gov received your application submission on time and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 11:59:59 p.m. Eastern Time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned. Once the Department of Education receives your application from Grants.gov, an Agency Tracking Number (PR/award number) will be assigned to your application and will be available for viewing on Grants.gov’s Track My Application link.
If the date/time received is later than 11:59:59 p.m. Eastern Time, on the deadline date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: [http://www.grants.gov/web/grants/applicants/encountering-error-messages.html](http://www.grants.gov/web/grants/applicants/encountering-error-messages.html). For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Software Tip Sheet at: [http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html](http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html). If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

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

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or email at: [mailto:support@grants.gov](mailto:support@grants.gov) or access the Grants.gov Self-Service Knowledge Base web portal at: [https://grants-portal.psc.gov/Welcome.aspx?pt=Grants](https://grants-portal.psc.gov/Welcome.aspx?pt=Grants)

If electronic submission is required, you must submit an electronic application before 11:59:59 p.m. Eastern Time, unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date. (See the Federal Register notice for detailed instructions.)

**Helpful Hints When Working with Grants.gov**


**Dial-Up Internet Connections**

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

**Attaching Files – Additional Tips**

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

- When you submit your application electronically, you must upload any narrative sections and all other attachments to your application as files in either Portable Document Format (PDF) or Microsoft Word. Although applicants have the option of uploading any narrative sections and all other attachments to their application in either PDF or Microsoft Word, we **recommend** applicants submit all documents as read-only flattened PDFs, meaning any fillable PDF files must be saved and submitted as non-fillable PDF files and not as interactive or fillable PDF.
files, to better ensure applications are processed in a more timely, accurate, and efficient manner.

Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.

When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded file names must be fewer than 50 characters, and, in general, applicants should not use any special characters. However, Grants.gov does allow for the following UTF-8 characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.

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

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

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

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

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

Applications Submitted Electronically

You must submit your grant application through the Internet using the software provided on the Grants.gov Web site (http://www.grants.gov) by 11:59:59 p.m. (Eastern Time) on or before the deadline date.

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

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

Submission of Paper Applications by Mail:

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

U.S. Department of Education
Application Control Center
Attention: 84.200A
LBJ Basement Level 1,
400 Maryland Avenue SW,
Room 268-24
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.

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

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

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
Attention: CFDA Number 84.200A
400 Maryland Avenue, SW
Room 268-24
Washington, DC 20202-4260

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.

**Application Control Center Hours of Operation**

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

**Late Applications**

If your application is late, we will notify you that we will not consider the application.
Applications for New Awards; Graduate Assistance in Areas of National Need

AGENCY: Office of Postsecondary Education, Department of Education.

ACTION: Notice.

SUMMARY: The Department of Education (Department) is issuing a notice inviting applications for new awards for fiscal year (FY) 2021 for the Graduate Assistance in Areas of National Need (GAANN) Program, Assistance Listing Number 84.200A. This notice relates to the approved information collection under OMB control number 1840-0604.

DATES:


Deadline for Transmittal of Applications: March 1, 2021.


ADDRESSES: For the addresses for obtaining and submitting an application, please refer to our Common Instructions for Applicants to Department of Education Discretionary Grant Programs, published in the Federal Register on February 13, 2019 (84 FR 3768), and available at www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf.

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

SUPPLEMENTARY INFORMATION:

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The GAANN Program provides grants to academic departments and programs of institutions of higher education (IHEs) to support graduate fellowships for students with excellent academic records who demonstrate financial need and plan to pursue the highest degree available in their course of study at the institution.

Priorities: This notice contains one absolute priority and one competitive preference priority. In accordance with 34 CFR 75.105(b)(2)(ii), the absolute priority is from the regulations for this program (34 CFR 648.33(a) and Appendix to part 648--Academic Areas). Please note that the codes
next to selected academic areas under the absolute priority are from the Appendix to part 648—Academic Areas of the program regulations and can be found in the application booklet as well as on www.ecfr.gov/cgi-bin/text-idx?SID=f8ad0cf4f75cd9841b2bc1adb98c5739&mc=true&node=pt34.3.648&rgn=div5. The competitive preference priority is from the notice of final administrative priorities for discretionary grant programs published in the Federal Register on March 9, 2020 (85 FR 13640) (Administrative Priorities).

**Absolute Priority:** For FY 2021 and any subsequent year for which we make awards from the list of unfunded applications from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c)(3), we consider only applications that meet this priority.

The absolute priority is:

**Graduate Assistance in Areas of National Need.**

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

A. For the following academic areas, the project must provide fellowships for programs that lead either to a Professional Science Master’s (PSM) degree, master’s degree or a doctoral degree, whichever is the highest degree awarded in the area of need at the institution.

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

   - Cybersecurity (the interdiscipline of “11.01 Computer and Information Sciences, General” and “11.05 Computer Systems Analysis”).
   - Secure computer programming (the interdiscipline of “11.01 Computer and Information Sciences, General” and “11.02 Computer Programming”).
   - Artificial Intelligence (the interdiscipline of “11.02 Computer Programming,” “11.04 Information Sciences and Systems,” and “14.09 Computer Engineering”).


   14.01 Engineering, General

   14.02 Aerospace, Aeronautical, and Astronautical Engineering
14.03 Agricultural Engineering
14.04 Architectural Engineering
14.05 Bioengineering and Biomedical Engineering
14.06 Ceramic Sciences and Engineering
14.07 Chemical Engineering
14.08 Civil Engineering
14.09 Computer Engineering
14.10 Electrical, Electronic, and Communications Engineering
14.11 Engineering Mechanics
14.12 Engineering Physics
14.13 Engineering Science
14.14 Environmental/Environmental Health Engineering
14.15 Geological Engineering
14.16 Geophysical Engineering
14.17 Industrial/Manufacturing Engineering
14.18 Materials Engineering
14.19 Mechanical Engineering
14.20 Metallurgical Engineering
14.21 Mining and Mineral Engineering
14.22 Naval Architecture and Marine Engineering
14.23 Nuclear Engineering
14.24 Ocean Engineering
14.25 Petroleum Engineering
14.27 Systems Engineering
14.28 Textile Sciences and Engineering
14.29 Engineering Design
14.30 Engineering/Industrial Management
14.31 Materials Science
14.32 Polymer/Plastics Engineering

B. For the following academic areas, the project must provide fellowships in programs that lead either to a PSM degree, master’s degree, or a doctoral degree, whichever is the highest degree awarded in the area of need at the institution. Students pursuing a degree in one of these areas are planning a career in either teaching or research.

- 26. Biological Sciences/Life Sciences.
  26.01 Biology, General
  26.02 Biochemistry and Biophysics
  26.03 Botany
  26.04 Cell and Molecular Biology
  26.05 Microbiology/Bacteriology
  26.06 Miscellaneous Biological Specializations
  26.07 Zoology

- 42. Psychology.
  42.01 Psychology
  42.02 Clinical Psychology
42.03 Cognitive Psychology and Psycholinguistics
42.04 Community Psychology
42.06 Counseling Psychology
42.07 Developmental and Child Psychology
42.08 Experimental Psychology
42.09 Industrial and Organizational Psychology
42.11 Physiological Psychology/Psychobiology
42.16 Social Psychology
42.17 School Psychology

• 51.16 Nursing. Applications from nursing programs must focus on the preparation of nursing scholars for educational leadership roles. Graduates will become teachers preparing students for careers in nursing and will disseminate to the public new knowledge gained from disciplined inquiry related to nursing and nursing education.

Note: Not for clinical degrees.

Competitive Preference Priority: For FY 2021 and any subsequent year in which we make awards from the list of unfunded applications from this competition, this priority is a competitive preference priority. Under 34 CFR
75.105(c)(2)(i), we award an additional one point to an application that meets this priority.

This priority is:

Applications from New Potential Grantees (1 point).

Under this priority, an applicant must demonstrate that the applicant does not, as of the deadline date for submission of applications, have an active grant, including through membership in a group application submitted in accordance with 34 CFR 75.127–75.129, under the program from which it seeks funds.

Note: For the purpose of this priority, a grant or contract is active until the end of the grant's or contract's project or funding period, including any extensions of those periods that extend the grantee's or contractor's authority to obligate funds.


Note: Projects must be awarded and operated in a manner consistent with the nondiscrimination requirements contained in the U.S. Constitution and the Federal civil rights laws.

Applicable Regulations: (a) The Education Department General Administrative Regulations in 34 CFR parts 75, 77, 79, 82, 84, 86, 97, 98, and 99. (b) The Office of Management and Budget Guidelines to Agencies on
Governmentwide Debarment and Suspension (Nonprocurement) in 2 CFR part 180, as adopted and amended as regulations of the Department in 2 CFR part 3485. (c) The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR part 200, as adopted and amended as regulations of the Department in 2 CFR part 3474. (d) The regulations for this program in 34 CFR part 648. (e) The Administrative Priorities.

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

II. Award Information

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

Estimated Available Funds: $20,425,000.

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


Estimated Average Size of Awards: $275,000.

Estimated Number of Awards: 72.

Note: The Department is not bound by any estimates in this notice.
Project Period: Up to 36 months.

Stipend Level: For the 2021-22 academic year, the institution must pay the fellow a stipend at a level of support equal to that provided by the National Science Foundation Graduate Research Fellowship Program, except that this amount must be adjusted as necessary so as not to exceed the fellow’s demonstrated level of financial need as stated under part F of title IV of the Higher Education Act of 1965, as amended.

Institutional Payment: For the 2021-22 academic year, the estimated institutional payment is $16,730 per fellow. This amount was determined by adjusting the previous academic year’s institutional payment of $16,370 per fellow by the U.S. Department of Labor’s Consumer Price Index for the 2020 calendar year.

III. Eligibility Information

1. Eligible Applicants: (a) Any academic department of an IHE that provides a course of study that—

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

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

   (b) An academic department of an IHE that—
(i) Satisfies the requirements of paragraph (a) of this section; and

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

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

**Note:** If you are a nonprofit organization, under 34 CFR 75.51, you may demonstrate your nonprofit status by providing: (1) proof that the Internal Revenue Service currently recognizes the applicant as an organization to which contributions are tax deductible under section 501(c)(3) of the Internal Revenue Code; (2) a statement from a State taxing body or the State attorney general certifying that the organization is a nonprofit organization operating within the State and that no part of its net earnings may lawfully benefit any private shareholder or individual; (3) a certified copy of the applicant's certificate of incorporation or similar document if it clearly establishes the nonprofit status of the applicant; or (4) any item described above if that item applies to a State or national parent organization, together with a statement by the State or parent
organization that the applicant is a local nonprofit affiliate.

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

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

   c. **Indirect Cost Rate Information:** We specify unallowable costs under IV. Application and Submission Information.

   d. **Administrative Cost Limitation:** We specify unallowable costs under IV. Application and Submission Information.

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

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

IV. Application and Submission Information

1. **Application Submission Instructions:** Applicants are required to follow the Common Instructions for Applicants to Department of Education Discretionary Grant
Programs, published in the Federal Register on February 13, 2019 (84 FR 3768) and available at www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf, which contain requirements and information on how to submit an application.

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

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

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

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

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

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

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

- Use a 12-point font.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(3) The focus and capacity for research; and

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

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

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

(2) Provides adequate instruction on effective teaching techniques;

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

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

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

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

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

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

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

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

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

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

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

(5) The extent to which the policies and procedures the applicant proposes to institute for administering the project are likely to ensure efficient and effective project implementation, including assistance to and oversight of the project director.
(g) **Institutional commitment** (15 points). The Secretary reviews each application for evidence that--

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

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

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

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

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

(1) The qualifications of the project director;

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

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

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

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

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

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

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

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

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

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

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

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

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

(k) **Adequacy of resources** (5 points). The Secretary reviews each application to determine the adequacy of the resources that the applicant makes available to graduate students receiving fellowships under this program, including facilities, equipment, and supplies.
2. **Review and Selection Process:** We remind potential applicants that in reviewing applications in any discretionary grant competition, the Secretary may consider, under 34 CFR 75.217(d)(3), the past performance of the applicant in carrying out a previous award, such as the applicant’s use of funds, achievement of project objectives, and compliance with grant conditions. The Secretary may also consider whether the applicant failed to submit a timely performance report or submitted a report of unacceptable quality.

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

For this competition, a panel of non-Federal reviewers will review each application in accordance with the selection criteria in 34 CFR 648.31 and the competitive preference priority, if that applies. The individual scores of the reviewers will be added and the sum divided by the number of reviewers to determine the peer review score received in the review process.
Additional factors we consider in selecting an application for an award are in 34 CFR 648.32.

3. **Risk Assessment and Specific Conditions:** Consistent with 2 CFR 200.205, before awarding grants under this program the Department conducts a review of the risks posed by applicants. Under 2 CFR 3474.10, the Secretary may impose specific conditions and, in appropriate circumstances, high-risk conditions on a grant if the applicant or grantee is not financially stable; has a history of unsatisfactory performance; has a financial or other management system that does not meet the standards in 2 CFR part 200, subpart D; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

4. **Integrity and Performance System:** If you are selected under this competition to receive an award that over the course of the project period may exceed the simplified acquisition threshold (currently $250,000), under 2 CFR 200.206(a)(2) we must make a judgment about your integrity, business ethics, and record of performance under Federal awards—that is, the risk posed by you as an applicant—before we make an award. In doing so, we must consider any information about you that is in the integrity and performance system (currently referred to as the Federal Awardee Performance and Integrity Information
System (FAPIIS)), accessible through the System for Award Management. You may review and comment on any information about yourself that a Federal agency previously entered and that is currently in FAPIIS.

Please note that, if the total value of your currently active grants, cooperative agreements, and procurement contracts from the Federal Government exceeds $10,000,000, the reporting requirements in 2 CFR part 200, Appendix XII, require you to report certain integrity information to FAPIIS semiannually. Please review the requirements in 2 CFR part 200, Appendix XII, if this grant plus all the other Federal funds you receive exceed $10,000,000.

5. In General: In accordance with the Office of Management and Budget’s guidance located at 2 CFR part 200, all applicable Federal laws, and relevant Executive guidance, the Department will review and consider applications for funding pursuant to this notice inviting applications in accordance with--

(a) Selecting recipients most likely to be successful in delivering results based on the program objectives through an objective process of evaluating Federal award applications (2 CFR 200.205);

(b) Prohibiting the purchase of certain telecommunication and video surveillance services or

(c) Promoting the freedom of speech and religious liberty in alignment with Promoting Free Speech and Religious Liberty (E.O. 13798) and Improving Free Inquiry, Transparency, and Accountability at Colleges and Universities (E.O. 13864) (2 CFR 200.300, 200.303, 200.339, and 200.341);

(d) Providing a preference, to the extent permitted by law, to maximize use of goods, products, and materials produced in the United States (2 CFR 200.322); and

(e) Terminating agreements in whole or in part to the greatest extent authorized by law if an award no longer effectuates the program goals or agency priorities (2 CFR 200.340).

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); or we may send you an email containing a link to access an electronic version of your GAN. We may notify you informally, also.

If your application is not evaluated or not selected for funding, we notify you.
2. **Administrative and National Policy Requirements:**

We identify administrative and national policy requirements in the application package and reference these and other requirements in the *Applicable Regulations* section of this notice.

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

3. **Reporting:** (a) If you apply for a grant under this competition, you must ensure that you have in place the necessary processes and systems to comply with the reporting requirements in 2 CFR part 170 should you receive funding under the competition. This does not apply if you have an exception under 2 CFR 170.110(b).

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

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

4. **Performance Measures**: Under the Government Performance and Results Act of 1993, the following measures will be used by the Department in assessing the performance of the GAANN Program and for Department reporting under 34 CFR 75.110:

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

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

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

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

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

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

In making a continuation award, the Secretary also considers whether the grantee is operating in compliance with the assurances in its approved application, including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal
financial assistance from the Department (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

VII. Other Information

Accessible Format: On request to the program contact persons listed under FOR FURTHER INFORMATION CONTACT, individuals with disabilities can obtain this document and a copy of the application package in an accessible format. The Department will provide the requestor with an accessible format that may include Rich Text Format (RTF) or text format (txt), a thumb drive, an MP3 file, braille, large print, audiotape, or compact disc, or other accessible format.

Electronic Access to This Document: The official version of this document is the document published in the Federal Register. You may access the official edition of the Federal Register and the Code of Federal Regulations at www.govinfo.gov. At this site you can view this document, as well as all other documents of this Department published in the Federal Register, in text or Portable Document Format (PDF). To use PDF you must have Adobe Acrobat Reader, which is available free at the site.
You may also access documents of the Department published in the \textit{Federal Register} by using the article search feature at www.federalregister.gov. Specifically, through the advanced search feature at this site, you can limit your search to documents published by the Department.

Dated:

\[ /\text{signed/} \]
Christopher J. McCaghren,
\textit{Acting Assistant Secretary for Postsecondary Education}. 
HIGHER EDUCATION ACT OF 1965

TITLE VII – GRADUATE AND POSTSECONDARY IMPROVEMENT PROGRAMS

PART A – GRADUATE EDUCATION PROGRAMS

Subpart 2 – Graduate Assistance in Areas of National Need

PROGRAM STATUTE
TITLE VII--GRADUATE AND POSTSECONDARY IMPROVEMENT PROGRAMS

SEC. 701. REVISION OF TITLE VII.

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

'TITLE VII--GRADUATE AND POSTSECONDARY IMPROVEMENT PROGRAMS

'SEC. 700. PURPOSE.

'It is the purpose of this title--

'(1) to authorize national graduate fellowship programs—

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

'(B) that are designed to--

'(i) sustain and enhance the capacity for graduate education in areas of national need; and

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

'(2) to promote postsecondary programs.

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

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

'(a) GRANT AUTHORITY -

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

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

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

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

'(C) is not a private foundation;

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

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

'(b) AWARD AND DURATION OF GRANTS -

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

'(2) DURATION AND AMOUNT -

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

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

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

'(c) PREFERENCE TO CONTINUING GRANT RECIPIENTS -

'(1) IN GENERAL - The Secretary shall make new grant awards under this subpart only to the extent that each previous grant recipient under this subpart has received continued funding in accordance with subsection (b)(2)(A).
'(2) RATABLE REDUCTION- To the extent that appropriations under this subpart are insufficient to comply with paragraph (1), available funds shall be distributed by ratably reducing the amounts required to be awarded under subsection (b)(2)(A).

'SEC. 712. INSTITUTIONAL ELIGIBILITY.

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

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

``(1) the extent to which the interest in the area is compelling;
``(2) the extent to which other Federal programs support postbaccalaureate study in the area concerned;
``(3) an assessment of how the program may achieve the most significant impact with available resources; and
``(4) an assessment of current (as of the time of the designation) and future professional workforce needs of the United States."

'SEC. 713. CRITERIA FOR APPLICATIONS.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

'SEC. 714. AWARDS TO GRADUATE STUDENTS.

'(a) COMMITMENTS TO GRADUATE STUDENTS -

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

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

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

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

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

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

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

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

'(a) INSTITUTIONAL PAYMENTS -

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

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

'SEC. 716. AUTHORIZATION OF APPROPRIATIONS.

'There are authorized to be appropriated $35,000,000 for fiscal year 2009 and each of the five succeeding fiscal years to carry out this subpart.
HIGHER EDUCATION ACT OF 1965

TITLE VII – GRADUATE AND POSTSECONDARY IMPROVEMENT PROGRAMS

PART A – GRADUATE EDUCATION PROGRAMS

Subpart 2 – Graduate Assistance in Areas of National Need

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

The Graduate Assistance in Areas of National Need program provides fellowships through academic departments of institutions of higher education to assist graduate students of superior ability who demonstrate financial need.

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

§648.2 Who is eligible for a grant?

(a) The Secretary awards grants to the following:

(1) Any academic department of an institution of higher education that provides a course of study that—

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

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

(2) An academic department of an institution of higher education that—

(i) Satisfies the requirements of paragraph (a)(1) of this section; and

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

(b) A formal arrangement under paragraph (a)(2)(ii) of this section is a written agreement between a degree-granting institution and an eligible nondegree-granting institution whereby the degree-granting institution accepts students from the eligible nondegree-granting institution as doctoral degree candidates with the intention of awarding these students doctorates in an area of national need.

(c) The Secretary does not award a grant under this part for study at a school or department of divinity.

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

§648.3 What activities may the Secretary fund?

(a) The Secretary awards grants to institutions of higher education to fund fellowships in one or more areas of national need.

(b)(1) For the purposes of this part, the Secretary designates areas of national need from the academic areas listed in the appendix to this part or from the resulting inter-disciplines.

(2) The Secretary announces these areas of national need in a notice published in the Federal Register.

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

§648.4 What is included in the grant?

Each grant awarded by the Secretary consists of the following:

(a) The stipends paid by the Secretary through the institution of higher education to fellows. The stipend provides an allowance to a fellow for the fellow's (and his or her dependents') subsistence and other expenses.

(b) The institutional payments paid by the Secretary to the institution of higher education to be applied against each fellow's tuition, fees, and the costs listed in §648.62(b).

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

§648.5 What is the amount of a grant?
(a) The amount of a grant to an academic department may not be less than $100,000 and may not be more than $750,000 in a fiscal year.
(b) In any fiscal year, no academic department may receive more than $750,000 as an aggregate total of new and continuing grants.

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

§648.6 What is the duration of a grant?

The duration of a grant awarded under this part is a maximum of three annual budget periods during a three-year (36-month) project period.

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

§648.7 What is the institutional matching contribution?

An institution shall provide, from non-Federal funds, an institutional matching contribution equal to at least 25 percent of the amount of the grant received under this part, for the uses indicated in §648.63.

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

§648.8 What regulations apply?

The following regulations apply to this program:
(a) The Education Department General Administrative Regulations (EDGAR) as follows:
(1) 34 CFR part 74 (Administration of Grants to Institutions of Higher Education, Hospitals, and Nonprofit Organizations).
(2) 34 CFR part 75 (Direct Grant Programs).
(3) 34 CFR part 77 (Definitions that Apply to Department Regulations).
(4) 34 CFR part 79 (Intergovernmental Review of Department of Education Programs and Activities).
(5) 34 CFR part 82 (New Restrictions on Lobbying).
(6) 34 CFR part 85 (Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants)).
(7) 34 CFR part 86 (Drug-Free Schools and Campuses).
(b) The regulations in this part.

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

§648.9 What definitions apply?

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

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<th>Term</th>
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<tr>
<td>Applicant</td>
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(b) Other definitions. The following definitions also apply to this part:

Academic department means any department, program, unit, or any other administrative subdivision of an institution of higher education that—
(i) Directly administers or supervises post-baccalaureate instruction in a specific discipline; and
(ii) Has the authority to award academic course credit acceptable to meet degree requirements at an institution of higher education.

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

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

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

Discipline means a branch of instruction or learning.

Eligible non-degree granting institution means any institution that—
(i) Conducts post-baccalaureate academic programs of study but does not award doctoral degrees in an area of national need;
(ii) Is described in section 501(c)(3) of the Internal Revenue Code of 1986 and is exempt from tax under section 501(a) of the Code;
(iii) Is organized and operated substantially to conduct scientific and cultural research and graduate training programs;

(iv) Is not a private foundation;

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

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

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

**Fellow** means a recipient of a fellowship under this part.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(i) The most current edition of the Department's *Digest of Educational Statistics*;
(ii) The National Research Council’s *Doctorate Recipients from United States Universities*;

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

(iv) As documented by national survey data submitted to and accepted by the Secretary on a case-by-case basis.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(c) In any application period, an academic department may not submit more than one application for new awards.

(Approved by the Office of Management and Budget under control number 1840-0604)


Subpart C—How Does the Secretary Make an Award?

§648.30 How does the Secretary evaluate an application?

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

(b) The Secretary informs applicants of the maximum possible score for each criterion in the application package or in a notice published in the *Federal Register*.


§648.31 What selection criteria does the Secretary use?

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

(a) *Meeting the purposes of the program.*

The Secretary reviews each application to determine how well the project will meet the purposes of the program, including the extent to which—
(1) The applicant's general and specific objectives for the project are realistic and measurable;
(2) The applicant's objectives for the project seek to sustain and enhance the capacity for teaching and research at the institution and at State, regional, or national levels;
(3) The applicant's objectives seek to institute policies and procedures to ensure the enrollment of talented graduate students from traditionally underrepresented backgrounds; and
(4) The applicant's objectives seek to institute policies and procedures to ensure that it will award fellowships to individuals who satisfy the requirements of §648.40.

(b) Extent of need for the project. The Secretary considers the extent to which a grant under the program is needed by the academic department by considering—
(1) How the applicant identified the problems that form the specific needs of the project;
(2) The specific problems to be resolved by successful realization of the goals and objectives of the project; and
(3) How increasing the number of fellowships will meet the specific and general objectives of the project.

(c) Quality of the graduate academic program. The Secretary reviews each application to determine the quality of the current graduate academic program for which project funding is sought, including—
(1) The course offerings and academic requirements for the graduate program;
(2) The qualifications of the faculty, including education, research interest, publications, teaching ability, and accessibility to graduate students;
(3) The focus and capacity for research; and
(4) Any other evidence the applicant deems appropriate to demonstrate the quality of its academic program.

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

(1) Provides each fellow with the required supervised training in instruction;
(2) Provides adequate instruction on effective teaching techniques;
(3) Provides extensive supervision of each fellow's teaching performance; and
(4) Provides adequate and appropriate evaluation of the fellow's teaching performance.

(e) Recruitment plan. The Secretary reviews each application to determine the quality of the applicant's recruitment plan, including—
(1) How the applicant plans to identify, recruit, and retain students from traditionally underrepresented backgrounds in the academic program for which fellowships are sought;
(2) How the applicant plans to identify eligible students for fellowships;
(3) The past success of the academic department in enrolling talented graduate students from traditionally underrepresented backgrounds; and
(4) The past success of the academic department in enrolling talented graduate students for its academic program.

(f) Project administration. The Secretary reviews the quality of the proposed project administration, including—
(1) How the applicant will select fellows, including how the applicant will ensure that project participants who are otherwise eligible to participate are selected without regard to race, color, national origin, religion, gender, age, or disabling condition;
(2) How the applicant proposes to monitor whether a fellow is making satisfactory progress toward the degree for which the fellowship has been awarded;
(3) How the applicant proposes to identify and meet the academic needs of fellows;
(4) How the applicant proposes to maintain enrollment of graduate students from traditionally underrepresented backgrounds; and
(5) The extent to which the policies and procedures the applicant proposes to institute for administering the project are likely to ensure efficient and effective project implementation, including assistance to and oversight of the project director.
(g) **Institutional commitment.** The Secretary reviews each application for evidence that—

1. The applicant will provide, from any funds available to it, sufficient funds to support the financial needs of the fellows if the funds made available under the program are insufficient;
2. The institution's social and academic environment is supportive of the academic success of students from traditionally underrepresented backgrounds on the applicant's campus;
3. Students receiving fellowships under this program will receive stipend support for the time necessary to complete their courses of study, but in no case longer than 5 years; and
4. The applicant demonstrates a financial commitment, including the nature and amount of the institutional matching contribution, and other institutional commitments that are likely to ensure the continuation of project activities for a significant period of time following the period in which the project receives Federal financial assistance.

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

1. The qualifications of the project director;
2. The qualifications of other key personnel to be used in the project;
3. The time commitment of key personnel, including the project director, to the project; and
4. How the applicant, as part of its nondiscriminatory employment practices, will ensure that its personnel are selected without regard to race, color, national origin, religion, gender, age, or disabling condition, except pursuant to a lawful affirmative action plan.

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

1. The applicant shows a clear understanding of the acceptable uses of program funds; and
2. The costs of the project are reasonable in relation to the objectives of the project.

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

1. Relate to the specific goals and measurable objectives of the project;
2. Assess the effect of the project on the students receiving fellowships under this program, including the effect on persons of different racial and ethnic backgrounds, genders, and ages, and on persons with disabilities who are served by the project;
3. List both process and product evaluation questions for each project activity and outcome, including those of the management plan;
4. Describe both the process and product evaluation measures for each project activity and outcome;
5. Describe the data collection procedures, instruments, and schedules for effective data collection;
6. Describe how the applicant will analyze and report the data so that it can make adjustments and improvements on a regular basis; and
7. Include a time-line chart that relates key evaluation processes and benchmarks to other project component processes and benchmarks.

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

(Approved by the Office of Management and Budget under control number 1840-0604)

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

[58 FR 65842, Dec. 16, 1993, as amended at 70 FR 13375, Mar. 21, 2005]

§648.32 What additional factors does the Secretary consider?

(a) **Continuation awards.** (1) Before funding new applications, the Secretary gives preference to grantees requesting their second or third year of funding.
(2) If appropriations for this program are insufficient to fund all continuation grantees for the second and third years at the approved funding level, the Secretary prorates the available funds, if any, among the continuation grantees and, if necessary, awards continuation grants of less than $100,000.

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

1. An equitable geographic distribution of grants to eligible applicant institutions of higher education.
2. An equitable distribution of grants to eligible applicant public and eligible applicant private institutions of higher education.

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

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

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

(b) The Secretary announces the absolute preferences in a notice published in the Federal Register.

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

Subpart D—How Are Fellows Selected?

§648.40 How does an academic department select fellows?

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

1. Are currently enrolled as graduate students, have been accepted at the grantee institution, or are enrolled or accepted as graduate students at an eligible nondegree-granting institution;
2. Are of superior ability;
3. Have an excellent academic record;
4. Have financial need;
5. Are planning to pursue the highest possible degree available in their course of study;
6. Are planning a career in teaching or research;
7. Are not ineligible to receive assistance under 34 CFR 75.60; and
8. (i) Are United States citizens or nationals;
   (ii) Are permanent residents of the United States;
   (iii) Provide evidence from the Immigration and Naturalization Service that they are in the United States for other than a temporary purpose with the intention of becoming permanent residents; or
   (iv) Are citizens of any one of the Freely Associated States.

(b) An individual who satisfies the eligibility criteria in paragraph (a) of this section, but who attends an institution that does not offer the highest possible degree available in the individual's course of study, is eligible for a fellowship if the individual plans to attend subsequently an institution that offers this degree.


§648.41 How does an individual apply for a fellowship?

An individual shall apply directly to an academic department of an institution of higher education that has received a grant.

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

Subpart E—How Does the Secretary Distribute Funds?

§648.50 What are the Secretary's payment procedures?

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

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

§648.51 What is the amount of a stipend?

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

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

§648.52 What is the amount of the institutional payment?

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

(b) The institutional allowance paid under paragraph (a) of this section is reduced by the amount the institution charges and collects from a fellowship recipient for tuition and other expenses as part of the recipient's instructional program.
(Authority: 20 U.S.C. 1135d)

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

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

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

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

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

§648.62 How can the institutional payment be used?

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

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

(1) Costs for rental or purchase of any books, materials, or supplies required of students in the same course of study.
(2) Costs of computer hardware, project specific software, and other equipment prorated by the length of the student's fellowship over the reasonable life of the equipment.

(3) Membership fees of professional associations.

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

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

(6) Expenses incurred in research.

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

(c) The institutional payment must supplement and, to the extent practical, increase the funds that would otherwise be made available for the purpose of the program and, in no case, to supplant institutional funds currently available for fellowships.

(Authority: 20 U.S.C. 1135b, 1135d)

§648.63 How can the institutional matching contribution be used?

(a) The institutional matching contribution may be used to—

1. Provide additional fellowships to graduate students who are not already receiving fellowships under this part and who satisfy the requirements of §648.40;

2. Pay for tuition, fees, and the costs listed in §648.62(b);

3. Pay for costs of providing a fellow's instruction that are not included in the tuition or fees paid to the institution in which the fellow is enrolled; and

4. Supplement the stipend received by a fellow under §648.51 in an amount not to exceed a fellow's financial need.

(b) An institution may not use its institutional matching contribution to fund fellowships that were funded by the institution prior to the award of the grant.

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

§648.64 What are unallowable costs?

Neither grant funds nor the institutional matching funds may be used to pay for general operational overhead costs of the academic department.

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

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

(a) An institution that receives a grant shall disburse a stipend to a fellow in accordance with its regular payment schedule, but shall not make less than one payment per academic term.

(b) If a fellow withdraws from an institution before completion of an academic term, the institution may award the fellowship to another individual who satisfies the requirements in §648.40.

(c) If a fellowship is vacated or discontinued for any period of time, the institution shall return a prorated portion of the institutional payment and unexpended stipend funds to the Secretary, unless the Secretary authorizes the use of those funds for a subsequent project period. The institution shall return the prorated portion of the institutional payment and unexpended stipend funds at a time and in a manner determined by the Secretary.

(d) If a fellow withdraws from an institution before the completion of the academic term for which he or she received a stipend installment, the fellow shall return a prorated portion of the stipend installment to the institution at a time and in a manner determined by the Secretary.

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

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

(a) An institution of higher education that receives a grant shall provide to the Secretary, prior to the receipt of grant funds for disbursement to a fellow, a certification that the fellow is enrolled in, is making satisfactory progress in, and is devoting essentially full time to study in the academic field for which the grant was made.

(b) An institution of higher education that receives a grant shall keep records necessary to establish—
(1) That each student receiving a fellowship satisfies the eligibility requirements in §648.40;
(2) The time and amount of all disbursements and return of stipend payments;
(3) The appropriate use of the institutional payment; and
(4) That assurances, policies, and procedures provided in its application have been satisfied.
(Approved by the Office of Management and Budget under control number 1840-0604)
(Authority: 20 U.S.C. 1135-1135d)

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

§648.70 What conditions must be met by a fellow?

To continue to be eligible for a fellowship, a fellow must—
(a) Maintain satisfactory progress in the program for which the fellowship was awarded;
(b) Devote essentially full time to study or research in the academic field in which the fellowship was awarded; and
(c) Not engage in gainful employment, except on a part-time basis in teaching, research, or similar activities determined by the academic department to be in support of the fellow’s progress toward a degree.
(Authority: 20 U.S.C. 1135c)

Appendix to Part 648—Academic Areas

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

05. Area, Ethnic, and Cultural Studies
   05.01 Area Studies

11. Computer and Information Sciences
   11.01 Computer and Information Sciences, General
   11.02 Computer Programming
   11.04 Information Sciences and Systems
   11.05 Computer Systems Analysis
   11.07 Computer Science

13. Education
   13.01 Education, General
   13.02 Bilingual/Bicultural Education
   13.03 Curriculum and Instruction
   13.04 Education Administration and Supervision
   13.05 Educational/Instructional Media Design
   13.06 Educational Evaluation, Research, and Statistics
   13.07 International and Comparative Education
   13.08 Educational Psychology
   13.09 Social and Philosophical Foundations of Education
   13.10 Special Education
   13.11 Student Counseling and Personnel Services
   13.12 General Teacher Education
   13.13 Teacher Education, Specific Academic, and Vocational Programs
   13.14 Teaching English as a Second Language/Foreign Language

14. Engineering
   14.01 Engineering, General
   14.02 Aerospace, Aeronautical, and Astronautical Engineering
   14.03 Agricultural Engineering
   14.04 Architectural Engineering
   14.05 Bioengineering and Biomedical Engineering
   14.06 Ceramic Sciences and Engineering
   14.07 Chemical Engineering
   14.08 Civil Engineering
   14.09 Computer Engineering
   14.10 Electrical, Electronic, and Communications Engineering
   14.11 Engineering Mechanics
   14.12 Engineering Physics
   14.13 Engineering Science
   14.14 Environmental/Environmental Health Engineering
   14.15 Geological Engineering
14.16 Geophysical Engineering
14.17 Industrial/Manufacturing Engineering
14.18 Materials Engineering
14.19 Mechanical Engineering
14.20 Metallurgical Engineering
14.21 Mining and Mineral Engineering
14.22 Naval Architecture and Marine Engineering
14.23 Nuclear Engineering
14.24 Ocean Engineering
14.25 Petroleum Engineering
14.27 Systems Engineering
14.28 Textile Sciences and Engineering
14.29 Engineering Design
14.30 Engineering/Industrial Management
14.31 Materials Science
14.32 Polymer/Plastics Engineering
16.01 Foreign Languages and Literatures
16.03 East and Southeast Asian Languages and Literatures
16.04 East European Languages and Literatures
16.05 Germanic Languages and Literatures
16.06 Greek Languages and Literatures
16.07 South Asian Languages and Literatures
16.09 Romance Languages and Literatures
16.11 Middle Eastern Languages and Literatures
16.12 Classical and Ancient Near Eastern Languages and Literatures
22. Law and Legal Studies
22.01 Law and Legal Studies
25. Library Science
25.01 Library Science/Librarianship
25.03 Library Assistant
26. Biological Sciences/Life Sciences
26.01 Biology, General
26.02 Biochemistry and Biophysics
26.03 Botany
26.04 Cell and Molecular Biology
26.05 Microbiology/Bacteriology
26.06 Miscellaneous Biological Specializations
26.07 Zoology
27. Mathematics
27.01 Mathematics
27.03 Applied Mathematics
27.05 Mathematic Statistics
40. Physical Sciences
40.01 Physical Sciences, General
40.02 Astronomy
40.03 Astrophysics
40.04 Atmospheric Sciences and Meteorology
40.05 Chemistry
40.06 Geological and Related Sciences
40.07 Miscellaneous Physical Sciences
40.08 Physics
42. Psychology
42.01 Psychology
42.02 Clinical Psychology
42.03 Cognitive Psychology and Psycholinguistics
42.04 Community Psychology
42.06 Counseling Psychology
42.07 Developmental and Child Psychology
42.08 Experimental Psychology
42.09 Industrial and Organizational Psychology
42.11 Physiological Psychology/Psychobiology
42.16 Social Psychology
42.17 School Psychology
50. Visual and Performing Arts
50.01 Visual and Performing Arts
50.02 Crafts, Folk Art, and Artisanry
50.03 Dance
50.04 Design and Applied Arts
50.05 Dramatic/Theater Arts and Stagecraft
50.06 Film/Video and Photographic Arts
50.07 Fine Arts and Art Studies
50.09 Music
51. Health Professions and Related Sciences
51.01 Chiropractic (D.C., D.C.M.)
51.02 Communication Disorders Sciences and Services
51.03 Community Health Services
51.04 Dentistry (D.D.S., D.M.D.)
51.05 Dental Clinical Sciences/Graduate Dentistry (M.S., Ph.D.)
51.06 Dental Services
51.07 Health and Medical Administrative Services
51.08 Health and Medical Assistants
51.09 Health and Medical Diagnostic and Treatment Services
51.10 Health and Medical Laboratory Technologies/Technicians
51.11 Health and Medical Preparatory Programs
51.12 Medicine (M.D.)
51.13 Medical Basic Science
51.14 Medical Clinical Services (M.S., Ph.D)
51.15 Mental Health Services
51.16 Nursing
51.17 Optometry (O.D.)
51.18 Ophthalmic/Optometric Services
51.19 Osteopathic Medicine (D.O.)
51.20 Pharmacy
51.21 Podiatry (D.P.M., D.P., Pod.D.)
51.22 Public Health
51.23 Rehabilitation/Therapeutic Services
51.24 Veterinary Medicine (D.V.M.)
51.25 Veterinary Clinical Services
51.27 Miscellaneous Health Professions
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:


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# 84.200A, U.S. Department of Education, room 7E200, 400 Maryland Avenue, SW., Washington, DC 20202.

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

Important note: The above address is not the same address as the one to which the applicant submits its completed applications. Do not send applications to the above address.
The purpose of this enclosure is to inform you about the following provision in the Department of Education’s General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America’s Schools Act of 1994 (Public Law (P.L.) 103-382).

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

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

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

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

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?
The following examples may help illustrate how an applicant may comply with Section 427.

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

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

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

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

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

Estimated Burden Statement for GEPA Requirements
According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Public Law 103-382). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email ICDOcketMgr@ed.gov and reference the OMB Control Number 1894-0005.
What is GPRA?

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

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

As required by GPRA, the Department of Education prepared a strategic plan for 2018-2022. This plan reflects the Department’s priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department’s goals, as listed in the plan, are:

Goal 1: Support state and local efforts to improve learning outcomes for all P-12 students in every community.

Goal 2: Expand postsecondary educational opportunities, improve outcomes to foster economic opportunity and promote an informed, thoughtful and productive citizenry.

Goal 3: Strengthen the quality, accessibility and use of education data through better management, increased privacy protections and transparency.

Goal 4: Reform the effectiveness, efficiency and accountability of the Department.

What are the performance indicators for the GAANN Program?

The performance indicators for the GAANN program are part of the Department’s plan for meeting Goal 2. The specific goal for the GAANN program is “to increase the number of persons trained at the highest academic level” in the areas of national need.

The performance indicators for the GAANN program are:

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

1.2 Time to completion: the median of time to completion of Master’s and Doctoral degrees for GAANN students.

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

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

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

COMPLETING THE

GAANN

APPLICATION PACKAGE
ORGANIZATION OF THE APPLICATION PACKAGE

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

Part I: SF 424 Forms

- Application for Federal Assistance – (SF 424)
- Department of Education Supplemental Information Form for SF 424

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

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

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

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

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

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

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

Note: The Budget Narrative will be included in the Project Narrative as part of the Selection Criteria.
The **Other Attachments Form** is where you attach the appendices, referenced in the section “Instructions for Completing the Project Narrative.” You will also include the required GAANN program specific forms: the GAANN Budget Spreadsheet(s) Form and the GAANN Statutory Assurances.

- Attach all Curriculum Vitae (CV) as a single document.
- Attach the following **GAANN Program Specific Forms** to the “Other Attachments Form” in Grants.gov. These Program Specific Forms are found at the end of the application package:
  - **GAANN Statutory Assurances Form**
    Instructions for the GAANN Statutory Assurances Form are covered in the “**Program Specific Forms Instructions**” section of the application package.
  - **GAANN Budget Spreadsheet(s) Form**
    The GAANN Budget Spreadsheet(s) Form is where the applicant provides budget information for the GAANN Budget Narrative. The applicant must submit the Budget Spreadsheet(s) Form electronically as a separate document and attach the document(s) into the “Other Attachments Form.”

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

**Note:** These forms must not be altered in any way.

**Part III: Assurances and Certifications**

**Assurances and Certifications**

- GEPA Section 427 Requirement
- Disclosure of Lobbying Activities (SF-LLL)
- Grants.gov Lobbying Form (ED form 80-0013)

**Updated Grants.gov Upload Requirements**:

Please review the *Grants.gov Submission Procedures and Tips for Applicants* for updated upload requirements.
PART II:
Instructions for Completing the Project Narrative

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

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

ABSTRACT INSTRUCTIONS:

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

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

Note:
• The Number of Federally Funded GAANN Fellows Requested does not include any matching fellows that your department proposes.

Formatting and Uploading Documents:

The one-page abstract must be attached electronically. Once the document has been saved, the applicant must attach the document to the “ED Abstract Form” section in the Grants.gov system.

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

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

Selection Criteria:

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

§648.31 What selection criteria does the Secretary use?

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

(a) Meeting the purposes of the program. (7 Points) The Secretary reviews each application to determine how well the project will meet the purposes of the program, including the extent to which—
   (1) The applicant's general and specific objectives for the project are realistic and measurable;
   (2) The applicant's objectives for the project seek to sustain and enhance the capacity for teaching and research at the institution and at State, regional, or national levels;
   (3) The applicant's objectives seek to institute policies and procedures to ensure the enrollment of talented graduate students from traditionally underrepresented backgrounds; and
   (4) The applicant's objectives seek to institute policies and procedures to ensure that it will award fellowships to individuals who satisfy the requirements of §648.40.

(b) Extent of need for the project. (5 Points) The Secretary considers the extent to which a grant under the program is needed by the academic department by considering—
   (1) How the applicant identified the problems that form the specific needs of the project;
   (2) The specific problems to be resolved by successful realization of the goals and objectives of the project; and
   (3) How increasing the number of fellowships will meet the specific and general objectives of the project.

(c) Quality of the graduate academic program. (20 Points) The Secretary reviews each application to determine the quality of the current graduate academic program for which project funding is sought, including—
   (1) The course offerings and academic requirements for the graduate program;
   (2) The qualifications of the faculty, including education, research interest, publications, teaching ability, and accessibility to graduate students;
   (3) The focus and capacity for research; and
   (4) Any other evidence the applicant deems appropriate to demonstrate the quality of its academic program.

(d) Quality of the supervised teaching experience. (10 Points) The Secretary reviews each application to determine the quality of the teaching experience the applicant plans to provide fellows under this program, including the extent to which the project—
   (1) Provides each fellow with the required supervised training in instruction;
   (2) Provides adequate instruction on effective teaching techniques;
   (3) Provides extensive supervision of each fellow's teaching performance; and
(4) Provides adequate and appropriate evaluation of the fellow's teaching performance.

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

1. How the applicant plans to identify, recruit, and retain students from traditionally underrepresented backgrounds in the academic program for which fellowships are sought;
2. How the applicant plans to identify eligible students for fellowships;
3. The past success of the academic department in enrolling talented graduate students from traditionally underrepresented backgrounds; and
4. The past success of the academic department in enrolling talented graduate students for its academic program.

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

1. How the applicant will select fellows, including how the applicant will ensure that project participants who are otherwise eligible to participate are selected without regard to race, color, national origin, religion, gender, age, or disabling condition;
2. How the applicant proposes to monitor whether a fellow is making satisfactory progress toward the degree for which the fellowship has been awarded;
3. How the applicant proposes to identify and meet the academic needs of fellows;
4. How the applicant proposes to maintain enrollment of graduate students from traditionally underrepresented backgrounds; and
5. The extent to which the policies and procedures the applicant proposes to institute for administering the project are likely to ensure efficient and effective project implementation, including assistance to and oversight of the project director.

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

1. The applicant will provide, from any funds available to it, sufficient funds to support the financial needs of the fellows if the funds made available under the program are insufficient;
2. The institution's social and academic environment is supportive of the academic success of students from traditionally underrepresented backgrounds on the applicant's campus;
3. Students receiving fellowships under this program will receive stipend support for the time necessary to complete their courses of study, but in no case longer than 5 years; and
4. The applicant demonstrates a financial commitment, including the nature and amount of the institutional matching contribution, and other institutional commitments that are likely to ensure the continuation of project activities for a significant period of time following the period in which the project receives Federal financial assistance.

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

1. The qualifications of the project director;
2. The qualifications of other key personnel to be used in the project;
3. The time commitment of key personnel, including the project director, to the project; and

4. How the applicant, as part of its nondiscriminatory employment practices, will ensure that its personnel are selected without regard to race, color, national origin, religion, gender, age, or disabling condition, except pursuant to a lawful affirmative action plan.
(i) **Budget.** (5 Points) The Secretary reviews each application to determine the extent to which—

1. The applicant shows a clear understanding of the acceptable uses of program funds; and
2. The costs of the project are reasonable in relation to the objectives of the project.

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

1. Relate to the specific goals and measurable objectives of the project;
2. Assess the effect of the project on the students receiving fellowships under this program, including the effect on persons of different racial and ethnic backgrounds, genders, and ages, and on persons with disabilities who are served by the project;
3. List both process and product evaluation questions for each project activity and outcome, including those of the management plan;
4. Describe both the process and product evaluation measures for each project activity and outcome;
5. Describe the data collection procedures, instruments, and schedules for effective data collection;
6. Describe how the applicant will analyze and report the data so that it can make adjustments and improvements on a regular basis; and
7. Include a time-line chart that relates key evaluation processes and benchmarks to other project component processes and benchmarks.

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

### Formatting Recommendations:

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

### Project Narrative Page Recommendations:

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

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

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

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

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

**APPENDICES:**

Appendices are limited to the following:

1. Curriculum Vitae (CV) – recommended no more than two (2) pages per faculty member;
2. Course listing;
3. Letters of commitment;
4. Bibliography; and
5. One additional optional appendix relevant to the support of the proposal, recommended no more than five (5) pages.

**GAANN Program Specific Forms:**

6. GAANN Statutory Assurances Form
7. GAANN Budget Spreadsheet(s) Form
Formatting and Uploading Requirements:

There are no additional formatting requirements for the appendices, however, please see each appendix above for any additional information. Each appendix must be attached electronically as a separate document and uploaded to the “Other Attachments Form.”

**Updated Grants.gov Upload Requirements**:

Please review the Grants.gov Submission Procedures and Tips for Applicants for updated upload requirements.
INSTRUCTIONS FOR STANDARD AND PROGRAM SPECIFIC FORMS

STANDARD FORMS INSTRUCTIONS:

- Application for Federal Education Assistance (SF 424 Form) Instructions
- Department of Education Supplemental Information for SF 424 Form Instructions
- Disclosure of Lobbying Activities (SF-LLL)

PROGRAM SPECIFIC FORMS INSTRUCTIONS:

- GAANN Statutory Assurances Form Instructions
- GAANN Budget Spreadsheet(s) Form Instructions
INSTRUCTIONS FOR THE SF-424

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

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

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

<table>
<thead>
<tr>
<th>Item</th>
<th>Entry</th>
</tr>
</thead>
</table>
| 1.   | **Type of Submission:** (Required): Select one type of submission in accordance with agency instructions.  
• Pre-application  
• 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 must not use this to submit changes after the closing date. |
| 2.   | **Type of Application:** (Required): Select one type of application in accordance with agency instructions.  
• New – An application that is being submitted to an agency for the first time.  
• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.  
• Revision - Any change in the Federal Government’s financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If “Other” is selected, please specify in text box provided.  
A. Increase Award  
B. Decrease Award  
C. Increase Duration  
D. Decrease Duration  
E. Other (specify) |
| 3.   | **Date Received:** Leave this field blank. This date will be assigned by the Federal agency. |
| 4.   | **Applicant Identifier:** Enter the entity identifier assigned by the Federal agency, if any, or applicant’s control number, if applicable. |
| 5a   | **Federal Entity Identifier:** Enter the number assigned to your organization by the Federal Agency, if any. |
| 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:  
• **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.  
• **Proposed Project Start and End Dates:** (Required) Enter the proposed start date and end date of the project. |
| 9.   | **Name of Federal Agency:** (Required) Enter the name of the Federal agency from which assistance is being requested with this application. |
| 10.  | **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. |
| 11.  | **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. |
| 12.  | **Competition Identification Number/Title:** Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable. |
| 13.  | **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. |
| 14.  | **Descriptive Title of Applicant’s Project:** (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project. |
| 15.  | **Congressional Districts:** (Required) Enter all congressional districts affected by the program or project. Enter the district number, e.g., CA-005 for California 5th district, CA-012 for California 12th district, NC-103 for North Carolina’s 103rd 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. |
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.

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.

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.

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.

| 9. Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions. |
|---|---|
| A. State Government |
| B. County Government |
| C. City or Township Government |
| D. Special District Government |
| E. Regional Organization |
| F. U.S. Territory or Possession |
| G. Independent School District |
| H. Public/State Controlled Institution of Higher Education |
| I. Tribal Government (Federally Recognized) |
| J. Indian/Native American Tribal Government (Other than Federally Recognized) |
| K. Indian/Native American Tribally Designated Organization |
| L. Public/Indian Housing Authority |
| M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) |
| N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) |
| O. Private Institution of Higher Education |
| P. Individual |
| Q. For-Profit Organization (Other than Small Business) |
| R. Small Business |
| S. Hispanic-serving Institution |
| T. Historically Black Colleges and Universities (HBCUs) |
| U. Tribally Controlled Colleges and Universities (TCCUs) |
| V. Alaska Native and Native Hawaiian Serving Institutions |
| W. Non-domestic (non-US) Entity |
| X. Other (specify) |

| 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. |

| 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 submitted to the State |

| 20. Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. If yes, include an explanation on the continuation sheet. |

| 21. 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.) |
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.


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

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

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

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

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

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

**Paperwork Burden Statement**

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

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

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

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

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I . Definitions and Exemptions

A . Definitions.

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

—Research

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

—Human Subject

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

B. Exemptions.

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

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

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

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

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

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

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

II . Instructions for Exempt and Nonexempt Human Subjects
Research Narratives

If the applicant marked “Yes” for Item 3 of Department of
Education Supplemental Information for SF 424, the applicant
must provide a human subjects “exempt research” or “nonexempt
research” narrative.

Insert the narrative(s) in the space provided. If you have multiple
projects and need to provide more than one narrative, be sure to
label each set of responses as to the project they address.

A. Exempt Research Narrative.

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

NOTE: The State Applicant Identifier on the SF 424 is for State Use only. Please complete it on the OMB Standard 424 in the upper right corner of the form (if applicable).
INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

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

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

2. Identify the status of the covered Federal action.

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

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

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

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

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

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

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

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

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

11. The certifying official shall sign and date the form; print his/her name, title, and telephone number.
GAANN Statutory Assurances Form Instructions

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

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

Attention:
**Special instructions for attaching the Statutory Assurances**

2. Applicants should copy and paste the form and save the document. DO NOT MODIFY OR CHANGE THE CONTENTS IN ANY WAY.

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

**Updated Grants.gov Upload Requirements**: 

Please review the Grants.gov Submission Procedures and Tips for Applicants for updated upload requirements.
GAANN Budget Spreadsheet(s) Form Instructions

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

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

Formatting Requirements

Applicants should copy and paste the spreadsheet and save the document in landscape format. **Do not modify or change the contents in any way.**

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

**Updated Grants.gov Upload Requirements**:

Please review the Grants.gov Submission Procedures and Tips for Applicants for updated upload requirements.

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

General Instructions

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

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

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

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

**Note**: The program regulation, Sec. 648.5(b), states that in any fiscal year, no academic department may receive more than $750,000 as an aggregate total of new and continuing grants.
Section A: Fellowship Data for Each Discipline

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

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

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

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

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

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

Section B: Federal Funds Requested and Required Institutional Matching Contribution

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

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

5. Institutional payment. Enter the Federal funds for the institutional payment for each year of the proposed project. Sum the total for all the years of the proposed project. Estimate an institutional payment of $16,730 per GAANN fellow for each academic year.

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

9. Total. Sum the Federal funds requested and the institutional matching funds to be contributed for each year of the proposed project. Sum the totals for all the years of the proposed project.

Note: In completing the budget spreadsheet Total Federal funds requested must not be less than $100,000 nor greater than $750,000 in ANY fiscal year, see GAANN program
regulation 648.5 (a) and (b). Institutional matching contributions must be an amount equal to at least 25 percent of the Federal funds requested each budget period.

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

Section C: Fellowship Data Summary for Two or More Disciplines

Note: This section applies only to Multi-disciplinary applicants

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

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

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

Section D: Summary of Federal Funds Requested and Required Institutional Matching Contributions

Note: This section applies only to Multi-disciplinary applicants

Use this section to summarize all requested allowable costs for all disciplines for all the years of the proposed project. Sum all totals. See the instructions for Section C.
GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED PROGRAM

STATUTORY ASSURANCES

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

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

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

2. For a fellowship initially awarded for the academic year 1998-99, or any succeeding academic year, the applicant will ensure that a stipend paid a fellow will be at a level of support equal to that provided by the National Science Foundation graduate fellowships, as of February 1, 2021, except that such amounts shall be adjusted as necessary so as not to exceed the fellow's demonstrated level of financial need.

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

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

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

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

________________________________________  __________________________
Signature of Authorized Certifying Official          Date
## GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED (GAANN) FELLOWSHIP PROGRAM
### PART II. - BUDGET INFORMATION

#### SECTION A: FELLOWSHIP DATA FOR EACH SINGLE DISCIPLINE

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

#### SECTION B: FEDERAL FUNDS REQUESTED AND REQUIRED INSTITUTIONAL MATCHING CONTRIBUTIONS

<table>
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<th>Allowable Cost Categories</th>
<th>1st Year</th>
<th>2nd Year</th>
<th>3rd Year</th>
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<td>6. Tuition</td>
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<tr>
<td>8. Other Educational Costs</td>
<td>$</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>9. Total</td>
<td>$</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>

### Notes:
- Please refer to 34 CFR Part 648 Subpart F—What are the Administrative Responsibilities of the Institution for budget information.
- (Federal funds remaining at the end of the current budget period will be carried over into the next budget period. The total amount of the next budget period may be reduced by the amount carried over).

**NOTE: DO NOT MODIFY OR AMEND THIS PAGE. COPY, SAVE AND ATTACH TO THE “Other Attachments Form.”**
### GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED (GAANN) FELLOWSHIP PROGRAM

#### FELLOWSHIP DATA SUMMARY FOR TWO OR MORE DISCIPLINES

#### SECTION C: FELLOWSHIP DATA FOR TWO OR MORE DISCIPLINES

<table>
<thead>
<tr>
<th>Disciplines: CIP Codes:</th>
<th>2. Total number of fellowships from Federal funds (first year only):</th>
<th>3. Total additional fellowships from institutional matching contributions:</th>
</tr>
</thead>
</table>

#### SECTION D: SUMMARY OF FEDERAL FUNDS REQUESTED AND REQUIRED INSTITUTIONAL MATCHING CONTRIBUTIONS

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

**NOTE:** DO NOT MODIFY OR AMEND THIS PAGE. COPY, SAVE AND ATTACH TO THE “Other Attachments Form.”
APPLICATION CHECKLIST

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

Part I: □ Application for Federal Assistance (SF 424)
□ Department of Education Supplemental Information for SF 424

Note: Please 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 below.

Part II: □ ED Abstract Form
Attach your one-page abstract to the “ED Abstract Form” in Grants.gov.

□ Project Narrative Attachment Form
1. Optional “Table of Contents” (recommended maximum two (2) pages)
2. Responses to selection criteria under Section 648.31 of the GAANN Program Regulations.

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

Part III: □ Assurances and Certifications
All “Assurances and Certifications” must be completed.

- ED GEPA 427 Form
- Grants.gov Lobbying Form (ED-80-0013)
- Disclosure of Lobbying Activities (SF-LLL)

**Updated Grants.gov Upload Requirements**:

Please review the Grants.gov Submission Procedures and Tips for Applicants for updated upload requirements.
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 1840-0604. Public reporting burden for this collection of information is estimated to average 41.33 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (20 U.S.C. 1135, 34 CFR Sections 648.20, 648.31, and 648.66). If you have any comments concerning the accuracy of the time estimate, suggestions for improving this individual collection, or if you have comments or concerns regarding the status of your individual form, application or survey, please contact U.S. Department of Education, 400 Maryland Avenue, Washington, DC 20202 directly.