

**U.S. DEPARTMENT OF EDUCATION**

Office of Postsecondary Education

Washington, DC 20006-8510



**Fiscal Year 2009**

**APPLICATION FOR GRANTS UNDER THE  
STUDENT SUPPORT SERVICES PROGRAM**

**(CFDA NUMBER: 84.042A)**

Form Approved: OMB No. 1840-0117, Expiration Date: \_\_\_\_\_

**CLOSING DATE: Month XX, 2008**

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*Insert date*

Dear Applicant:

Thank you for your interest in applying for a grant under the Student Support Services (SSS) Program. The SSS Program provides grants to institutions of higher education to operate projects that provide opportunities for academic development, assists students with basic college requirements, and serves to motivate students toward the successful completion of their postsecondary education. The goal of SSS is to increase the college retention and graduation rates of its participants.

This letter and the “Competition Highlights” section note some of the requirements for applying for a grant under the Fiscal Year (FY) 2009 competition. You should review the entire application package carefully before preparing and submitting your application.

We are requiring that applications for FY 2009 competition under the SSS Program be submitted electronically using Grants.gov. If you have not already registered with Grants.gov, we strongly urge you to register as soon as possible since the registration process can take up to two weeks. There is more information about how to apply through Grants.gov included in the application package. Grants.gov is accessible through its portal page at:

<http://www.grants.gov>

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

1. We strongly encourage you to register in Grants.gov early. The registration procedures may require two weeks or more to complete.
2. We strongly recommend that you submit your application 2-3 days prior to the closing date. The time it takes to upload an application will vary depending on your application and the speed of your Internet connection. The application submission process must be completed prior to the deadline for transmittal of applications.
3. In order to submit successfully, you must remember to provide the DUNS number on your application that was used when your organization registered with the (CCR) Central Contractor Registry.

After electronically submitting your application, you will receive an e-mail from Grants.gov acknowledging the date and time at which your application was received. You will receive a second e-mail from Grants.gov that will state that your application has been validated OR that your application was rejected with errors. If your application is validated, you will receive a third e-mail from the Department of Education (ED) with an assigned PR/Award number, which

is an ED-specified number that is unique to your application. **The third confirmation by e-mail, with a PR/Award number assigned, is the e-mail that verifies that your application was submitted on time by the closing date. This may take several days.**

The Notice Inviting Applications (Notice), published in the Federal Register, contains specific information governing all of the requirements for applying. You are reminded that the document published in the Federal Register is the official document, and that you should not rely upon any information that is inconsistent with the guidance contained within the official document.

Finally, we would like to share with you the importance of ensuring that your application includes a strong evaluation plan. The peer reviewers will be instructed to look closely at the potential of SSS Program applicants to successfully reach their individual project goals, which are driven by the performance indicators for the SSS Program. The evaluation plan should not only include formative and summative measures, but also address the use of appropriate controls and techniques that provide for independent evaluation. The evaluation plan should shape the development of the project from the beginning of the grant period and provide benchmarks for the monitoring of progress and measurement of that progress throughout the grant award period. You should pay close attention to the information provided in the Instructions for the Project Narrative section of this application regarding the development of your evaluation activity.

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

Sincerely,

Linda Byrd-Johnson, Ph. D.  
Service Area Director  
Federal TRIO Programs

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## COMPETITION HIGHLIGHTS

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1. **Student Support Services Program applications must be submitted electronically using Grants.gov unless you qualify for one of the exceptions to the electronic submission requirement.**

The requirements for obtaining an exception to the electronic submission have changed, and are included in the Notice. If you think you may need an exception you are urged to review the requirements promptly.

2. Applications submitted late will not be accepted. The Department of Education (Department) is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date. Please note that Grants.gov does not allow applicants to “un-submit” applications. If you discover that changes or additions are needed once your application has been accepted and validated by the Department, you must “re-submit” the application. You should know that if the Department receives duplicate applications, we will accept and process the application with the latest “date/time received” validation. Go to the Grants.gov portal page for more information:

<http://www.grants.gov>.

3. As you develop your proposals, we ask you to carefully consider the specific content that you will provide in the Objectives section of the proposal. This part of the application should address the appropriate standardized objectives related to the participants’ academic achievements, including retention, academic standing, and graduation/transfer as stated on the SSS Profile Sheet.
4. All applicants must complete the new SSS Program Profile. The SSS Program Profile contains standardized objectives relative to the program. All applicants are required to propose the percentage at which each of the appropriate objectives will be met. Applicants may not modify, amend, or delete any of these objectives.
5. All applicants must provide a one-page abstract. Complete instructions for submitting the abstract are included in the Instructions for Completing the Application Package as contained in the instructions.
6. Information on the SSS Program is accessible at the Department’s Web site at:  
<http://www.ed.gov/programs/triostudsupp/index.html>

## **INTRODUCTION**

### **STUDENT SUPPORT SERVICES PROGRAM**

#### **AUTHORIZATION**

Title IV, Part A, Subpart 2, Section 402D of the Higher Education Act of 1965, as amended.

#### **PROGRAM REGULATIONS**

34 CFR part 646 Student Support Services Program

#### **PURPOSE**

The program provides opportunities for academic development, assists students with basic college requirements, and serves to motivate students toward the successful completion of their postsecondary education. Student Support Services (SSS) projects also may provide grant aid to current SSS participants who are receiving Federal Pell Grants. The goal of SSS is to increase the college retention and graduation rates of its participants and help students make the transition from one level of higher education to the next.

#### **ELIGIBLE APPLICANTS**

The following are eligible to apply for a grant to carry out a Student Support Services Program project:

- (a) Institutions of higher education.
- (b) A combination of institutions of higher education

#### **ACTIVITIES FUNDED UNDER THIS PROGRAM**

- (a) Instruction in reading, writing, study skills, mathematics, and other subjects necessary for success beyond secondary school.
- (b) Personal counseling.
- (c) Academic advice and assistance in course selection.
- (d) Tutorial services and counseling and peer counseling.
- (e) Exposure to cultural events and academic programs not usually available to disadvantaged students.
- (f) Activities designed to acquaint students participating in the project with the range of career options available.
- (g) Activities designed to secure admission and financial assistance for enrollment in graduate and professional programs.
- (h) Activities designed to assist students currently enrolled in two-year institutions in securing admission and financial assistance for enrollment in a four-year program of postsecondary education.
- (i) Mentoring programs involving faculty or upper class students, or any combination of faculty members and upper class students.
- (j) Programs and activities as described in paragraphs (a) through (i) of this section that are specifically designed for students of limited English proficiency.
- (k) Other activities designed to meet the purposes of the Student Support Services Program stated in Sec. 646.1.

## SUPPLEMENTAL INFORMATION

The following supplements the information provided in the “Dear Applicant” letter and the Notice.

### 1. Estimated Funding and Project Period

- Estimated Available Funds for FY 2009: \$271,567,000
- Estimated Range of Awards: \$220,000 - \$350,000 per year
- Estimated Average Size of Awards: \$280,000
- Estimated Number of New Awards: 975
- Project Period for New Awards: Up to 60 months

Note: Most awards will be for 48 months; however, in accordance with the statute, applicants whose peer review scores are in the highest 10 percent of all applicants receiving grants will be for 5 years.

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

### 2. Intergovernmental Review of Federal Programs

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

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

### 3. Applicant Funding

All applications for grants under the SSS Program will be evaluated as new submissions according to the selection criteria listed in the program regulations (34 CFR 646.21).

In accordance with 34 CFR 646.22, the Secretary will award prior experience points to applicants that have conducted a TRIO SSS Program project within the last three academic years (2005-06, 2006-07 and 2007-08), based on their documented experience. Up to 15 Prior experience points will be added to the application’s averaged reader score to determine the total score for each application and will be used in funding decisions as defined in the Notice.

The Department is often unable to award the full amount of funds requested. Applicants should pay close attention to the “Award Information” section of the Notice. The Department will not fund any application at an amount exceeding the applicable maximum award level.

**4. Length of New Award**

Applicants for new awards may apply for five years (60 months) of funding. (See Note under item 1)

**5. SSS Program Assurances**

All applications must comply with the SSS Program statutory and regulatory requirements. The assurances are included in the application package. By submitting a SSS Program application, an applicant certifies that it has read the assurances and will fully comply with the requirements.

**6. SSS Program Profile**

All applicants must complete the information requested on this form. The SSS Program Profile contains standardized objectives. Applicants are required to propose the percentage of which each of the appropriate standardized objectives will be attained. On the Profile form, you must fill in the blanks indicating the percentage level of achievement for each of these objectives. Applicants should complete either standardized objective three or four as appropriate to the sector designation of your respective institution(s). **You may not modify, amend, or delete any of these objectives.**

Applicants must copy and paste the SSS Program Profile form into a separate document, or recreate the page exactly as it appears. Complete the form, save it to your computer and attach it to the *Other Attachments Form* as either a .doc, .rtf or .pdf document. Do not modify or amend the contents of the form in any way.

**7. Evaluation of Applicants for Awards**

A panel of three non-federal readers will review each application in accordance with the selection criteria. Each reviewer will prepare a written evaluation of the information presented in the program narrative section of the application and assign points for each selection criterion.

**8. Selection Criteria**

The selection criteria in 34 CFR part 646 are used to evaluate applications. The selection criteria and maximum possible points are included in the application package.

**9. Applicant Funding**

The Department is often unable to award the full amount of funds requested. Applicants should pay close attention to the "Maximum Award" section of the Notice. The Department will reject any application that proposes a budget exceeding the maximum amount specified for in the Notice.

**10. Notice to Successful Applicants**

The Department's Office of Legislation and Congressional Affairs will inform the Congress regarding applications approved for new Student Support Services Program grants. Successful applicants will receive award notices by mail shortly



after the Congress is notified. No funding information will be released before the Congress is notified.

**11. Selection of Grantees**

The Secretary will select an application for funding in rank-order, based on the application's total score for the selection criteria and prior experience, pursuant to 34 CFR 646.20 through 646.22. If there are insufficient funds for all applications with the same total scores, the Secretary will choose among the tied applications so as to serve geographical areas that have been underserved by the SSS Program.

**12. Notice to Unsuccessful Applicants**

Unsuccessful applicants will be notified in writing following the notice to successful applicants.

**13. Annual Performance Report Requirements**

If you receive a FY 2009 new grant award, you will be required to submit annual performance reports using the Education Department's on-line function. This online system collects data about funded projects to enable program specialists to determine if a grantee is making substantial progress toward meeting approved project objectives.

**14. Contact Information.**

**For Student Support Services program-related questions and assistance, please contact:**

Program Specialist: Deborah Walsh  
Address: Federal TRIO Programs  
U.S. Department of Education  
1990 K Street, N.W., Suite 7000  
Washington, D.C. 20006-8510  
Telephone: (202) 502-7694  
Fax: (202) 502-7857  
E-mail Address: [deborah.walsh@ed.gov](mailto:deborah.walsh@ed.gov)

or

Program Specialist: Lavelle Redmond  
Address: Federal TRIO Programs  
U.S. Department of Education  
1990 K Street, N.W., Suite 7000  
Washington, D.C. 20006-8510  
Telephone: (202) 502-7674  
Fax: (202) 502-7857  
E-mail Address: [lavelle.redmond@ed.gov](mailto:lavelle.redmond@ed.gov)

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

Support Desk: Grants.gov Support Desk

Telephone: (800) 518-4726

Hours: Monday – Friday, 7:00 A.M. – 9:00 P.M. Eastern Time

**IMPORTANT – PLEASE READ FIRST**  
**U.S. Department of Education**  
**Grants.gov Submission Procedures and Tips for Applicants**

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

**ATTENTION**

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

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

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

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

If the date/time received is later than 4:30:00 p.m. Washington, D.C. time, on the deadline date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: [http://www.grants.gov/applicants/applicant\\_faqs.jsp#54](http://www.grants.gov/applicants/applicant_faqs.jsp#54). For more detailed information on why an application may be rejected, you can review Application Error Tips <http://www.grants.gov/section910/ApplicationErrorTips.pdf>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

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### Submission Problems – What should you do?

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

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

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

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### Helpful Hints When Working with Grants.gov

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

Please go to [http://www.grants.gov/applicants/applicant\\_help.jsp](http://www.grants.gov/applicants/applicant_help.jsp) for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov  
[http://www.grants.gov/help/submit\\_application\\_faqs.jsp](http://www.grants.gov/help/submit_application_faqs.jsp).

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### Dial-Up Internet Connections

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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.)

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### MAC Users

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

### Attaching Files – Additional Tips

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

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

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## **GRANTS.GOV REGISTRATION INSTRUCTIONS FOR ORGANIZATIONS**

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The Grants.gov registration process involves three basic steps:

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

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

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

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### **DUNS NUMBER INSTRUCTIONS**

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

If your organization does not have a DUNS Number, you can obtain one at no charge by calling 1-866-705-5711 or by completing a DUNS Number Request Form ([http://www.dnb.com/US/duns\\_update/index.html](http://www.dnb.com/US/duns_update/index.html)). You will need to provide the following information:

- Legal name
- Tradestyle, doing business as (DBA), or other name by which your organization is commonly recognized
- Physical address, city, state and zip code
- Mailing address (if separate)

- Telephone number
- Contact name
- SIC code (Line of Business)
- Number of employees at your location
- Headquarters name and address (if there is a reporting relationship to a parent corporate entity)
- Is this a home-based business?

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

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

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## CENTRAL CONTRACTOR REGISTRATION (CCR) INSTRUCTIONS

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

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

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

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

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

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

## APPLICATION TRANSMITTAL INSTRUCTIONS

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

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

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

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

### **Applications Submitted Electronically**

**You must submit your grant application through the Internet using the software provided on the Grants.gov Web site (<http://www.grants.gov>) by 4:30:00 p.m. (Washington, D.C. time) on or before the deadline date.**

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

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

### **Applications Delivered by Mail**

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

**U.S. Department of Education  
Application Control Center  
Attention: CFDA Number 84.042A  
400 Maryland Avenue, S.W.  
Washington, D.C. 20202-4260**

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

1. A legibly dated U.S. Postal Service Postmark
2. A legible mail receipt with the date of mailing stamped by the U.S. Postal Service
3. A dated shipping label, invoice, or receipt from a commercial carrier
4. Any other proof of mailing acceptable to the U.S. Secretary of Education

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

1. A private metered postmark, or
2. A mail receipt that is not dated by the U.S. Postal Service



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

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

### **Applications Delivered by Commercial Carrier**

If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Sent by Mail”, then follow the instructions under the appropriate delivery method.

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

**U.S. Department of Education  
Application Control Center – Stop 4260  
Attention: CFDA Number 84.042A  
7100 Old Landover Road  
Landover, MD 20785-1506**

### **Applications Delivered by Hand**

You or your courier must hand deliver the original and two copies of the application by 4:30:00 p.m. (Washington, D.C. time) on or before the deadline date to the following address:

**U.S. Department of Education  
Application Control Center  
Attention: CFDA Number 84.042A  
550 12<sup>th</sup> Street, SW  
Potomac Center Plaza – Room 7067  
Washington, D.C. 20202-4260**

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

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

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

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

If you do not receive the notification of application receipt within 15 days from the mailing of the application, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

### **Late Applications**

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

## CLOSING DATE NOTICE

44000-01-U

DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

Student Support Services Program (SSS)

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

Catalog of Federal Domestic Assistance (CFDA) Number: 84.042A

Dates:

Applications Available: *Insert date.*

Deadline for Transmittal of Applications: *Insert date.*

Deadline for Intergovernmental Review: *Insert date.*

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The purpose of the Program is to increase the number of disadvantaged low-income college students, first generation college students, and college students with disabilities in the United States who successfully complete a program of study at the postsecondary level. The support services provided should increase their retention and graduation rates, facilitate their transfer from two-year to four-year colleges, and foster an institutional climate supportive of their success.

Program Authority: 20 U.S.C. 1070a-11 and 20 U.S.C. 1070a-14.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99.

(b) The regulations for this program in 34 CFR part 646.

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

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

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: The Administration has requested \$828,000,000 for FY 2009 Federal TRIO Programs, of which we intend to use an estimated \$271,567,000 for the Student Support Services competition. The actual level of funding, if any, depends on final congressional action. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

Estimated Range of Awards: \$220,000 to \$350,000

Estimated Average Size of Awards: \$280,000

Maximum Award: We will reject any application that proposes a budget exceeding the maximum amount listed for a single budget period of 12 months.

- For an applicant that is not currently receiving a SSS Program grant, the maximum award amount is \$220,000 for a project that will serve a minimum of 160 student participants; \$220,000 for a project that will serve only individuals with disabilities; and \$170,000 or an amount equal to \$1,375 per student participant, whichever is greater, for a project that will serve less than 160 student participants.

- For an applicant that is currently receiving a SSS Program grant the maximum award amount is the greater of (a) \$220,000, or (b) an amount equal to 103 percent of the applicant's prior grant award amount for FY 2008.

- For applicant institutions of higher education that received individual grants in the last competition and have since merged into one institution the maximum award amount is an amount equal to 103 percent of the combined FY 2008 grant award amounts.

Estimated Number of Awards: 975.

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

Project Period: Up to 60 months.

### III. Eligibility Information

1. Eligible Applicants: Institutions of higher education or combinations of institutions of higher education.

2. Cost Sharing or Matching: Section 402D of the Higher Education Act of 1965, as amended (HEA), requires that all successful applicants that use SSS Program funds for the grant-aid-to-students component must provide matching funds, in cash, from non-Federal funds, in an amount that is not less than 33 percent of the total amount of SSS Program funds used for grant-aid-to-students. This matching requirement does not apply to a grant recipient that is eligible to receive funds under part A or part B of Title III or under Title V of the HEA.

3. Other: An applicant may submit more than one application if each separate application describes a project that will serve a different campus, as defined in the program regulations, 34 CFR 646.7(c). Also, an applicant may submit more than one application if each, separate application describes a project that will serve a different population of participants: For example, individuals with disabilities who cannot readily be served by a single project. For each additional application, the applicant must submit a justification as to why the different population of participants cannot be served by a single project.

### IV. Application and Submission Information

1. Address to Request Application Package: Deborah Walsh, U.S. Department of Education, 1990 K Street, NW., suite 7000,

Washington, DC 20006-8510. Telephone: (202) 502-7600 or by e-mail: TRI0@ed.gov.

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

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

1. Content and Form of Application Submission:

Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this program.

Page Limit: Part III, the application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit Part III, the program narrative, to the equivalent of no more than 65 pages using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides. Page numbers and an identifier may be within the 1" margin.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles,

headings, footnotes, quotations, references, captions and all text in charts, tables, and graphs.

- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. Applications submitted in any other font (including Times Roman and Arial Narrow) will not be accepted.

The page limit does not apply to Part I, the application for federal assistance face sheet (SF 424); Part II, the budget information summary form (ED Form 524); the SSS Program Profile form; the one-page Project Abstract narrative form; and the assurances and certifications. The page limit also does not apply to a table of contents. If you include any attachments or appendices, these items will be counted as part of Part III, the program narrative, for purposes of the page limit requirement. You must include your complete response to the selection criteria and priorities in Part III, the program narrative.

We will reject your application if-

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

### 3. Submission Dates and Times:

Applications Available: *Insert date*.

Deadline for Transmittal of Applications: *Insert date*.

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

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

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

Deadline for Intergovernmental Review: *Insert date*.

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



5. Funding Restrictions: We specify unallowable costs in 34 CFR 646.31. We reference additional regulations outlining restrictions in the Applicable Regulations section of this notice.

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

a. Electronic Submission of Applications.

Applications for grants under the Student Support Services Program – CFDA Number 84.042A - must be submitted electronically using the Grants.gov Apply site at: <http://www.grants.gov>. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

You may access the electronic grant application for the Student Support Services Program at: <http://www.grants.gov>. You must search for the downloadable application package for this program by the CFDA number. Do not include the CFDA number's alpha suffix in your search.

Please note the following:

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are time and date stamped. Your application must be fully uploaded and submitted, and must be date/time stamped by the Grants.gov system no later than 4:30:00 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not consider your application if it is date/time stamped by the Grants.gov system later than 4:30:00 p.m., Washington, DC time, on the application deadline date. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date/time stamped by the Grants.gov system after 4:30:00 p.m., Washington, DC time, on the application deadline date.
- The amount of time it can take to upload an application will vary depending on a variety of factors including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the

application deadline date to begin the submission process through Grants.gov.

- You should review and follow the Application Submission Procedures for submitting an application through Grants.gov that are included in the application package for this program to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Application Submission Procedures pertaining to Grants.gov at:

<http://e-Grants.ed.gov/help/GrantsgovSubmissionProcedures.pdf>.

- To submit your application via Grants.gov, you must complete all the steps in the Grants.gov registration process(see <http://www.grants.gov/GetStarted>). These steps include (1) registering your organization, (2) registering yourself as an Authorized Organization Representative (AOR), and (3) getting authorized as an AOR by your organization. Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see [http://www.](http://www.grants.gov/assets/GrantsgovCoBrandBrochure8X11.pdf)

[grants.gov/assets/GrantsgovCoBrandBrochure8X11.pdf](http://www.grants.gov/assets/GrantsgovCoBrandBrochure8X11.pdf)). You also must provide on your application the same D-U-N-S Number used with this registration. Please note that the registration process may take five or more business days to complete, and you must have completed all registration steps to allow you to successfully submit an application via Grants.gov.

- You will not receive additional point value because

you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically including all information typically included on the Application for Federal Assistance (SF 424), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified above or submit a password protected file, we will not review that material.

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

- After you electronically submit your application, you will receive an automatic acknowledgment from Grants.gov that contains a Grants.gov tracking number. The Department will retrieve your application from Grants.gov and send you a second confirmation by e-mail that will include a PR/Award number (an ED-specified identifying number unique to your application).

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

Application Deadline Date Extension in Case of Technical Issues with the Grants.gov System: If you are prevented from

electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30:00 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically, or by hand delivery. You also may mail your application by following the mailing instructions as described elsewhere in this notice. If you submit an application after 4:30:00 p.m., Washington, DC time, on the deadline date, please contact the person listed elsewhere in this notice under For Further Information Contact, and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number (if available). We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your application by 4:30:00 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

Note: Extensions referred to in this section apply only to the unavailability of or technical problems with the Grants.gov system. We will not grant you an extension if you failed to fully register to submit your application to Grants.gov before the deadline date and time, or if the technical problem you experienced is unrelated to the Grants.gov system.

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

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to the Grants.gov system;

and

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

Address and mail or fax your statement to: Eileen S. Bland, U.S. Department of Education, 1990 K Street, NW., suite 7000, Washington, DC 20006-8510. FAX: (202) 502-7857.

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

b. Submission of Paper Applications by Mail.

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

By mail through the U.S. Postal Service:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.042A)  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

or

By mail through a commercial carrier:

U.S. Department of Education  
Application Control Center - Stop 4260  
Attention: (CFDA Number 84.042A)  
7100 Old Landover Road  
Landover, MD 20785-1506

Regardless of which address you use, you must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark,
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service,
- (3) A dated shipping label, invoice, or receipt from a commercial carrier, or
- (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, or

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

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

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

c. Submission of Paper Applications by Hand Delivery.

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

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.042A)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

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



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

(1) You must indicate on the envelope and – if not provided by the Department – in Item 4 of the Application for Federal Education Assistance (SF 424) the CFDA number – and suffix letter, if any – of the competition under which you are submitting your application.

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

## V. Application Review Information

1. Selection Criteria: The selection criteria for this program competition are in 34 CFR 646.21 and listed in the application package.

Note: Under the “Objectives” selection criterion, 34 CFR 646.21 (b), applicants should address the standardized objectives related to the participants’ academic achievements, including retention, academic standing, graduation, and transfer.

Applicants also should note that the graduation objective must be measured by cohorts of students who become SSS Program participants in each year of the project. Program participants enrolled at a two-year institution have four years to graduate

and/or transfer to a four year institution and participants enrolled at a four year institution have six years to graduate from the grantee institution after acceptance into the SSS Program. The application package contains specific instructions.

2. Review and Selection Process: A panel of non-federal readers will review each application in accordance with the selection criteria, pursuant to 34 CFR 646.21. The individual scores of the readers will be added and the sum divided by the number of readers to determine the reader score received in the review process. In accordance with 34 CFR 646.22, the Secretary will award prior experience points to applicants that have conducted a Student Support Services Program project within the last three fiscal years, based on their documented experience. Prior experience points, if any, will be added to the application's averaged reader score to determine the total score for each application. If there are insufficient funds for all applications with the same total scores, the Secretary will choose among the tied applications so as to serve geographical areas that have been underserved by the SSS Program.

## VI. Award Administration Information

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

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

2. Administrative and National Policy Requirements:

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

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

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c).

4. Performance Measures: The success of the SSS Program will be measured by the postsecondary persistence and degree completion rates of SSS Program participants that remain at the grantee institution. All SSS Program grantees will be required to submit an annual performance report documenting the persistence and degree attainment of their participants. Since students may take different lengths of time to complete their

degrees, multiple years of performance report data are needed to determine the degree completion rates of SSS Program participants. The Department of Education will aggregate the data provided in the annual performance reports from all grantees to determine the accomplishment level.

#### VII. Agency Contacts

For Further Information Contact: Deborah Walsh, if unavailable, contact Eileen S. Bland, U.S. Department of Education, 1990 K Street, NW., suite 7000, Washington, DC 20006-8510. Telephone: (202) 502-7600 or by e-mail: [TRIO@ed.gov](mailto:TRIO@ed.gov)

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

#### VIII Other Information

Alternative Format: Individuals with disabilities can obtain this document and a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the program contact person listed in this section.

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

[www.ed.gov/news/fedregister](http://www.ed.gov/news/fedregister)

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using

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

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

[www.gpoaccess.gov/nara/index.html](http://www.gpoaccess.gov/nara/index.html)

Dated:

/signed/  
Sara Martinez Tucker  
Under Secretary  
Delegated the Authority of the Assistant  
Secretary  
for Postsecondary Education.

**Student Support Services Program Profile**

**Instructions:** All applicants must complete this page. The completed page must be attached to the Other Attachments Form in the application package in Grants.gov (as either a .doc, .rtf, or .pdf document) in the application. **DO NOT MODIFY OR AMEND THE CONTENTS OF THIS PAGE.**

1. Applicants currently funded under the Student Support Services Program (FY 2005-2008) must provide their current grant award number. This can be found in Block 5 of the Grant Award Notification.

New applicants should leave this item blank.

PR/Award Number (Current Grantees Only): P042A (05) (06) (07) (08) \_\_\_\_\_

2. Institution (Legal Name): \_\_\_\_\_

3. All applicants must indicate the address where this project will be physically located.

Project Address: \_\_\_\_\_

\_\_\_\_\_  
Street Address, City, State, Zip Code

4. Applicants that propose to serve multiple campuses under a single grant award must provide the names and locations of all campuses/locations that will be involved in this project. Please list each service area site:

Campuses/Locations:

- #1 \_\_\_\_\_  
Name  
\_\_\_\_\_  
City, County, State and Zip Code +4
  
- #2 \_\_\_\_\_  
Name  
\_\_\_\_\_  
City, County, State and Zip Code +4
  
- #3 \_\_\_\_\_  
Name  
\_\_\_\_\_  
City, County, State and Zip Code +4

SSS Program Profile *continued*

5. All applicants must indicate the type of project they are proposing to conduct. Check only one type.

Regular: \_\_\_\_\_ Students with Disabilities (Only): \_\_\_\_\_

Note: "Regular" SSS Program projects provide services to low-income, first-generation students and students with disabilities. "Students with Disabilities" SSS Program projects provide services only to students with disabilities, one third of which must also be low-income students.

6. Grant-Aid-to-Students. There is no separate funding for Grant-Aid-to-Students. Applicants are not required to participate in Grant-Aid-to Students. However, applicants may use up to 20% of the total budget to cover the cost of grant aid. Applicants must provide the amount of funds they propose to use for Grant-Aid-to-Students. Note: Once the applicant has elected to participate in Grant-Aid-to-Students, the Department will expect that you continue for the duration of the grant cycle.

Grant-Aid-to-Students: \$\_\_\_\_\_

Institutional Match (33% - if required): \$\_\_\_\_\_ Not Applicable \_\_\_\_\_

If you are not required to match the Grant-Aid-to-Students, please indicate the reason:

Eligible, at the time of the submission date of this application, to receive funds under --

\_\_\_\_\_ Title III-Part A Strengthening Institutions Program  
\_\_\_\_\_ Title III-Part B Strengthening Historically Black Colleges  
\_\_\_\_\_ Title V Strengthening Hispanic-serving Institutions

Not Applicable \_\_\_\_\_

7. All applicants must provide the number of students they propose to serve each year.

Total Number of Proposed Student Participants to be served: /\_\_\_\_\_/

Number (Per Year):

- A. Low-Income and First-Generation: \_\_\_\_\_  
B. Low-Income only: \_\_\_\_\_  
C. First-Generation only: \_\_\_\_\_  
D. Students with disabilities: \_\_\_\_\_  
E. Low-Income and **Disabled**: \_\_\_\_\_

**8. Program Objectives:**

Please fill in the proposed percent for each objective. Note: These same objectives must be used in Part III Program Narrative section of your application and may not be revised in your narrative discussion of proposed objectives or proposed evaluation.

Sector of Grantee Institution: Please indicate:

\_\_\_\_ 2-year public or \_\_\_\_ 2-year private  
\_\_\_\_ 4-year public or \_\_\_\_ 4-year private

**1. Persistence Rate:** \_\_\_\_% of all participants served by the SSS project will persist from one academic year to the beginning of the next academic year or graduate and/or transfer from a 2-year to a 4-year institution during the academic year.

**2. Good Academic Standing Rate:** \_\_\_\_% of all enrolled participants served by the SSS project will meet the performance level required to stay in good academic standing at the grantee institution.

**3. Graduation/Transfer Rate (2-year institutions only):** \_\_\_\_% of new participants served each year will graduate with an associate's degree and/or transfer to a four-year institution within four (4) years.

**4. Graduation Rate (4-year institutions only):** \_\_\_\_% of new participants served each year will graduate within six (6) years.

**Note:** A **new participant** is an individual who was served by the SSS project for the **first time** and meets the definition of participant in 34 CFR 646.7(c) of the SSS program regulations.



## AUTHORIZING LEGISLATION AND REGULATIONS

### Title IV, Part A, Subpart 2 of the Higher Education Act of 1965, as amended

#### CHAPTER 1—FEDERAL TRIO PROGRAMS SEC. 402A.

##### PROGRAM AUTHORITY; AUTHORIZATION OF APPROPRIATIONS.

- (a) **GRANTS AND CONTRACTS AUTHORIZED.**—The Secretary shall, in accordance with the provisions of this chapter, carry out a program of making grants and contracts designed to identify qualified individuals from disadvantaged backgrounds, to prepare them for a program of postsecondary education, to provide support services for such students who are pursuing programs of postsecondary education, to motivate and prepare students for doctoral programs, and to train individuals serving or preparing for service in programs and projects so designed.
- (b) **RECIPIENTS, DURATION, AND SIZE.** —
- (1) **RECIPIENTS.**—For the purposes described in subsection(a), the Secretary is authorized, without regard to section 3709of the Revised Statutes (41 U.S.C. 5), to make grants to, and contracts with, institutions of higher education, public and private agencies and organizations, combinations of such institutions, agencies and organizations, and in exceptional circumstances, secondary schools, for planning, developing, or carrying out one or more of the services assisted under this chapter.
- (2) **DURATION.**—Grants or contracts made under this chapter shall be awarded for a period of 4 years, except that—(A) the Secretary shall award such grants or contracts for 5 years to applicants whose peer review scores were in the highest 10 percent of scores of all applicants receiving grants or contracts in each program competition for the same award year;(B) grants made under section 402G shall be awarded for a period of 2 years; and(C) grants under section 402H shall be awarded for a period determined by the Secretary.
- (3) **MINIMUM GRANTS.**—Unless the institution or agency requests a smaller amount, individual grants under this chapter shall be no less than—
- (A) \$170,000 for programs authorized by sections 402D and 402G;  
(B) \$180,000 for programs authorized by sections 402B and 402F; and  
(C) \$190,000 for programs authorized by sections 402C and 402E
- (c) **PROCEDURES FOR AWARDING GRANTS AND CONTRACTS.**—
- (1) **APPLICATION REQUIREMENTS.**—An eligible entity that desires to receive a grant or contract under this chapter shall submit an application to the Secretary in such manner and form, and containing such information and assurances, as the Secretary may reasonably require.

(2) PRIOR EXPERIENCE.—In making grants under this chapter, the Secretary shall consider each applicant’s prior experience of service delivery under the particular program for which funds are sought. The level of consideration given the factor of prior experience shall not vary from the level of consideration given such factor during fiscal years 1994 through 1997, except that grants made under section 402H shall not be given prior experience consideration.

(3) ORDER OF AWARDS; PROGRAM FRAUD.—

(A) Except with respect to grants made under sections 402G and 402H and as provided in subparagraph the Secretary shall award grants and contracts under this chapter in the order of the scores received by the application for such grant or contract in the peer review process required under paragraph (4) and adjusted for prior experience in accordance with paragraph (2) of this subsection.

(B) The Secretary is not required to provide assistance to a program otherwise eligible for assistance under this chapter, if the Secretary has determined that such program has involved the fraudulent use of funds under this chapter.

(4) PEER REVIEW PROCESS.—

(A) The Secretary shall ensure that, to the extent practicable, members of groups underrepresented in higher education, including African Americans, Hispanics, Native Americans, Alaska Natives, Asian Americans, and Native American Pacific Islanders (including Native Hawaiians), are represented as readers of applications submitted under this chapter. The Secretary shall also ensure that persons from urban and rural backgrounds are represented as readers.

(B) The Secretary shall ensure that each application submitted under this chapter is read by at least three readers who are not employees of the Federal Government (other than as readers of applications)

(5) NUMBER OF APPLICATIONS FOR GRANTS AND CONTRACTS.—The Secretary shall not limit the number of applications submitted by an entity under any program authorized under this chapter if the additional applications describe programs serving different populations or campuses.

(6) COORDINATION WITH OTHER PROGRAMS FOR DISADVANTAGED STUDENTS.—

The Secretary shall encourage coordination of programs assisted under this chapter with other programs for disadvantaged students operated by the sponsoring institution or agency, regardless of the funding source of such programs. The Secretary shall not limit an entity’s eligibility to receive funds under this chapter because such entity sponsors a program similar to the program to be assisted under this chapter, regardless of the funding source of such program. The Secretary shall permit the Director of a program receiving funds under this chapter to administer one or more additional programs for disadvantaged students operated by the sponsoring institution or agency, regardless of the funding sources of such programs.

(7) APPLICATION STATUS.—The Secretary shall inform each entity operating programs under this chapter regarding the status of their application for continued funding at least 8 months prior to the expiration of the grant or contract. The Secretary, in the case of an entity that is continuing to operate a successful program under this chapter, shall ensure that the startup date for a new grant or contract for such program immediately follows the termination of the preceding grant or contract so that no interruption of funding occurs for such successful reapplicants. The Secretary shall inform each entity

requesting assistance under this chapter for a new program regarding the status of their application at least 8 months prior to the proposed startup date of such program.

(d) OUTREACH.—

(1) IN GENERAL.—The Secretary shall conduct outreach activities to ensure that entities eligible for assistance under this chapter submit applications proposing programs that serve geographic areas and eligible populations which have been underserved by the programs assisted under this chapter.

(2) NOTICE.—In carrying out the provisions of paragraph(1), the Secretary shall notify the entities described in subsection(b) of the availability of assistance under this subsection not less than 120 days prior to the deadline for submission of applications under this chapter and shall consult national, State, and regional organizations about candidates for notification.

(3) TECHNICAL ASSISTANCE.—The Secretary shall provide technical training to applicants for projects and programs authorized under this chapter. The Secretary shall give priority to serving programs and projects that serve geographic areas and eligible populations which have been underserved by the programs assisted under this chapter. Technical training activities shall include the provision of information on authorizing legislation, goals and objectives of the program, required activities, eligibility requirements, the application process and application deadlines, and assistance in the development of program proposals and the completion of program applications. Such training shall be furnished at conferences, seminars, and workshops to be conducted at not less than 10 sites throughout the United States to ensure that all areas of the United States with large concentrations of eligible participants are served.

(4) SPECIAL RULE.—The Secretary may contract with eligible entities to conduct the outreach activities described in this subsection.

(e) DOCUMENTATION OF STATUS AS A LOW INCOME INDIVIDUAL.—

(1) Except in the case of an independent student, as defined in section 480(d), documentation of an individual's status pursuant to subsection (g)

(2) shall be made by providing the Secretary with—

- (A) A signed statement from the individual's parent or legal guardian;
- (B) Verification from another governmental source;
- (C) A signed financial aid application; or
- (D) A signed United States or Puerto Rico income tax return.

(2) In the case of an independent student, as defined in section 480(d), documentation of an individual's status pursuant to subsection(g)(2) shall be made by providing the Secretary with—

- (A) A signed statement from the individual;
- (B) Verification from another governmental source;
- (C) A signed financial aid application; or
- (D) A signed United States or Puerto Rico income tax return.

(e) AUTHORIZATION OF APPROPRIATIONS.—For the purpose of making grants and contracts under this chapter, there are authorized to be appropriated \$700,000,000 for fiscal year 1999, and such sums as may be necessary for each of the 4 succeeding fiscal years. Of the amount appropriated under this chapter, the Secretary may use no more than one half of 1 percent of such amount to obtain additional qualified readers and additional staff to review applications, to increase the level of oversight monitoring, to support impact studies, program assessments and reviews, and to provide technical assistance to potential applicants and current grantees. In

expending these funds, the Secretary shall give priority to the additional administrative requirements provided in the Higher Education Amendments of 1992, to outreach activities, and to obtaining additional readers. The Secretary shall report to Congress by October 1, 1994, on the use of these funds.

(f) DEFINITIONS.—For the purpose of this chapter:

(1) FIRST GENERATION COLLEGE STUDENT.—The term “first-generation college student” means—

(A) An individual both of whose parents did not complete a baccalaureate degree;

or

(B) In the case of any individual who regularly resided with and received support from only one parent, an individual whose only such parent did not complete a baccalaureate degree.

(2) LOW-INCOME INDIVIDUAL.—The term “low-income individual” means an individual from a family whose taxable income for the preceding year did not exceed 150 percent of an amount equal to the poverty level determined by using criteria of poverty established by the Bureau of the Census.

(3) VETERAN ELIGIBILITY.—No veteran shall be deemed ineligible to participate in any program under this chapter by reason of such individual’s age who—

(A) served on active duty for a period of more than 180 days, any part of which occurred after January 31, 1955, and was discharged or released there from under conditions other than dishonorable; or

(B) served on active duty after January 31, 1955, and was discharged or released there from because of a service connected disability.

(4) WAIVER.—The Secretary may waive the service requirements in subparagraph (A) or (B) of paragraph (3) if the Secretary determines the application of the service requirements to a veteran will defeat the purpose of a program under this chapter.

**Sec. 402D HIGHER EDUCATION ACT OF 1965 SEC. 402D. 20 U.S.C. 1070a-14  
STUDENT SUPPORT SERVICES.**

(a) PROGRAM AUTHORITY.—The Secretary shall carry out a program to be known as student support services which shall be designed—

(1) To increase college retention and graduation rates for eligible students;

(2) To increase the transfer rates of eligible students from 2-year to 4-year institutions; and

(3) To foster an institutional climate supportive of the success of low-income and first generation college students and individuals with disabilities.

(b) PERMISSIBLE SERVICES.—A student support services project assisted under this chapter may provide services such as—

(1) Instruction in reading, writing, study skills, mathematics, and other subjects necessary for success beyond secondary school;

(2) Personal counseling;

(3) Academic advice and assistance in course selection;

(4) Tutorial services and counseling and peer counseling;

- 5) Exposure to cultural events and academic programs not usually available to disadvantaged students;
- (6) Activities designed to acquaint students participating in the project with the range of career options available to them;
- (7) Activities designed to assist students participating in the project in securing admission and financial assistance for enrollment in graduate and professional programs;
- (8) Activities designed to assist students currently enrolled in 2-year institutions in securing admission and financial assistance for enrollment in a four-year program of postsecondary education;
- (9) Mentoring programs involving faculty or upper class students, or a combination thereof; and
- (10) Programs and activities as described in paragraphs (1) through (9) which are specially designed for students of limited English proficiency.

(c) SPECIAL RULE.—

(1) USE FOR STUDENT AID.—A recipient of a grant that undertakes any of the permissible services identified in subsection

(b) may, in addition, use such funds to provide grant aid to students. A grant provided under this paragraph shall not exceed the maximum appropriated Pell Grant or, be less than the minimum appropriated Pell Grant, for the current academic year. In making grants to students under this subsection, an institution shall ensure that adequate consultation takes place between the student support service program office and the institution's financial aid office.

(2) ELIGIBLE STUDENTS.—For purposes of receiving grant aid under this subsection, eligible students shall be current participants in the student support services program offered by the institution and be—

(A) students who are in their first 2 years of postsecondary education and who are receiving Federal Pell Grants under subpart 1; or

(B) students who have completed their first 2 years of postsecondary education and who are receiving Federal Pell Grants under subpart 1 if the institution demonstrates to the satisfaction of the Secretary that—

(i) these students are at high risk of dropping out; and

(ii) it will first meet the needs of all its eligible first- and second-year students for services under this paragraph.

(3) DETERMINATION OF NEED.—A grant provided to a student under paragraph (1) shall not be considered in determining that student's need for grant or work assistance under this title, except that in no case shall the total amount of student financial assistance awarded to a student under this title exceed that student's cost of attendance, as defined in section 472.

(4) MATCHING REQUIRED.—A recipient of a grant who uses such funds for the purpose described in paragraph (1) shall match the funds used for such purpose, in cash, from non-Federal funds, in an amount that is not less than 33 percent of the total amount of funds used for that purpose. This paragraph shall not apply to any grant recipient that is an institution of higher education eligible to receive funds under part A or B of title III or title V.

(5) RESERVATION.—In no event may a recipient use more than 20 percent of the funds received under this section for grant aid.

(6) SUPPLEMENT, NOT SUPPLANT.—Funds received by a grant recipient that are used under this subsection shall be used to supplement, and not supplant, non-Federal funds expended for student support services programs.

(c) REQUIREMENTS FOR APPROVAL OF APPLICATIONS.—In approving applications for student support services projects under this chapter for any fiscal year, the Secretary shall—

(1) Require an assurance that not less than two-thirds of the persons participating in the project proposed to be carried out under any application—

(A) be individuals with disabilities; or

(B) be low-income individuals who are first generation college students;

(2) Require an assurance that the remaining students participating in the project proposed to be carried out under any application be low-income individuals, first generation college students, or individuals with disabilities;

(3) Require an assurance that not less than one-third of the individuals with disabilities participating in the project be low-income individuals;

(4) Require that there be a determination by the institution, with respect to each participant in such project, that the participant has a need for academic support in order to pursue successfully a program of education beyond secondary school;

(5) Require that such participants be enrolled or accepted for enrollment at the institution which is the recipient of the grant or contract; and

(6) Consider, in addition to such other criteria as the Secretary may prescribe, the institution's effort, and where applicable past history, in—

(A) Providing sufficient financial assistance to meet the full financial need of each student in the project; and

(B) Maintaining the loan burden of each such student at a manageable level.

## Student Support Services Program Regulations

[Code of Federal Regulations]

[Title 34, Volume 3]

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### **TITLE 34--EDUCATION**

#### **DEPARTMENT OF EDUCATION**

##### **PART 646--STUDENT SUPPORT SERVICES PROGRAM**

###### Subpart A--General

###### Sec.

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646.2 Who is eligible to receive a grant?

646.3 Who is eligible to participate in a Student Support Services project?

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646.5 How long is a project period?

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Authority: 20 U.S.C. 1070a-11 and 1070a-14, unless otherwise noted.

Source: 61 FR 38537, July 24, 1996, unless otherwise noted.

## Subpart A--General

### Sec. 646.1 What is the Student Support Services Program?

The Student Support Services Program provides grants for projects designed to--

- (a) Increase the retention and graduation rates of eligible students;
- (b) Increase the transfer rate of eligible students from two-year to four-year institutions; and
- (c) Foster an institutional climate supportive of the success of low-income and first generation college students and individuals with disabilities through services such as those described in Sec. 646.4.

(Authority: 20 U.S.C. 1070a-11 and 1070a-14)

### Sec. 646.2 Who is eligible to receive a grant?

An institution of higher education or a combination of institutions of higher education is eligible to receive a grant to carry out a Student Support Services project.

(Authority: 20 U.S.C. 1070a-14)

### Sec. 646.3 Who is eligible to participate in a Student Support Services project?

A student is eligible to participate in a Student Support Services project if the student meets all of the following requirements:

- (a) Is a citizen or national of the United States or meets the residency requirements for Federal student financial assistance.
- (b) Is enrolled at the grantee institution or accepted for enrollment in the next academic term at that institution.
- (c) Has a need for academic support, as determined by the grantee, in order to pursue successfully a postsecondary educational program.
- (d) Is--
  - (1) A low-income individual;
  - (2) A first generation college student; or
  - (3) An individual with disabilities.

(Authority: 20 U.S.C. 1070a-14)

### Sec. 646.4 What activities and services may a project provide?

A Student Support Services project may provide services such as:

- (a) Instruction in reading, writing, study skills, mathematics, and other subjects necessary for success beyond secondary school.
- (b) Personal counseling.
- (c) Academic advice and assistance in course selection.
- (d) Tutorial services and counseling and peer counseling.
- (e) Exposure to cultural events and academic programs not usually available to disadvantaged students.



(f) Activities designed to acquaint students participating in the project with the range of career options available.

(g) Activities designed to secure admission and financial assistance for enrollment in graduate and professional programs.

(h) Activities designed to assist students currently enrolled in two-year institutions in securing admission and financial assistance for enrollment in a four-year program of postsecondary education.

(i) Mentoring programs involving faculty or upper class students, or any combination of faculty members and upper class students.

(j) Programs and activities as described in paragraphs (a) through (i) of this section that are specifically designed for students of limited English proficiency.

(k) Other activities designed to meet the purposes of the Student Support Services Program stated in Sec. 646.1.

(Authority: 20 U.S.C. 1070a-14)

Sec. 646.5 How long is a project period?

(a) Except as provided in paragraph (b) of this section, a project period under the Student Support Services Program is four years.

(b) The Secretary approves a project period of five years for applicants that score in the highest ten percent of all applicants approved for new grants under the criteria in Sec. 646.21.

(Authority: 20 U.S.C. 1070a-11)

Sec. 646.6 What regulations apply?

The following regulations apply to the Student Support Services Program:

(a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 82, 85 and 86.

(b) The regulations in this part 646.

(Authority: 20 U.S.C. 1070a-11 and 1070a-14)

Sec. 646.7 What definitions apply?

(a) *Definitions in the Act.* The following terms used in this part are defined in sections 402(A), (g), 481, or 1201(a) of the Higher Education Act (HEA) of 1965, as amended:

First generation college student

Institution of higher education

Low-income individual

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

Applicant

Application

Award

Budget

Budget Period  
Department  
EDGAR  
Equipment  
Facilities  
Fiscal year  
Grant  
Grant Period  
Grantee  
Project  
Project period  
Public  
Secretary  
Supplies

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

*Academic need* with reference to a student means a student whom the grantee determines needs one or more of the services stated under Sec. 646.4 to succeed in a postsecondary educational program.

*Combination of institutions* of higher education means two or more institutions of higher education that have entered into a cooperative agreement for the purpose of carrying out a common objective, or an entity designated or created by a group of institutions of higher education for the purpose of carrying out a common objective on their behalf.

*Different Campus* means an institutional site that is geographically apart from and independent of the main campus of the institution. The Secretary considers a location of an institution to be independent of the main campus if the location--

- (1) Is permanent in nature;
- (2) Offers courses in educational programs leading to a degree, certificate, or other recognized educational credential;
- (3) Has its own faculty and administrative or supervisory organization; and
- (4) Has its own budgetary and hiring authority.

*Different population of participants* means a group of--

- (1) Low-income, first-generation college students; or
- (2) Disabled students.

*Individual with disabilities* means a person who has a diagnosed physical or mental impairment that substantially limits that person's ability to participate in the educational experiences and opportunities offered by the grantee institution.

*Limited English proficiency* with reference to an individual, means a person whose native language is other than English and who has sufficient difficulty speaking, reading, writing, or understanding the English language to deny that individual the opportunity to learn successfully in classrooms in which English is the language of instruction.

*Participant* means an individual who--

- (1) Is determined to be eligible to participate in the project under Sec. 646.3; and
- (2) Receives project services that the grantee has determined to be sufficient to increase the individual's chances for success in a postsecondary educational program.

*Sufficient financial assistance* means the amount of financial aid offered a Student Support Services student, inclusive of Federal, State, local, private, and institutional aid which, together with parent or student contributions, is equal to the cost of attendance as determined by a financial aid officer at the institution.

(Authority: 20 U.S.C. 1070a-11 and 1070a-14)

### **Subpart B--How Does One Apply for an Award?**

#### **Sec. 646.10 How many applications for a Student Support Services award may an eligible applicant submit?**

The Secretary accepts more than one application from an eligible applicant so long as each additional application describes a project that serves a different campus, or a different population of participants who cannot readily be served by a single project.

(Authority: 20 U.S.C. 1070a-11 and 1070a-14)

#### **Sec. 646.11 What assurances must an applicant include in an application?**

An applicant shall assure in its application that--

(a) At least two-thirds of the students it will serve in its Student Support Services project will be--

- (1) Low-income individuals who are first generation college students; or
- (2) Individuals with disabilities;

(b) The remaining students it will serve will be low-income individuals, first generation college students, or individuals with disabilities;

(c) Not less than one-third of the individuals with disabilities will be low-- income individuals; and

(d) Each student participating in the project will be offered sufficient financial assistance to meet that student's full financial need.

(Approved by the Office of Management and Budget under control number 1840-0017)

(Authority: 20 U.S.C. 1070a-14)

### **Subpart C--How Does the Secretary Make a Grant?**

#### **Sec. 646.20 How does the Secretary decide which new grants to make?**

(a) The Secretary evaluates an application for a new grant as follows:

(1)(i) The Secretary evaluates the application on the basis of the selection criteria in Sec. 646.21.

(ii) The maximum score for all the criteria in Sec. 646.21 is 100 points. The maximum score for each criterion is indicated in parentheses with the criterion.

(2)(i) If an application for a new grant proposes to continue to serve substantially the same population or campus that the applicant is serving under an expiring grant, the Secretary evaluates the applicant's prior experience in delivering services under the expiring grant on the basis of the criteria in Sec. 646.22.

(ii) The maximum score for all the criteria in Sec. 646.22 is 15 points. The maximum score for each criterion is indicated in parentheses with the criterion.

(b) The Secretary makes new grants in rank order on the basis of the applications' total scores under paragraphs (a)(1) and (a)(2) of this section.

(c) If the total scores of two or more applications are the same and there is insufficient money available to fully fund them both after funding the higher-ranked applications, the Secretary chooses among the tied applications so as to serve geographic areas that have been underserved by the Student Support Services Program.

(d) The Secretary does not make grants to applicants that carried out a Federal TRIO program project that involved the fraudulent use of funds.

(Authority: 20 U.S.C. 1070a-11 and 1070a-14)

Sec. 646.21 What selection criteria does the Secretary use to evaluate an application?

The Secretary uses the following criteria to evaluate an application for a new grant:

(a) *Need for the project* (24 points). The Secretary evaluates the need for a Student Support Services project proposed at the applicant institution on the basis of the extent to which the application contains clear evidence of--

(1) (8 points) A high number or percentage, or both, of students enrolled or accepted for enrollment at the applicant institution who meet the eligibility requirements of Sec. 646.3;

(2) (8 points) The academic and other problems that eligible students encounter at the applicant institution; and

(3) (8 points) The differences between eligible Student Support Services students compared to an appropriate group, based on the following indicators:

(i) Retention and graduation rates.

(ii) Grade point averages.

(iii) Graduate and professional school enrollment rates (four-year colleges only).

(iv) Transfer rates from two-year to four-year institutions (two-year colleges only).

(b) *Objectives* (8 points). The Secretary evaluates the quality of the applicant's proposed project objectives on the basis of the extent to which they--

(1) (2 points) Include performance, process and outcome objectives relating to each of the purposes of the Student Support Services Program stated in Sec. 646.1;

(2) (2 points) Address the identified needs of the proposed participants;

(3) (2 points) Are clearly described, specific, and measurable; and

(4) (2 points) Are ambitious but attainable within each budget period and the project period given the project budget and other resources.

(c) *Plan of operation* (30 points). The Secretary evaluates the quality of the applicant's plan of operation on the basis of the following:

(1) (3 points) The plan to inform the institutional community (students, faculty, and staff) of the goals, objectives, and services of the project and the eligibility requirements for participation in the project.

(2) (3 points) The plan to identify, select, and retain project participants with academic need.

(3) (4 points) The plan for assessing each individual participant's need for specific services and monitoring his or her academic progress at the institution to ensure satisfactory academic progress.

(4) (10 points) The plan to provide services that address the goals and objectives of the project.

(5) (10 points) The applicant's plan to ensure proper and efficient administration of the project, including the organizational placement of the project; the time commitment of key project staff;

the specific plans for financial management, student records management, and personnel management; and, where appropriate, its plan for coordination with other programs for disadvantaged students.

(d) *Institutional commitment* (16 points). The Secretary evaluates the institutional commitment to the proposed project on the basis of the extent to which the applicant has--

(1) (6 points) Committed facilities, equipment, supplies, personnel, and other resources to supplement the grant and enhance project services;

(2) (6 points) Established administrative and academic policies that enhance participants' retention at the institution and improve their chances of graduating from the institution;

(3) (2 points) Demonstrated a commitment to minimize the dependence on student loans in developing financial aid packages for project participants by committing institutional resources to the extent possible; and

(4) (2 points) Assured the full cooperation and support of the Admissions, Student Aid, Registrar and data collection and analysis components of the institution.

(e) *Quality of personnel* (9 points). To determine the quality of personnel the applicant plans to use, the Secretary looks for information that shows--

(1) (3 points) The qualifications required of the project director, including formal education and training in fields related to the objectives of the project, and experience in designing, managing, or implementing Student Support Services or similar projects;

(2) (3 points) The qualifications required of other personnel to be used in the project, including formal education, training, and work experience in fields related to the objectives of the project; and

(3) (3 points) The quality of the applicant's plan for employing personnel who have succeeded in overcoming barriers similar to those confronting the project's target population.

(f) *Budget* (5 points). The Secretary evaluates the extent to which the project budget is reasonable, cost-effective, and adequate to support the project.

(g) *Evaluation plan* (8 points). The Secretary evaluates the quality of the evaluation plan for the project on the basis of the extent to which--

(1) The applicant's methods for evaluation--

(i) (2 points) Are appropriate to the project and include both quantitative and qualitative evaluation measures; and

(ii) (2 points) Examine in specific and measurable ways, using appropriate baseline data, the success of the project in improving academic achievement, retention and graduation of project participants;

and

(2) (4 points) The applicant intends to use the results of an evaluation to make programmatic changes based upon the results of project evaluation.

(Approved by the Office of Management and Budget under control number 1840-0017)

(Authority: 20 U.S.C. 1070a-14)

Sec. 646.22 How does the Secretary evaluate prior experience?

(a) In the case of an application described in Sec. 646.20(a)(2)(i), the Secretary reviews information relating to an applicant's performance under its expiring Student Support Services project. This information may come from performance reports, site visit reports, project evaluation reports, and any other verifiable information submitted by the applicant.

(b) The Secretary evaluates the applicant's prior experience in achieving the goals of the Student Support Services Program on the basis of the following criteria:

- (1) (4 points) The extent to which project participants persisted toward completion of the academic programs in which they were enrolled.
- (2) (4 points) The extent to which project participants met academic performance levels required to stay in good academic standing at the grantee institution.
- (3) (4 points) (i) For four-year institutions, the extent to which project participants graduated; and  
(ii) For two-year institutions, the extent to which project participants either graduated or transferred to four-year institutions.
- (4) (3 points) The extent to which the applicant has met the administrative requirements--including recordkeeping, reporting, and financial accountability--under the terms of the previously funded award.

(Approved by the Office of Management and Budget under control number 1840-0017)

(Authority: 20 U.S.C. 1070a-11 and 1070a-14)

Sec. 646.23 How does the Secretary set the amount of a grant?

- (a) The Secretary sets the amount of a grant on the basis of--
  - (1) 34 CFR 75.232 and 75.233, for new grants; and
  - (2) 34 CFR 75.253, for the second and subsequent years of a project period.
- (b) If the circumstances described in section 402A(b)(3) of the HEA exist, the Secretary uses the available funds to set the amount of the grant at the lesser of--
  - (1) \$170,000; or
  - (2) The amount requested by the applicant.

(Authority: 20 U.S.C. 1070a-11)

Subpart D--What Conditions Must Be Met by a Grantee?

Sec. 646.30 What are allowable costs?

The cost principles that apply to the Student Support Services Program are in 34 CFR part 74, subpart Q. Allowable costs include the following if they are reasonably related to the objectives of the project:

- (a) Cost of remedial and special classes if--
  - (1) These classes are not otherwise available at the grantee institution;
  - (2) Are limited to eligible project participants; and
  - (3) Project participants are not charged tuition for classes paid for by the project.
- (b) Courses in English language instruction for students of limited English proficiency if these classes are limited to eligible project participants and not otherwise available at the grantee institution.
- (c) In-service training of project staff.
- (d) Activities of an academic or cultural nature, such as field trips, special lectures, and symposiums, that have as their purpose the improvement of the participants' academic progress and personal development.

(e) Transportation of participants and staff to and from approved educational and cultural activities sponsored by the project.

(f) Purchase of computer hardware, computer software, or other equipment to be used for student development, student records and project administration if the applicant demonstrates to the Secretary's satisfaction that the equipment is required to meet the objectives of the project more economically or efficiently.

(g) Professional development travel for staff if directly related to the project's overall purpose and activities, except that these costs may not exceed four percent of total project salaries. The Secretary may adjust this percentage if the applicant demonstrates to the Secretary's satisfaction that a higher percentage is necessary and reasonable.

(h) Project evaluation that is directly related to assessing the project's impact on student achievement and improving the delivery of services.

(Authority: 20 U.S.C. 1070a-14)

#### Sec. 646.31 What are unallowable costs?

Costs that may not be charged against a grant under the Student Support Services Program include, but are not limited to, the following:

- (a) Costs involved in recruiting students for enrollment at the institution.
- (b) Tuition, fees, stipends, and other forms of direct financial support for staff or participants.
- (c) Research not directly related to the evaluation or improvement of the project.
- (d) Construction, renovation, or remodeling of any facilities.

(Authority: 20 U.S.C. 1070a-14)

#### Sec. 646.32 What other requirements must a grantee meet?

(a) *Eligibility of participants.* (1) A grantee shall determine the eligibility of each participant in the project when the individual is selected to participate. The grantee does not have to revalidate a participant's eligibility after the participant's initial selection.

(2) A grantee shall determine the low-income status of an individual on the basis of the documentation described in section 402A(e) of the Higher Education Act.

(3) A grantee may not serve any individual who is receiving the same services from another Federal TRIO program.

(b) *Recordkeeping.* A grantee shall maintain participant records that show--

(1) The basis for the grantee's determination that each participant is eligible to participate in the project under Sec. 646.3;

(2) The grantee's basis for determining the academic need for each participant;

(3) The services that are provided to each participant; and

(4) The performance and progress of each participant by cohort for the duration of the participant's attendance at the grantee institution.

(c) *Project director.* (1) A grantee shall employ a full-time project director unless paragraph (c) (3) of this section applies.

(2) The grantee shall give the project director sufficient authority to administer the project effectively.

(3) The Secretary waives the requirement in paragraph (c)(1) of this section if the applicant demonstrates that the requirement will hinder coordination--

(i) Among the Federal TRIO programs; or

(ii) Between the programs funded under sections 404A through 410 of the Higher Education Act and similar programs funded through other sources.

(d) *Project coordination.* (1) The Secretary encourages grantees to coordinate project services with other programs for disadvantaged students operated by the grantee institution provided the Student Support Services grant funds are not used to support activities reasonably available to the general student population

. (2) To the extent practical, the grantee may share staff with programs serving similar populations provided the grantee maintains appropriate records of staff time and effort and does not commingle grant funds.

(3) Costs for special classes and events that would benefit Student Support Services students and participants in other programs for disadvantaged students must be proportionately divided among the benefiting projects.

(Approved by the Office of Management and Budget under control number 1840-0017)

(Authority: 20 U.S.C. 1070a-11 and 1070a)



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**Part IV – Student Support Services Program Assurances**

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Attach this Assurance Form to the “Other Attachments Form” in the Grants.gov system. Applicants must copy and paste this page into a separate document or recreate the page exactly as it appears. Then complete the page, save it to your computer and attach it to the “Other Attachments Form” as either a .doc, rtf, or pdf document. Do not modify or amend the contents of the form in any way.

As the duly authorized representative of the applicant, I certify that the applicant will comply with the following statutory requirements:

1. The applicant assures that at least two-thirds (2/3) of the persons who participate in the project will be individuals with disabilities or low-income individuals who also are first-generation college students; and that at least one third (1/3) of the student participants who are individuals with disabilities also will be low-income individuals.
2. The applicant assures that the remaining students participating in the project will be either low-income individuals, first generation college students, or individuals with disabilities.
3. The person whose signature appears below is authorized to sign this application and to commit the applicant to the above provisions.

\_\_\_\_\_  
Signature of Authorized Certifying Official

\_\_\_\_\_  
Title of Authorized Certifying Official

\_\_\_\_\_  
Application Organization

\_\_\_\_\_  
Date Signed

## **INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS EXECUTIVE ORDER 12372**

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

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. A listing of the Single Point of Contact for each State may be viewed at:

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

## GENERAL EDUCATION PROVISIONS ACT (GEPA) SECTION 427

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

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

### **NOTES:**

- **Applicants for new awards must include information in their applications to address this provision in order to receive funding under this program.**
- **Applicants are required to address this provision by attaching a statement to the ED GEPA 427 Form that must be downloaded from [Grants.gov](https://www.grants.gov).**

## GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)

### What is GPRA?

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

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

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

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

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

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

### What are the performance indicators for the Student Support Services Program?

The performance indicators for the Student Support Services Program are part of the Department's plan for meeting Goal 3. The SSS Program is part of the Federal TRIO Programs. The overarching goal of the Federal TRIO Programs is "to increase the percentage of low-income and first generation college students who successfully pursue postsecondary education opportunities.

The specific performance indicators for the Student Support Services Program is as follows:

- The percentage of TRIO Student Support Services participants persisting at the same institution.
- The percentage of Student Support Services participants completing an Associates degree at original institution or transferring to a four-year institution within four years.
- The percentage of Student Support Services first-year students completing a Bachelor's degree at original institution within six-years.
- The gap between the cost per successful outcome and the cost per program participant.

All SSS grantees will be required to submit an annual performance report documenting the persistence and degree attainment of their participants. Since, on average, students take three years to complete an Associate's Degree and six years to complete a Bachelor's degree, multiple years of performance report data are needed to determine the degree completion rates of SSS participants. The Department of Education will aggregate the data provided in the annual performance reports from all grantees to determine the accomplishment level.

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

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

The most recent version of this program's annual performance report can be viewed at <http://www.ed.gov/about/offices/list/ope/trio/index.html>.

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## INSTRUCTIONS FOR COMPLETING THE APPLICATION PACKAGE

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The SSS Program application consists of the following four parts:

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

**\*Notes:**

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

**Part II: ED Form 524**  
Department of Education Budget Summary Form Information Non-Construction Programs (ED Form 524)

**Part III: Program Narrative**  
ED Abstract Attachment Form  
Project Narrative Attachment Form  
Other Attachments Form

**NOTE:** In Grants.gov, applicants will find a list of *Mandatory Forms* which includes all of the required forms, assurances, and the Project Narrative Attachment Form, the ED Abstract Attachment Form, and the Other Attachments Form.

The ED Abstract Form is where you attach the project abstract. This one-page abstract, which may be single-spaced, will not count against the 65 pages you are allowed for your response to the selection criteria.

**\* All attachments must be in .DOC, .RTF, or .PDF format. Other types of files will not be accepted.**

The Project Narrative Attachment Form (found in the Grants.gov system) is where applicants will attach their **Part III – Program Narrative** responses to the selection criteria that will be used to evaluate applications submitted for this competition. **This section has a strict page limit of 65 pages**, excluding a *Table of Contents*. **Please see the Notice for detailed information on page limits.** You should include a *Table of Contents* for your application as the first page of this section. The *Table of Contents* will not count against the 65 pages you are allowed for your response to the selection criteria. **You will also include your budget narrative in this section as a part of the selection criteria.**

The Other Attachments Form (found in the Grants.gov application system.) is where you will attach the ***Student Support Services Program Profile Form and the Student Support Services Assurances Form***. You may not change the wording of the standardized objectives.

**Part IV: Assurances, Certification, and Survey Form –**

**ED GEPA 427 Form**

**Assurances for Non-Construction Program (SF-424B)**

**Grants.gov Lobbying Form (ED Form 80-0013)**

**Disclosure of Lobbying Activities (SF-LLL)**

**Survey Instructions on Ensuring Equal Opportunity for Applicants**

## INSTRUCTIONS FOR PROJECT NARRATIVE

The following information supplements the information provided in the “Dear Applicant” letter, “Competition Highlights,” and the Notice.

**The *Program Narrative* is to be attached to the Program Narrative Attachment Form in Grants.gov.**

Before preparing the *Program Narrative*, applicants should review the “Dear Applicant” letter, Competition Highlights, Notice, program statute, and program regulations for specific guidance and requirements. Note that applications will be evaluated according to the specific selection criteria specified in the Notice and this package.

The Secretary evaluates an application on the basis of the broad criteria in 34 CFR 646.21 of the SSS Program regulations as identified in this application (see the Authorizing Legislation and Regulations). The *Program Narrative* should provide, in detail, the information that addresses the selection criteria. The maximum possible score for each category of selection criterion is indicated in parenthesis.

You must limit the *Program Narrative* to 65 pages, double-spaced in 12-point font, and number the pages consecutively. The narrative should be written concisely. Only the required information should be submitted. If appendices or other supplemental materials are included, they will count as part of the 65-page limit. Please refer to the Notice (see Content and Form of Application Submission) in this application for additional application submission requirements.

To facilitate the review of the application, provide responses to each of the following selection criteria in the following order:

1. PROJECT DESIGN
  - A. Need (34 CFR 646.21(a)) (24 points)
  - B. Objectives (34 CFR 646.21(b)) ( 8 points)
  - C. Plan of Operation (34 CFR 646.21(c)) (30 points)
  - D. Institutional Commitment (34 CFR 646.21(d)) (16 points)
  - E. Quality of Personnel (34 CFR 646.21(e)) ( 9 points)
  - F. Budget (34 CFR 646.21(f) ) ( 5 points)
  - G. Evaluation Plan (34 CFR 646.21(g)) ( 8 points)

|  |            |
|--|------------|
| Total Maximum Score for Selection Criteria | 100 points |
|--|------------|

### Formatting

Double-space all text in the application, including titles and headings, and all text in charts, tables, graphs, footnotes, quotations, references, and captions. Applicants may use one of the following fonts: *Times New Roman*, *Courier*, *Courier New* or *Arial*, only.



Applications submitted in any other font (including *Times Roman* and *Arial Narrow*) will not be accepted. Applicants must use a size 12 font, only.

Include a *Table of Contents*: it will not be counted toward your 65-page limit. Appendices and attachments should not be included, as these items will be counted as part of the 65-page limit.

Applicants are encouraged to include an identifying header or footer that contains the applicant's name and the page numbers. Applicants may use the one-inch (1") margin at either the top or bottom of each page for this header or footer. The pages must be numbered in consecutive order.

The Program Narrative Attachment Form is limited to 65 pages. This section will include the discussion of the selection criteria. The page limit does not apply to:

- Application Face Sheet (Application for Federal Assistance Form – SF 424)
- Table of Contents
- Project Abstract
- Budget Summary Form (ED Form 524)
- Student Support Services Program Profile Form
- Assurances and Certifications
- ED GEPA 427 Form

The Notice contains specific instructions on page limits.

In the Program Narrative, the applicant should address the selection criteria in the above order (A-F and G) because this is the order in which the Technical Review Form is organized: The Technical Review Form is used by the peer reviewers to evaluate applications.

**The following guidance may assist you in addressing each of the selection criteria:**

**(A). Need:** In responding to this criterion, you must provide data to define the target population: the academic, financial, and other problems encountered by eligible project participants to prevent their completing undergraduate programs. Also, you must provide data to demonstrate that the proposed target population is first generation and low income with academic need.

**(B). Objectives:** All applicants must include the three appropriate standardized objectives as listed on the SSS Program Profile form. On the Profile form, you must fill in the blanks indicating the percentage level of achievement for each of these objectives. Applicants should complete either standardized objective three or four as appropriate to the sector designation of your respective institutions. These objectives may not be rewritten, restated or reworded.

In the Program Narrative, you must address each of the appropriate objectives, and explain how these objectives are ambitious and attainable. Applicants should use comparative data to show why the proposed percentages are ambitious and attainable, based on information provided in the Need section of the Program Narrative. Applicants may add additional objectives, but are not required to do so. Applicants will not receive additional points or penalties for proposing additional objectives.

**(C). Plan of Operation:** This criterion contains five sub-criteria, and applicants must address all five sub-criteria. This part of the application should provide information on who, what, when, and how the project will provide services to meet the goals and objectives.

**(D). Institutional Commitment:** Applicants must address all four sub-criteria. In addressing this criterion, the applicant must provide information on its financial plan for carrying out the project, including the applicant's proposed commitment of institutional resources to the SSS participants to minimize the dependence on student loans in developing financial aid packages for project participants by committing institutional resources. This section should provide information that shows that the proposed budget will provide the resources necessary to successfully carry out the proposed project. Applicants should demonstrate here how the proposed resources would enable them to carry out the proposed project in the most cost-effective manner possible.

**(E). Quality of Personnel:** Applicants must address all three of the sub-criteria under this criterion. Applicants must identify key personnel and must provide the minimum qualifications for all key personnel positions. The minimum educational qualifications must include the type of degree required and the acceptable field(s) of study. The type and minimum amount of work-related experience should also be described for each position. In addressing this criterion, you must not provide the qualifications of current staff: you must detail the qualifications required for each position. Applicants are not required to submit resumes or job descriptions in the application—this information can be described or summarized. The “plan to employ personnel who have succeeded in overcoming barriers similar to the target population to be served” must be specific. The inclusion of an equal employment opportunity statement and/or a non-discriminatory employment practices policy alone is not an adequate response to this criterion.

**(F). Budget:** In response to this criterion, applicants must provide a detailed, itemized budget (Form 524) and a detailed budget narrative for the first-year (2009-2010) budget period, only. The budget narrative is to be included in the *Program Narrative (Part III)* to be attached under project Design (F). Additional budget instructions are cited in the instructions entitled “First Year Budget and Budget Summary Form (ED Form 524) Instructions” on the following pages. Note: The detailed budget narrative is part of the 65 page limit for Part III.

**(G). Evaluation Plan:** A strong evaluation plan should be included and should be used, as appropriate, to shape the development of the project from the beginning of the grant period. The evaluation plan should include benchmarks to monitor progress toward meeting specific project objectives based on the program's performance indicators. The plan should describe the evaluation design, indicating: (1) what types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports and outcomes will be available; and (7) how the applicant will use the information collected through evaluation to monitor progress of the funded project and to provide accountability information about the success of the project. The use of an outside evaluator is not required.

## INSTRUCTIONS FOR STANDARD FORMS

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

## INSTRUCTIONS FOR THE SF-424

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 preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

| Item | Entry:   | Item | Entry:  |
|------|--|------|---|
| 1.   | <b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Preapplication</li> <li>• Application</li> <li>• Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.</li> </ul>   | 10.  | <b>Name Of Federal Agency:</b> (Required) Enter the name of the Federal agency from which assistance is being requested with this application.  |
|      |  | 11.  | <b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.  |
| 2.   | <b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. <ul style="list-style-type: none"> <li>A. Increase Award      B. Decrease Award</li> <li>C. Increase Duration    D. Decrease Duration</li> <li>E. Other (specify)</li> </ul> </li> </ul>   | 12.  | <b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.  |
|      |  | 13.  | <b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.  |
|      |  | 14.  | <b>Areas Affected By Project:</b> List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.   |
| 3.   | <b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.  | 15.  | <b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.   |
| 4.   | <b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.   |      |   |
| 5a.  | <b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.  | 16.  | <b>Congressional Districts Of:</b> (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 2-3 characters District Number, e.g., CA-12 for California 12 <sup>th</sup> district, NC-103 for North Carolina's 103 <sup>rd</sup> district. <ul style="list-style-type: none"> <li>• If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland.</li> <li>• If nationwide, i.e. all districts within all states are affected, enter US-all.</li> <li>• If the program/project is outside the US, enter 00-000.</li> </ul> |
| 5b.  | <b>Federal Award Identifier:</b> For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.  |      |   |
| 6.   | <b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.   |      |   |
| 7.   | <b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.   |      |   |
| 8.   | <b>Applicant Information:</b> Enter the following in accordance with agency instructions: <ul style="list-style-type: none"> <li><b>a. Legal Name:</b> (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.</li> <li><b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.</li> <li><b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.</li> </ul> | 17.  | <b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.  |
|      |  | 18.  | <b>Estimated Funding:</b> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.   |

|   |  |                     |   |                      |  |                                |  |                                |               |                          |  |                                 |                   |                                |                                 |  |   |  |  |   |   |  |                                 |                                    |                    |     |   |
|---|--|---------------------|---|----------------------|--|--------------------------------|--|--------------------------------|---------------|--------------------------|--|---------------------------------|-------------------|--------------------------------|---------------------------------|--|---|--|--|---|---|--|---------------------------------|------------------------------------|--------------------|-----|---|
|   | <p><b>d. Address:</b> Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p> <p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p> <p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>  | 19.                 | <p><b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p> |                      |  |                                |  |                                |               |                          |  |                                 |                   |                                |                                 |  |   |  |  |   |   |  |                                 |                                    |                    |     |   |
|   |  | 20.                 | <p><b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>  |                      |  |                                |  |                                |               |                          |  |                                 |                   |                                |                                 |  |   |  |  |   |   |  |                                 |                                    |                    |     |   |
| 9.  | <p>Type of Applicant: (Required)<br/>Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0" data-bbox="154 588 844 1081"> <tr> <td data-bbox="154 588 495 630">A. State Government</td> <td data-bbox="511 588 844 630">M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</td> </tr> <tr> <td data-bbox="154 630 495 661">B. County Government</td> <td data-bbox="511 630 844 661">N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</td> </tr> <tr> <td data-bbox="154 661 495 693">C. City or Township Government</td> <td data-bbox="511 661 844 693">O. Private Institution of Higher Education</td> </tr> <tr> <td data-bbox="154 693 495 724">D. Special District Government</td> <td data-bbox="511 693 844 724">P. Individual</td> </tr> <tr> <td data-bbox="154 724 495 756">E. Regional Organization</td> <td data-bbox="511 724 844 756">Q. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td data-bbox="154 756 495 787">F. U.S. Territory or Possession</td> <td data-bbox="511 756 844 787">R. Small Business</td> </tr> <tr> <td data-bbox="154 787 495 819">G. Independent School District</td> <td data-bbox="511 787 844 819">S. Hispanic-serving Institution</td> </tr> <tr> <td data-bbox="154 819 495 850">H. Public/State Controlled Institution of Higher Education</td> <td data-bbox="511 819 844 850">T. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td data-bbox="154 850 495 882">I. Indian/Native American Tribal Government (Federally Recognized)</td> <td data-bbox="511 850 844 882">U. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td data-bbox="154 882 495 913">J. Indian/Native American Tribal Government (Other than Federally Recognized)</td> <td data-bbox="511 882 844 913">V. Alaska Native and Native Hawaiian Serving Institutions</td> </tr> <tr> <td data-bbox="154 913 495 945">K. Indian/Native American Tribally Designated Organization</td> <td data-bbox="511 913 844 945">W. Non-domestic (non-US) Entity</td> </tr> <tr> <td data-bbox="154 945 495 976">L. Public/Indian Housing Authority</td> <td data-bbox="511 945 844 976">X. Other (specify)</td> </tr> </table> | A. State Government | M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)   | B. County Government | N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) | C. City or Township Government | O. Private Institution of Higher Education | D. Special District Government | P. Individual | E. Regional Organization | Q. For-Profit Organization (Other than Small Business) | F. U.S. Territory or Possession | R. Small Business | G. Independent School District | S. Hispanic-serving Institution | H. Public/State Controlled Institution of Higher Education | T. Historically Black Colleges and Universities (HBCUs) | I. Indian/Native American Tribal Government (Federally Recognized) | U. Tribally Controlled Colleges and Universities (TCCUs) | J. Indian/Native American Tribal Government (Other than Federally Recognized) | V. Alaska Native and Native Hawaiian Serving Institutions | K. Indian/Native American Tribally Designated Organization | W. Non-domestic (non-US) Entity | L. Public/Indian Housing Authority | X. Other (specify) | 21. | <p><b>Authorized Representative:</b> (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.</p> <p>A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p> |
| A. State Government   | M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)  |                     |   |                      |  |                                |  |                                |               |                          |  |                                 |                   |                                |                                 |  |   |  |  |   |   |  |                                 |                                    |                    |     |   |
| B. County Government  | N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)   |                     |   |                      |  |                                |  |                                |               |                          |  |                                 |                   |                                |                                 |  |   |  |  |   |   |  |                                 |                                    |                    |     |   |
| C. City or Township Government  | O. Private Institution of Higher Education   |                     |   |                      |  |                                |  |                                |               |                          |  |                                 |                   |                                |                                 |  |   |  |  |   |   |  |                                 |                                    |                    |     |   |
| D. Special District Government  | P. Individual  |                     |   |                      |  |                                |  |                                |               |                          |  |                                 |                   |                                |                                 |  |   |  |  |   |   |  |                                 |                                    |                    |     |   |
| E. Regional Organization  | Q. For-Profit Organization (Other than Small Business)   |                     |   |                      |  |                                |  |                                |               |                          |  |                                 |                   |                                |                                 |  |   |  |  |   |   |  |                                 |                                    |                    |     |   |
| F. U.S. Territory or Possession   | R. Small Business  |                     |   |                      |  |                                |  |                                |               |                          |  |                                 |                   |                                |                                 |  |   |  |  |   |   |  |                                 |                                    |                    |     |   |
| G. Independent School District  | S. Hispanic-serving Institution  |                     |   |                      |  |                                |  |                                |               |                          |  |                                 |                   |                                |                                 |  |   |  |  |   |   |  |                                 |                                    |                    |     |   |
| H. Public/State Controlled Institution of Higher Education                    | T. Historically Black Colleges and Universities (HBCUs)  |                     |   |                      |  |                                |  |                                |               |                          |  |                                 |                   |                                |                                 |  |   |  |  |   |   |  |                                 |                                    |                    |     |   |
| I. Indian/Native American Tribal Government (Federally Recognized)            | U. Tribally Controlled Colleges and Universities (TCCUs)   |                     |   |                      |  |                                |  |                                |               |                          |  |                                 |                   |                                |                                 |  |   |  |  |   |   |  |                                 |                                    |                    |     |   |
| J. Indian/Native American Tribal Government (Other than Federally Recognized) | V. Alaska Native and Native Hawaiian Serving Institutions  |                     |   |                      |  |                                |  |                                |               |                          |  |                                 |                   |                                |                                 |  |   |  |  |   |   |  |                                 |                                    |                    |     |   |
| K. Indian/Native American Tribally Designated Organization                    | W. Non-domestic (non-US) Entity  |                     |   |                      |  |                                |  |                                |               |                          |  |                                 |                   |                                |                                 |  |   |  |  |   |   |  |                                 |                                    |                    |     |   |
| L. Public/Indian Housing Authority  | X. Other (specify)   |                     |   |                      |  |                                |  |                                |               |                          |  |                                 |                   |                                |                                 |  |   |  |  |   |   |  |                                 |                                    |                    |     |   |

# INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

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

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

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

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

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

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

**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.”

**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”

**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, D.C. 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12<sup>th</sup> Street, S.W. Room 7076, Washington, D.C. 20202-4260.

# DEFINITIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

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

### Definitions:

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

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

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

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

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

#### —Research

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

#### —Human Subject

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." (1) *If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met.* (2) *If an activity involves obtaining*

*private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

#### B. Exemptions.

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

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

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

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

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

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

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture. II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives If the applicant marked "Yes" for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

#### **A. Exempt Research Narrative.**

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

#### **B. Nonexempt Research Narrative.**

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

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

**(2) Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate

whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

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

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

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

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

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

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

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





## **INSTRUCTIONS FOR ED 524**

### General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. Please consult with your Business Office prior to submitting this form.

### Section A - Budget Summary U.S. Department of Education Funds

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

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

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

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

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

#### Indirect Cost Information:

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

Section B - Budget Summary  
Non-Federal Funds

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

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

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

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

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

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

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>. You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

4. Provide other explanations or comments you deem necessary.

#### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0004**. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

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## INSTRUCTIONS FOR BUDGET SUMMARY FORM AND ITEMIZED LINE ITEM BUDGET

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**NOTE:** Applicants must submit: (1) a budget information form to categorize requested funds (ED Form 524), **AND** (2) a detailed budget narrative for the first 12-month budget period.

**The budget summary** is to be included on the Budget Information – Non-Construction Programs Form (ED Form 524).

**The budget narrative, for the first 12-month budget period only**, is to be included in the *Program Narrative* (limited to 65 pages and attached to the Project Narrative Attachment Form) as part of the Budget selection criterion.

This section requests information on the applicant's financial plan for carrying out the project.

The federal and any non-federal shares are to be included on the Budget Information – Non-Construction Programs Form (ED Form 524), and in the Budget selection criterion discussion in the *Program Narrative*.

The Department is requesting that you complete the Budget Information – Non-Construction Programs Form (ED Form 524) for ONLY the 2009-2010 year. Please provide **a comprehensive and detailed budget narrative for the first 12-month budget period, only**. It is not necessary to provide a budget summary for the total grant period requested. The funding level for the first year is stipulated based on the Maximum Award Section of the Notice, and the Department will determine the funding levels for the subsequent years of the grant award.

The Budget Information-Section A – Budget Summary – Non-Construction Programs Form (ED Form 524) and the Budget Narrative must include all costs that are allowable, reasonable and necessary for carrying out the objectives of the Student Support Services Program. Among the costs that may be supported with grant funds are:

1. **Personnel:** On line 1 (ED Form 524), enter only the project personnel salaries and wages. [Fees and expenses for consultants should be included on line 8.] The budget should include the total commitment of time and the total salary to be charged to the project for each key staff member. You should provide a breakdown of project personnel that includes: the position titles; the percent of time and number of months committed to the project for each key staff member; the salary for each key staff member; and the total salary costs to be charged to the grant.
2. **Fringe Benefits:** On line 2 (ED Form 524), enter the amount of fringe benefits. The institution or agency's normal fringe benefit contribution may be charged to the program. Leave this blank if fringe benefits applicable to direct salaries and wages

are treated as part of the indirect costs. In the budget, include an explanation and appropriate justification if the institution or agency's normal fringe benefit contribution exceeds 20 percent of salaries.

3. Travel: On line 3 (ED Form 524), provide the costs for project personnel. [Consultants' travel should be included on line 8.] In the budget, you should detail the proposed travel costs: for each trip explain the purpose and objective of the travel and provide the number of persons traveling. Transportation costs should not exceed tourist class airfare. For automobile mileage, the established institution or agency rate should be used. Reimbursement is allowed for taxicab, bus, train, or limousine transportation. Per diem at the established institution or agency rate is permitted when an individual is away from home overnight on official project business (see OMB Circular A-21, J.48.c - Commercial Air Travel). No foreign travel will be authorized under the grant.

The Federal TRIO Programs have developed the following guidelines for recommending approval of travel. All travel must be related to the project's overall purpose and proposed activities.

- Project Director's Travel – Per Year
  - A. One National Conference;  
One Regional Meeting;  
One State Meeting; and
  - B. Travel for participation in one professional staff development training.
- Full-time Professional Staff Travel – Per Year
  - A. One National, Regional, or State Meeting; and
  - B. Travel for staff development under the TRIO Training Program.

4. Equipment: On line 4 (ED Form 524), indicate the cost of equipment -- non-expendable personal property, which has a usefulness of greater than one year and an acquisition cost of \$5,000 or more per unit. [Consistent with an applicant's policy, a lower dollar amount may be used to define equipment.] In the budget, explain why the requested equipment is necessary to carry out project activities, and include a list of all equipment in the following format: item, quantity, cost per unit, and total cost.
5. Supplies: On line 5 (ED Form 524), include the costs of all tangible personal property that was not included as "equipment" on line 4. In the budget, provide an itemized list of the supplies.
6. Contractual: Not applicable. Leave blank.

7. Construction: Not applicable. Leave blank.
8. Other: On line 8 (ED Form 524), indicate all direct costs not covered on lines 1 through 5. The costs/fees for consultants and consultants' travel should be included here. Examples of "other" costs are: equipment rental, required fees, communication costs, rental of space, utilities, custodial services, and printing costs. In the budget, provide a breakdown of all direct costs not clearly covered by other budget categories.

Consultants: If the project proposes to use consultants, identify the consultants who will work on the project, the scope of work to be performed by each consultant, and justify why project personnel cannot perform this work. Also, provide a detailed breakdown of the costs (daily fees to be paid, estimated number of days of services, and all travel expenses, including per diem). Cost allowances for consultant fees, honoraria, per diem, and travel should not exceed amounts permitted by comparable institutional or agency policies.

9. Total Direct Costs: On line 9 (ED Form 524), provide the total direct costs requested – the sum of lines 1 through 8.
10. Indirect Costs: On line 10 (ED Form 524), provide the amount of indirect costs that you propose to charge against the grant.

All of the grants awarded under the Student Support Services Program. (84.042A) are designated as training grants. The Education Department General Administrative Regulations (EDGAR) limit reimbursement to grantees for indirect costs they incur under training grants to the grantee's actual indirect costs as determined by the grantee's negotiated indirect cost agreement or a maximum of 8 percent of a modified total direct cost base, whichever is less. (NOTE: This limitation does not apply to State agencies, or local governments, or federally recognized Indian tribal governments. [§75.562(c) (2)])

Grantees charging indirect costs to a Department grant are required to have a negotiated rate with their *cognizant agency* (i.e., either the Federal agency from which it has received the most direct funding that is subject to indirect cost support, or a particular agency specifically assigned cognizance by the Office of Management and Budget). Although applicants are not required to submit with their application a copy of their indirect cost agreement to claim the 8 percent rate for funding received in this program, they are required to have documentation available for audit that shows that their negotiated indirect cost rate is at least 8 percent [§75.563(d)]. In the event that they receive an award under this program, applicants without a negotiated indirect cost rate with its cognizant agency should seek to identify that agency and contact it to obtain an approved rate as soon as possible after award notification.

Applicants should be aware that amounts representing the difference between the 8 percent rate and a greater indirect cost rate negotiated with a cognizant agency may **not** be charged to direct cost categories, used to satisfy matching or cost-sharing requirements, or charged to another Federal award. [§75.563(c) (3)]

11. Training Stipends: On line 11, include any grant funds that you propose to use for Grant-Aid-to-Students (subject to the limitation of 20% of the total grant) on both section A and B (ED 524).
12. Total Costs: On line 12 (ED Form 524), provide the total amount that you are requesting – the sum of lines 9 and 10. Note: This amount should also be the same as that shown as 18g on the application face sheet (SF 424).



## **INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES**

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

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

application/proposal control number assigned by the Federal agency). Included prefixes, e.g., “RFP-DE-90-001.”

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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

## SURVEY INSTRUCTIONS ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

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

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

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such information displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0014**. The time required to complete this information collection is estimated to average 5 minutes for the project director per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

## Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such information displays a valid OMB control number. The valid OMB control number for this information collection is **1840-0117**. The time required to complete this information collection is estimated to average 44 hours for the project director per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of the form, write directly to:** Federal TRIO Programs, U.S. Department of Education, 1990 K Street, N.W., 7<sup>th</sup> Floor, Washington, D.C. 20006-8510.

## 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

Part II. - Department of Education Budget Summary Information – Non-Construction Programs Form (ED Form 524) – Sections A & B

Part III - *Program Narrative* (65-page limit addressing the selection criteria) – Attach this document to the Project Narrative Form in the Grants.gov system.

Other Attachments Form - *Student Support Services Program Profile Form*

\* *SSS Assurances Form*

ED Abstract Form Abstract (one-page limit) -- Attach this document to the ED Abstract Attachment Form. This one-page abstract, which may be single-spaced, will not count against the 65 pages you are allowed for your response to the selection criteria.

Assurances, Certifications, and Survey Forms

GEPA Section 427 Requirement

Assurances – Non-Construction Programs (SF 424B)

Grants.gov Lobbying Form (Formerly ED Form 80-0013)

Disclosure of Lobbying Activities (SF LLL)

Survey on Ensuring Equal Opportunity for Applicants