U.S. DEPARTMENT OF EDUCATION
Office of Postsecondary Education
Washington, DC 20006-8510

FISCAL YEAR 2010

APPLICATION FOR GRANTS UNDER THE
TRAINING PROGRAM FOR FEDERAL TRIO PROGRAMS
(CFDA NUMBER: 84.103A)

CLOSING DATE: *Insert,* 2010

Form Approved: OMB No. 1840-0125, Expiration Date: *Insert*

TABLE OF CONTENTS

Dear TRIO Training Program Applicant:

Thank you for your interest in applying for a grant under the Training Program for Federal TRIO Programs (Training Program). The Training Program provides grants to institutions of higher education and other public and private nonprofit institutions and organizations to enable the staff and leadership personnel employed in, participating in, or preparing for employment in projects funded under the Federal TRIO Programs to receive training in topics relevant to their responsibilities.

This letter and the "Competition Highlights" section note some of the requirements for applying for a grant under the fiscal year (FY) 2010 competition. You should review the entire application package carefully before preparing and submitting your application.

We are requiring that applications for FY 2010 grants under the Training Program be submitted electronically using e-Application available through the Department of Education's (Department) e-Grants system. An applicant who is unable to submit an application through e-Application must submit a written request for a waiver of the electronic submission requirement at least two weeks before the deadline date for submission of an application. Additional information about e-Application is included in the Notice Inviting Applications for New Awards (Notice) published in the Federal Register, and in the transmittal instructions included in this package. The Notice contains specific information governing all of the requirements for applying for a Training Program grant. 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.

The Higher Education Opportunity Act of 2008 (HEOA) made some significant changes to the authorizing legislation for the Federal TRIO Programs, including the Training Program. The Department used the negotiated rulemaking process to amend the program regulations governing the TRIO Programs. The Department made several changes to the Training Program regulations, 34 CFR part 642, in response to the HEOA, and, also, updated the Training Program regulations to reflect legislative changes made in prior years. Please review the regulations, as well as the Notice and Competition Highlights, all of which are included in this package.

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 Training Program applicants to successfully reach their individual project goals which are driven by the performance indicators for the Training Program. The evaluation plan should not only include formative and summative measures, but, also, should 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 should provide benchmarks for the monitoring of progress and measurement of that progress throughout the grant award period. Please pay close attention to the information provided in the Instructions for the Project Narrative section of the application regarding the development of your evaluation activity.

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

Sincerely,

Alan J. Schiff
Acting Deputy Assistant Secretary
Higher Education Programs

COMPETITION HIGHLIGHTS

1. Training Program applications must be submitted electronically using the e-
   Application function of e-Grants 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 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.

3. In consultation with the TRIO community, the Department has already determined
   the need for training in various topics and identified them as absolute priorities.   Thus, it is not
   necessary for applicants to respond to the "Need" selection criterion in their applications. Each
   eligible application will receive 25 points for the "Need" selection criterion.

4. There are five absolute priorities for the FY 2010 competition. These priorities were
   chosen from the authorizing legislation and the regulations governing the Training Program and
   were further developed to respond to the articulated training needs of personnel employed in
   Federal TRIO Programs' projects. The section "Absolute Priorities for Fiscal Year 2010" includes
   a thorough discussion of the four existing absolute priorities, and the one new priority.

   Note: Applicants should indicate the priority number under which they are applying on the
   Application for Federal Assistance Form (SF 424) -- in Box 15, "Descriptive Title of Applicant's
   Project." *Example: Priority* #1. This will ensure that the reviewers clearly know under which
   priority an application should be considered.

5. As you develop your application, we ask you to consider carefully the specific
   content of the trainings that you will provide through your curriculum and the expertise and
   knowledge expected of the trainers. We will look for high quality trainings that include opportunities
   for the participants to gain knowledge, skills, and resources that support the goals of the specific
   priority. While we are not requiring that you provide on-line training, we encourage applicants to
   consider including on-line training sessions. As appropriate for the specific priority, trainers should
   have knowledge and expertise in serving students with backgrounds similar to TRIO-eligible
   students as well as success in training adults. You will find more information on the selection
   criteria and application review process in this packet and in the Notice.

   Note: If you receive a Training Program grant, you will be required to submit your training
   materials for our review. See the "Expectations of Successful Applicants" section in this package
   for more information.

6. All applicants must complete the Part III-A Training Program Profile form. The
   Training Program Profile form contains three standardized objectives. All applicants are required
   to propose the percentage or number – as indicted on the form -- at which each of these objectives
   will be met. Applicants may not modify, amend or delete any of these objectives. Instructions for
   submitting the form are included in the Instructions for Completing the Application Package.

7. All applicants must provide a Part III-B one-page Project Abstract. Instructions for
   submitting this form are included in the Instructions for Completing the Application Package.

8. Information on the Training Program is accessible at the Department's Web site at:
   http://www.ed.gov/programs/triotrain/index.html.

INTRODUCTION

AUTHORIZATION
Title IV, Part A, Subpart 2, Section 402G of the Higher Education Act of 1965, as   amended (HEA).
        Note: The Higher Education Opportunity Act of 2008 (HEOA) made significant changes to the HEA.

PROGRAM REGULATIONS
34 CFR part 642 Training Program for Federal TRIO Programs

PURPOSE
Provides Federal financial assistance to train the staff and leadership personnel employed in, or preparing for employment in, Federal TRIO Program projects.

ELIGIBLE APPLICANTS
The following are eligible to apply for a grant to carry out a Training Program project:
        (a) Institutions of higher education.
        (b) Public and private nonprofit agencies and organizations.

ACTIVITIES FUNDED UNDER THIS PROGRAM
  (a)   A Training Program project trains the staff and leadership personnel of Federal TRIO Program projects to enable them to more effectively operate those projects.
  (b)   A Training Program project may include on-site training, on-line training, conferences, internships, seminars, workshops, and the publication of manuals designed to improve the operations of Federal TRIO Program projects.
  (c)   Each year, one or more Training Program projects must provide at least one training session on each requisite topic listed within a specific priority that is tailored to the needs of TRIO staff with less than two years of TRIO project experience.
  (d)   Each year, one or more Training Program projects must offer training covering the following topics:
        (1) The legislative and regulatory requirements for operating projects funded under the Federal TRIO Programs.
        (2) Assisting students to receive adequate student financial aid from programs authorized under Title IV of the HEA, as well as from other programs.
        (3) The design and operation of model Federal TRIO Program projects.
        (4) The use of appropriate educational technology in the operation of TRIO Program projects.
        (5) Strategies for recruiting and serving hard to reach populations, including students who are limited English proficient, students from groups traditionally underrepresented in postsecondary education, students who are individuals with disabilities, students who are homeless children and youth, students who are foster care youth, or other disconnected students.

SUPPLEMENTAL INFORMATION

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

1. **Estimated Funding and Project Period**
    - Estimated Available Funds for FY 2010: $3,424,802
    - Estimated Range of Awards: $350,000 - $450,000 per year
    - Estimated Average Size of Awards: $425,000
    - Estimated Number of New Awards: 8
    - Project Period for New Awards: Up to 24 months

NOTE: The Department is not bound by these estimates

2. **Training Program Priorities**
    Each application must clearly identify a specific absolute training priority and must address each of the topics listed under that specific priority.

    Priority 1. Training to improve: recordkeeping; reporting student and project performance; and the rigorous evaluation of project performance in order to design and operate a model TRIO project.

    Priority 2. Training on: budget management; and the legislative and regulatory requirements for operation of projects funded under the Federal TRIO Programs.

    Priority 3. Training on: assessment of student needs; proven retention and graduation strategies; and the use of educational technology in order to design and operate a model TRIO project.

    Priority 4. Training on: student financial aid; college and university admissions policies and procedures; and proven strategies to improve the financial literacy and economic literacy of students, including - basic personal income, household money management, financial planning skills, and basic economic decisionmaking skills.

    Priority 5. Training on: proven strategies for recruiting and serving hard
    to reach populations -- including students who are limited English proficient, students from groups that are traditionally underrepresented in postsecondary education, students who are individuals with disabilities, students who are homeless children and youths, students who are foster care youth, or other disconnected students.

3. **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.

4.   Applicant Funding

Applicants should pay close attention to the "II. Award Information" section of the Notice. The Department will reject any application that proposes a budget exceeding the maximum amount listed for each of the five absolute priorities.

5.   Evaluation of Applicants for Awards

A three-member panel of non-federal reviewers evaluates each application. Each reviewer assigns points for each selection criterion and prepares evaluation comments.

7.   Selection Criteria

The selection criteria in 34 CFR part 642 are used to evaluate applications.   The selection criteria and maximum possible points are included in the application package.

8.   Notice to Successful Applicants

The Department's Office of Legislation and Congressional Affairs will inform the Congress regarding applications approved for new TRIO Training 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.

9.   Notice to Unsuccessful Applicants

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

10.   Performance Report Requirements

If you receive a new FY 2010 grant award, you will be required to submit annual performance reports during the two-year funding cycle using the Department's e-Reports function. This on-line system collects narratives and data about funded projects to enable program specialists to determine if a grantee is making substantial progress toward meeting approved project objectives. In addition, grantees are required to submit a first-year interim performance report.

11. Contact Information.
For Training program-related questions and assistance, please contact:

Lead Program Specialist:	Jane Wrenn
Address:	Federal TRIO Programs
	U.S. Department of Education
	1990 K Street, N.W., Suite 7000
	Washington, D.C. 20006-8510
Telephone:	(202) 502-7600 or (202) 502-7614
Fax:	(202) 502-7857
E-mail Address:	jane.wrenn@ed.gov

For e-Application related questions or assistance, please contact e-Grants Help Desk at: 1-888-336-8930

IMPORTANT – PLEASE READ FIRST

U.S. Department of Education
e-Application Submission Procedures and Tips for Applicants
http://e-grants.ed.gov

To facilitate your use of e-Application, this document includes important application preparation and 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. Please read and follow these step-by-step directions to create and submit your application.

ATTENTION

Applicants using the Department of Education's e-Application system will need to register first to access an application package. Forms in an application package are completed on line and narratives are uploaded while logged into the system. Therefore, allow sufficient time to complete your application before the closing date. If you have not used e-Application in the past, you may want to walk through the Demo available on the e-Application homepage. If you encounter difficulties, you may also contact the e-Grants helpdesk on 1-888-336-8930. The following are steps you should follow to successfully complete an application with e-Application.

Step 1 – **Determine** if your program is accepting electronic applications. The Federal Register Notice of each program will indicate whether the program is accepting e-Applications as part of the Department's e-Application program. Here is a link to the Department's Federal Register notices: http://www.ed.gov/news/fedregister/announce/index.html. Additional information on the Department's of Education's grant programs can be found at http://www.ed.gov/about/offices/list/ocfo/grants/grants.html.

Step 2 – **Register in e-Application** to access the application package. If you are a new user, you will need to register to use e-Application. From the e-Grants Portal Page http://e-grants.ed.gov/, click on the continue button and click the register button on the right side of the next page. Select the e-Application module and click the next button. Please provide the requested information. Your e-Grants password will be sent to the e-mail address you provide. Once you receive the e-mail, enter your username and password and click the login button.

If you already have a username and password for e-Grants, use them to login. If you have access to more than one e-Grants module, you will be directed to select which module you wish to enter. Keep in mind that this username and password will be used for all e-Grants modules. In order to update your registration for additional e-Grants modules, click the appropriate tab on the top of the screen and provide the requested information.

Note the following browser compatibility problems. The site is viewed best in Internet Explorer 5. We currently support IE 5, Netscape 6.2, Firefox 2.2 (along with later versions of IE, Netscape and Firefox). Please make sure that you have **Cookies** and **JavaScript** enabled in your browser.

Step 3 - **Add Application Package to your Start Page**. From your Start Page, click on the "Add" button to see the list of application packages. Click on a specific package link on the List of Application Packages to apply. The package will now appear on your Start Page. From this point forward, you will access your unique application from your Start Page (not the Packages Page).

Step 4 - **Begin the Application**. Click on the underlined Application Package Title on your Start Page. This brings you to a page where you will see all of the application's forms and narratives listed as underlined links.

Step 5 - **Fill out Forms**. Enter a form by clicking on the underlined form title in order to enter data. Remember to click the "Save" button at the bottom of the form and check the "Form Completed" box for each form as you complete it.

Step 6 - **Upload File(s) for Narrative Responses**. Click on an underlined narrative form title for the e-Application. Enter the title of the document, and click on the "Browse" button to locate your file. Remember to click the "Save" button after you upload the document and check the "Form Completed" box when you finish uploading your file(s). Please note for file uploads, we accept .doc, .rtf, and .pdf files only. If you are using Word 2007, please save your document in a lower version of Word before uploading into e-Application.

Step 7 - **Verify Information/Print Application**. Verify your information is complete and correct on all required forms and narratives. You have the option to print each form at any time by clicking on the print/view icon 🖶 next to the appropriate form. After submission of the forms and narratives, you have the option to print a complete e-Application package in PDF by clicking on the "Request Complete Package in PDF" on the e-Application PR/Award page. A second window will open informing you that your request has been received and that you will be notified via email once it is available. This process can take anywhere from a few minutes to a few hours. Once you receive the email, click on the link in the text of the message and enter your username and password in the new window. This will open the PDF file from which you can view/print the entire package. In addition, a blank complete package in PDF will be accessible from the package page in e-Application.

Step 8 - **Submit your Application**. Only authorized individuals for your organization can submit an application. Please check with your certifying official or sponsored research office before submission. Click on the "Ready to submit" button at the bottom of your application. Enter and verify the Authorizing Representative information. Click the "Submit" button. You will receive an e-mail to confirm that your application was received, and it will include a unique application number. Please print and keep this e-mail for your records. [Reminder: applications must be submitted before 4:30:00 pm, Washington, D.C. time, on the deadline date for applications. e-Application will not accept your application if you try to submit it after 4:30:00 on the deadline date.]

Step 9 - **Fax the signed SF 424 Cover Page (or Program Specific Cover Page)**. Write your unique application number (received in step 8) on the upper right corner of your printed SF 424 Cover Page (or Program Specific Cover Page), and fax it to the Application Control Center (202) 245-6272 within 3 business days of submitting your e-Application.

NOTE: For more detailed information on submitting an e-Application, please see the **User Guide**. In addition, please try practicing with our e-Application Demo site by clicking on the Demo button found on the upper left corner of the e-Application Home Page. Both the User Guide and Demo can be found at http://e-grants.ed.gov.

Other Submission Tips

SUBMIT EARLY – **We strongly recommend that you do not wait until the last day to submit your application.** The time it takes to upload the narratives for your application will vary depending on a number of

factors including the size of the files and the speed of your Internet connection. If you try to submit your application after 4:30:00 on the deadline date, the e-Application system will not accept it.

2) If electronic submission is <u>optional</u> 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 <u>required</u>, 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 <u>and</u> 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.)

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

Attaching Files – Additional Tips

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

1. Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to a lower version of Word before uploading. Also, do not upload any password protected files to your application.
2. 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.

3. 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. Please note that each file attachment in e-Application has a file size limitation which is anywhere from 2 to 8 MB and the limitation will be indicated on the individual screen when you upload a file. For reference, however, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the size of your attachments before uploading them into e-Application.

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 e-Grants Web site (http://www.e-grants.ed.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 e-Grants Web site, you will receive an automatic acknowledgement when we receive your application.

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

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

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.103A
LBJ Basement Level 1
400 Maryland Avenue, SW
Washington, DC 20202-4260

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

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

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

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

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

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.103A
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

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

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

CLOSING DATE NOTICE

4000-01-U

DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

Training Program for Federal TRIO Programs (Training Program)

Notice inviting applications for new awards for fiscal year (FY) 2010.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.103A.

Dates:

Applications Available: [INSERT DATE OF PUBLICATION IN THE

FEDERAL REGISTER].

Deadline for Transmittal of Applications: [INSERT DATE 30 DAYS

AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Intergovernmental Review: [INSERT DATE 60 DAYS

AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The Training Program provides grants to train the

staff and leadership personnel employed in, participating in, or preparing

for employment in, projects funded under the Federal TRIO Programs to

improve the operation of these projects.

Priorities: In accordance with 34 CFR 75.105(b)(2)(iv) and 34 CFR

75.105(b)(2)(ii), these priorities are from section 402G(b) of the Higher

Education Act of 1965, as amended (HEA), and the regulations for this program, 34 CFR 642.24.

Note: Each successful applicant must provide at least one training session covering every topic listing within the specific priority tailored to the specific needs of the TRIO staff and leadership personnel with less than two years of TRIO project experience, annually. In addition, to be consistent with the goal of serving all regions of the country, as provided in 34 CFR 642.23, each grantee must provide training to at least 290 participants each year, unless we specify another number of participants.

While we are not requiring that grantees provide on-line training, we are encouraging applicants to consider the possibility of including on-line training sessions.

Each application must clearly identify the specific priority number for which a grant is requested, and must address each of the topics listed under that specific priority. To ensure fair consideration, an application for a grant under a specific priority should address only that priority. A grantee who wants to apply under more than one priority should submit separate applications for each priority. Each application also must identify how the applicant will meet the requirement to provide at least one training session, annually, covering every topic listing within the specific priority, tailored to the specific needs of the TRIO staff and leadership personnel with less than two years of TRIO project experience.

For example, an application for a grant under Priority 1 should address only training to improve recordkeeping, reporting student and

project performance; and the rigorous evaluation of project performance as a means for designing, and operating a model TRIO project. The application should describe how the applicant will provide at least one training session, annually, covering each of these topics that is geared to the needs of TRIO staff and leadership personnel with less than two years of TRIO project experience.

<u>Absolute Priorities</u>: For FY 2010, these priorities are absolute priorities. Under 34 CFR 75.105(c) (3), we consider only applications that meet these priorities. These priorities are:

   <u>Priority 1</u>. Training to improve: recordkeeping; reporting student and project performance; and the rigorous evaluation of project performance in order to design and operate a model TRIO project.

Number of expected awards: 2-3.

Maximum award amount: $450,000.

   <u>Priority 2</u>. Training on: budget management; and the legislative and regulatory requirements for operation of projects funded under the Federal TRIO Programs.

Number of expected awards: 2-3.

Maximum award amount: $400,000._

   <u>Priority 3</u>. Training on: assessment of student needs; proven retention and graduation strategies; and the use of educational technology in order to design and operate a model TRIO project.

Number of expected awards: 2-3.

Maximum award amount: $450,000.

Priority 4. Training on: student financial aid; college and university admissions policies and procedures, and proven strategies to improve the financial literacy and economic literacy of students, including – basic personal income, household money management, and financial planning skills, and basic economic decisionmaking skills.

Number of expected awards: 1-2.

Maximum award amount: $400,000.

Priority 5. Training on: proven strategies for recruiting and serving hard to reach populations -- including students who are limited English proficient, students from groups that are traditionally underrepresented in postsecondary education, students who are individuals with disabilities, students who are homeless children and youths, students who are foster care youth, or other disconnected students.

Number of expected awards: 1-2.

Maximum award amount: $400,000.

Maximum number of applications for a priority: An applicant may submit only one application for a grant under each specific priority. If an applicant submits more than one application under a specific priority we will accept only the application with the latest "date/time received" validation, and we will reject all other applications.

Program Authority: 20 U.S.C. 1070a-11 and 1070a-17.

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

(b) The regulations for this program in 34 CFR part 642.

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 $3,424,802 for this program for FY 2010. 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: $350,000 - $450,000.

Estimated Average Size of Awards: $425,000.

Maximum Award: We will reject any application that proposes a budget exceeding the maximum amount listed for each of the five absolute priorities, listed as follows, for a single budget period of 12 months:

- Priority 1: $450,000;
- Priority 2: $400,000;
- Priority 3: $450,000;
- Priority 4: $400,000; and
- Priority 5: $400,000.

To be consistent with the goal of serving all regions of the country, as provided in 34 CFR 642.33, successful applicants will be expected to

provide training to at least 290 participants, annually, unless we

specifically approve another number.

Estimated Number of Awards: 9-13.

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

Project Period: Up to 24 months.

III. Eligibility Information

    1. Eligible Applicants: Institutions of higher education and other

public and private nonprofit institutions and organizations.

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

 sharing or matching.

IV. Application and Submission Information

    1. Address to Request Application Package: Jane Wrenn, U.S.

Department of Education, 1990 K Street, NW., room 7000, Washington, DC

20006-8510. Telephone: (202) 502-7600 or by e-mail: TRIO@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 can obtain a copy of the application

package in an accessible format (e.g., braille, large print, audiotape, or

computer diskette) by contacting the program contact person listed in this

section.

    2. Content and Form of Application Submission:

Requirements concerning the content of an application, together with the

forms you must submit, are in the application package for this program.

Page Limit: Part III - the Project Narrative is where you, the applicant, address the selection criteria and priorities that reviewers use to evaluate your application. You must limit Part III - the Project Narrative to no more than 50 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 project narrative, including titles, headings, footnotes, quotations, references, captions, as well as all text in figures, and graphs. Text in charts and tables may be single-spaced. You should also include a Table of Contents in the project narrative, which will not be counted against the 50-page limit.

• 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); Part III-A - the Program Profile form; Part III-B - the one-page Project Abstract form; and Part IV - the Assurances and Certifications. If you include any attachments or appendices, these items will be counted as part of Part III - the Project Narrative for purposes of

the page limit requirement. You must include your complete response to the selection criteria and priorities in Part III - The Project Narrative.

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

   3.   <u>Submission Dates and Times</u>:

Applications Available: [INSERT DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Transmittal of Applications: [INSERT DATE 30 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

   Applications for grants under this program must be submitted electronically using the Electronic Grant Application System (e-Application) accessible through the Department's e-Grants site. For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 6. <u>Other Submission Requirements</u> of this notice.

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

   Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under <u>For Further Information Contact</u> in section VII of this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process,

the individual's application remains subject to all other requirements and limitations in this notice.

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

5. Funding Restrictions: We specify unallowable costs in 34 CFR part 642. We reference additional regulations outlining funding restrictions in the Applicable Regulations section in 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 Training Program--CFDA Number 84.103A must be submitted electronically using e-Application, accessible through the Department's e-Grants Web site at: http://e-grants.ed.gov.

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 requirements 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 is provided later in this section under <u>Exception to Electronic Submission Requirement</u>.

While completing your electronic application, you will be entering data online that will be saved into a database. You may not e-mail an electronic copy of a grant application to us.

Please note the following:

• You must complete the electronic submission of your grant application by 4:30:00 p.m., Washington, DC time, on the application deadline date. E-Application will not accept an application for this program after 4:30:00 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.

• The hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until 8:00 p.m. Sunday, Washington, DC time. Please note that, because of maintenance, the system is unavailable between 8:00 p.m. on Sundays and 6:00 a.m. on Mondays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time. Any modifications to these hours are posted on the e-Grants Web site.

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

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

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

- Prior to submitting your electronic application, you may wish to print a copy of it for your records.

- After you electronically submit your application, you will receive an automatic acknowledgement that will include a PR/Award number (an identifying number unique to your application).

- Within three working days after submitting your electronic application, fax a signed copy of the SF 424 to the Application Control Center after following these steps:

(1) Print SF 424 from e-Application.

(2) The applicant's Authorizing Representative must sign this form.

(3) Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the SF 424.

(4) Fax the signed SF 424 to the Application Control Center at (202) 245-6272.

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

Application Deadline Date Extension in Case of e-Application Unavailability: If you are prevented from electronically submitting your application on the application deadline date because of e-Application is unavailable, we will grant you an extension of one business day to enable you to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if--

(1)   You are a registered user of e-Application and you have initiated an electronic application for this competition; and

(2) (a) E-Application is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or

(b) E-Application is unavailable for any period of time between 3:30 p.m. and 4:30:00 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these period of unavailability before granting you an extension. To require this extension or to confirm our acknowledgment of any system unavailability, you may contact either (1) the person listed elsewhere in this notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930.   If e-Application is unavailable due to

technical problems with the system and, therefore, the application deadline is extended, an e-mail will be sent to all registered users who have initiated an e-Application. Extensions referred to in this § apply only to the unavailability of e-Application.

<u>Exception to Electronic Submission Requirement</u>: 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 e-Application because––

- You do not have access to the Internet; or

- You do not have the capacity to upload large documents to e-Application;

<div align="center"><u>and</u></div>

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

Address and mail or fax your statement to: Eileen S. Bland, U.S. Department of Education, 1990 K Street, NW., room 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. <u>Submission of Paper Applications by Mail</u>.

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:

```
U.S. Department of Education
Application Control Center
Attention:  (CFDA Number 84.103A)
LBJ Basement Level 1
400 Maryland Avenue,SW.
Washington, DC 20202-4260
```

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

(1) A legibly dated U.S. Postal Service postmark.

(2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.

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

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

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

(1) A private metered postmark.

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

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

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

c. Submission of Paper Applications by Hand Delivery.

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

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.103A)
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

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

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

(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix

letter, if any, of the competition under which you are submitting your application; and

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

V. Application Review Information

1. Selection Criteria: The selection criteria for this program competition are in 34 CFR 642.21 and are listed in the application package. Note: For the FY 2010 competition, the Secretary has identified "the Need" for training projects through the selection of five absolute priorities. Therefore, the Secretary will consider that an applicant has satisfied the "Need" criterion listed in 34 CFR 642.21(f) by applying for a grant under one of these priorities, and applicants are not required to address this criterion. The application package contains instructions on addressing the remaining selection criteria.

2. Review and Selection Process: A panel of non-Federal reviewers will review each application in accordance with the selection criteria, pursuant to 34 CFR 642.20(a). The individual scores of the reviewers will be added and the sum divided by the number of reviewers to determine the peer review score received in the review process. In accordance with 34 CFR 642.22, the Secretary will award prior experience points to an applicant by evaluating the applicant's performance under its

expiring Training program grant. Prior experience points, if any, will be added to the application's averaged peer review score to determine the total score for each application.

Under section 402A(c)(3) of the HEA, the Secretary is not required to make awards under the Training Program for Federal TRIO Programs in the order of the scores received by the application in the review process and adjusted for prior experience. For FY 2010, the Secretary will select an application for funding within each specific absolute priority for which a grant is requested in the order of the peer review score received by the application in the peer review process

  Within each specific priority, if there are insufficient funds to fund all applications at the next peer review score, the Secretary adds the prior experience points awarded under 34 CFR 642.22 to the peer review score to determine an adjusted total score for those applications. The Secretary makes awards at the next peer review score to the applicants that have the highest total adjusted score.

  In the event a tie score still exists, the Secretary will select for funding the applicant that has the greatest capacity to provide training to eligible participants in all regions of the Nation in order to assure accessibility to the greatest number of prospective training participants, consistent with 34 CFR 642.23.

VI. Award Administration Information

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

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

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

We reference the regulations outlining the terms and conditions of an award in the <u>Applicable Regulations</u> section 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. <u>Reporting</u>: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to

http://www.ed.gov/fund/grant/apply/appforms/appforms.html

4. <u>Performance Measures</u>: The success of the Training Program is measured by its cost-effectiveness based on the number of TRIO project personnel receiving training each year; the percentage of Training Program participants that, each year, evaluate the training as benefiting them in increasing their qualifications and skills in meeting the needs of disadvantaged students; and the percentage of Training Program participants that, each year, evaluate the trainings as benefiting them in increasing their knowledge and understanding of the Federal TRIO Programs. All grantees will be required to submit an annual performance report documenting their success in training personnel working on TRIO funded projects, including the average cost per trainee and the trainees' evaluations of the effectiveness of the training provided. The success of the Training Program also is assessed on the quantitative and qualitative outcomes of the training projects based on project evaluation results.

VII. Agency Contacts

<u>For Further Information Contact</u>: Jane Wrenn, or if unavailable, contact Eileen S. Bland, U.S. Department of Education, 1990 K Street, NW., room 7000, Washington, DC 20006-8510. Telephone: (202) 502-7600 or by e-mail: TRIO@ed.gov

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

VIII. Other Information

<u>Accessible Format</u>: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or computer diskette) on request to the

program contact persons listed under <u>For Further Information Contact</u> in section VII of this notice.

<u>Electronic Access to This Document</u>: You can view this document, as well as all other documents of this Department published in the <u>Federal Register</u>, in text or Adobe Portable Document Format (PDF) on the Internet at the following site: www.ed.gov/news/fedregister. To use PDF you must have Adobe Acrobat Reader, which is available free at this site.

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

Dated:

_____/signed/_____

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

Absolute Priorities for FY 2010

The Department will fund projects under the Training Program that provide training for the staff and leadership personnel employed in, participating in, or preparing for employment in projects funded under the Federal TRIO Programs. The Secretary has identified the content of the trainings to be held under the following five absolute priorities for this competition.

Applicants should indicate the priority number under which they are applying in Box 15, "Descriptive Title of Applicant's Project," of the SF 424. *Example*: *"Priority #1*." This will ensure that the reviewers clearly know under which priority an application should be considered.

Note:
1) Applicants must identify and provide the position requirements and qualifications of experts who have proven knowledge and expertise in serving TRIO-eligible students, and in training adults.
2) Applicants must show evidence of having researched and identified training methods for adults that have had proven success.
3) Applicants must demonstrate how they will provide at least one training session on each topic within a specific priority for TRIO project staff and leadership personnel with less than two years TRIO experience, annually.
4) Applicants must demonstrate how they will meet the objectives set forth in the Part III-A Training Program Profile form.

Absolute Priority #1

Recordkeeping; reporting of student and project performance; and the rigorous evaluation of project performance in order to design and operate a model TRIO project.

Trainings conducted under this priority must emphasize and support the importance of using project data to improve project performance. Applicants must explain how they will assist participants to develop procedures to: collect data that will meet the program-specific standardized objectives; analyze the data; report the data to the Department; evaluate the project through the data; and use the information gained from the data to improve the project's success in meeting its program-specific objectives.

Recordkeeping and Reporting
- Applicants must have a working knowledge of the program-specific objectives for every TRIO Program in order to assist participants with identifying effective ways to collect, record and analyze the data that will serve to meet these objectives.
- The trainings must provide TRIO personnel with effective strategies for reporting student and project performance to the Department.
- Applicants must have a working knowledge of the Department's performance reporting requirements for each TRIO program.

Rigorous Evaluation
- The trainings must provide TRIO personnel with information and resources on how to conduct a rigorous formative and summative evaluation in order to improve the performance of the project staff and the project as a whole.

Absolute Priority #2

Budget management; and the legislative and regulatory requirements for operation of the Federal TRIO Programs.

Applicants must understand how the TRIO legislation, regulations, OMB Circulars, and Departmental policies should shape a TRIO project's budget and program management practices. Trainings conducted under this priority must provide participants with an understanding of the connection between program management and operation and the legislative and regulatory requirements governing their TRIO projects.

Budget Management
- Applicants must emphasize how to develop and improve budget management through internal controls and financial management with special emphasis placed on the relevant OMB Circulars. Trainings must cover the checks and balances designed to ensure that grant funds are used only for eligible expenses and that no one person controls the authorization and disbursement of grant funds. Trainings must also cover the conflicts of interest provisions and the grantee's obligations as a fiduciary agent.

Legislative and Regulatory Requirements
- Applicants must have a working knowledge of the legislation and regulations that govern the TRIO Programs, including the Education Department General Administrative Regulations (EDGAR), OMB Circulars, and policy statements issued by the Department. Applicants should propose trainings that will provide participants with examples of practical applications of the governing rules for each TRIO Program and the TRIO Programs as a whole.

- Emphasis should be placed on:

- o Providing a history of the legislative purpose of TRIO Programs in order to highlight the importance of adherence to the authorizing legislation and regulations;
- o Determining student participant eligibility;
- o Understanding the difference between allowable and non-allowable costs;
- o Learning how to prevent and resolve audit disputes; and
- o Examining ways to coordinate TRIO projects with other programs for disadvantaged students.
- Applicants may propose to conduct trainings for institutional teams in order to assist them in understanding the legislation and regulations governing the TRIO programs. Team trainings should ensure that institutional representatives from other departments at the host institutions and agencies, along with the TRIO project directors and staff, understand the expectations, rights, and responsibilities of the institutions and agencies that agree to sponsor TRIO grants.

Absolute Priority #3

Assessment of student needs; proven retention and graduation strategies; and the use of educational technology in order to design and operate a model TRIO project.

Applicants must propose trainings that will provide TRIO personnel with proven strategies for assessing students' needs, retaining students, and for supporting them through graduation. Trainings must include substantive information on the use of educational technology as a project strategy to serve TRIO students and meet the goals of retention and graduation.

Needs Assessment
- Trainings must teach the participants how to assess the needs of their student project participants, and how to tailor counseling and support to the specific needs of these students.

Retention and Graduation Strategies
- Applicants must emphasize the importance of strategies that take into account the diverse cultural backgrounds of TRIO student participants, and the trainings must take into consideration the diverse needs of these students -- whether the students are adults, second-language learners, or non-traditional students, including veterans.
- Applicants must show that the identified strategies have proven results in supporting TRIO projects with demonstrated growth in student participants' retention and graduation rates.

Educational Technology
- Applicants must address different ways that TRIO personnel can use technology to both manage their projects and provide services to students, with an emphasis on services that utilize educational technology.
- Applicants must have a proven track record of providing training in educational technology and the proven ability to tailor trainings to participants' varied skill levels and knowledge.

Absolute Priority #4

Student financial aid; college and university admissions policies and procedures; and improving the financial literacy and economic literacy of students, including – basic personal income, household money management, financial planning skills, and basic economic decisionmaking skills.

Applicants must address how they will train TRIO project staff and leadership personnel to understand and obtain the information and skills needed to assist student participants in obtaining adequate student financial aid. Applicants must demonstrate their understanding of college and university entrance requirements – including the requirements for student transfer from 2-year to 4-year institutions and for entrance into graduate school. Applicants must provide evidence that they have experience in developing strategies to improve the financial and economic literacy of students. The Department is especially interested in applicants that have proven experience and knowledge regarding how to meet the needs of, and how to help create opportunities for, non-traditional students.

Student Financial Aid
- Trainings under this priority must give particular attention to how projects can work with financial aid offices to provide students sufficient financial assistance to meet their full financial need while limiting the students' loan burden to a manageable level.
- Applicants must be able to train participants on the appropriate use of the grant aid provision in the Student Support Services Program.

Admissions Policies and Procedures
- Trainings must demonstrate proven strategies to provide TRIO project personnel a working knowledge and understanding of the variety of college and university admissions policies and procedures. The trainings must also provide information and skills that will allow TRIO project personnel to access the policies and procedures of different institutions, and also allow them to best help TRIO students navigate these diverse processes.
- Applicants must provide evidence that they have proven strategies to enable TRIO staff and leadership personnel to provide student participants with assistance in applying for and gaining admission to college and universities – including transfer from a 2-year to a 4-year institution of higher education, and admission to graduate school.
- Applicants should give attention to how projects can help a student interested in enrolling in a graduate program to secure graduate fellowships or assistantships.

Financial and Economic Student Literacy
- Applicants should demonstrate how they will provide TRIO project personnel with proven methodologies for improving the TRIO student participants' financial and economic literacy.

- Applicants should show that they have a proven track record in providing training in personal financial management, including basic personal income, household money management, financial planning skills and basic economic decision-making skills.

Absolute Priority #5

Strategies for recruiting and serving hard to reach populations, including students who are limited English proficient, students from groups that are traditionally underrepresented in postsecondary education, students who are individuals with disabilities, students who are homeless children and youths, students who are foster care youth, or other disconnected students.

Applicants must propose trainings that will provide TRIO project personnel with proven strategies for recruiting and serving students from hard to reach populations. Trainings must include substantive information on developing outreach programs to recruit these students and methodologies for serving these students.

Recruitment
- Applicants must provide TRIO staff and leadership personnel with proven strategies to develop programs to recruit hard to reach student populations.
- Applicants must show that they have a proven track record of providing training on effective strategies for recruiting hard to reach populations for educational services.

Service
- Applicants must have a working knowledge and proven track record of methodologies and strategies designed to provide educational services to hard to reach student populations.
- Applicants must provide evidence that they have proven strategies to enable TRIO staff and leadership personnel to provide services designed specifically for students from hard to reach populations.

Part III-A Training Program Profile

Instructions: All applicants must complete this form and attach it to the Other Attachments in e-Application (as either a .doc, .rtf, or .pdf document). **DO NOT MODIFY THE CONTENTS OF THIS FORM.**

Priority Number for which you are applying for a grant: Priority #_____

Institution/Organization (Legal Name)

_____

Address where the project will be located/headquartered:

Street: _____
City: _____
State: _____   Zip Code: _____

ONLY applicants who received funding in project year 2008-2009, as part of Training Program grants awarded in FY 2008, must provide the award number(s) for the corresponding priority for which they are applying for a grant. That award number is located in Item 5 of the Grant Award Notification. *(Applicants that have not received an award under the specific priority for which they are applying for a grant under the FY 2010 competition should leave this blank.)*

P103A08_____   **P103A08**_____

Annual Program Objectives: Please fill in the proposed number or percent – as indicated - for each objective.
Note: These same objectives must be used in the Part III Project Narrative section of your application, and may not be revised or rewritten in your narrative discussion of the proposed objectives or the proposed evaluation.

Total number of Training Program participants to be trained each year: _____
Note: this number must be no less than 290.

_____% of Training Participants that, each year, evaluated the training as benefiting them in increasing their qualifications and skills in meeting the needs of disadvantaged students.

_____% of Training Participants that, each year, evaluated the training as benefiting them in increasing their knowledge and understanding of the Federal TRIO Programs.

AUTHORIZING LEGISLATION

The Higher Education Act of 1965 as amended by the Higher Education Opportunity Act of 2008

Title IV Student Assistance
Subpart 2—Federal Early Outreach and Student Services Programs
CHAPTER 1—FEDERAL TRIO PROGRAMS Sec. 403 (U.S. Code 1070a)

(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 3709 of 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, including community-based organizations with experience in serving disadvantaged youth, combinations of such institutions, agencies and organizations, and 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 5 years, except that—

>>   (A) in order to synchronize the awarding of grants for programs under this chapter, the Secretary may, under such terms as are consistent with the purposes of this chapter, provide a one-time, limited extension of the length of such an award;

>>   (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, an individual grant authorized under this chapter shall be awarded in an amount that is not less than $200,000, except that an individual grant authorized under section 402G shall be awarded in an amount that is not less than $170,000.

(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) CONSIDERATIONS. --

(A) PRIOR EXPERIENCE. -- In making grants under this chapter, the Secretary shall consider each applicant's prior experience of ``high quality service delivery, as determined under subsection (f), 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.

`` (B) PARTICIPANT NEED.--In making grants under this chapter, the Secretary shall consider the number, percentages, and needs of eligible participants in the area, institution of higher education, or secondary school to be served to aid such participants in preparing for, enrolling in, or succeeding in postsecondary education, as appropriate to the particular program for which the eligible entity is applying.

(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 shall not 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 different 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. The Secretary shall, as appropriate, require each applicant for
funds under the programs authorized by this chapter to identify and
make available services under such program, including mentoring,
tutoring, and other services provided by such program, to foster
care youth **(**including youth in foster are and youth who have left
foster care after reaching age 13) or to homeless children and
youths as defined in section 725 of the McKinney-Vento Homeless
Assistance Act.

(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.

(8) REVIEW AND NOTIFICATION BY THE SECRETARY—

> (A) GUIDANCE**.**-- Not later than 180 days after
> the date of enactment of the Higher Education Opportunity Act, the
> Secretary shall issue Non regulatory guidance regarding the rights
> and responsibilities of applicants with respect to the application and
> evaluation process for programs and projects assisted under this
> chapter, including applicant access to peer review comments. The
> guidance shall describe the procedures for the submission,
> processing, and scoring of applications for grants under this
> chapter, including --
>> (i)   the responsibility of applicants to submit materials in a timely manner and in
>>   accordance with the processes established by the Secretary under the authority of
>>   the General Education Provisions Act**;**

``
>> (ii)   steps the Secretary will take to ensure that the materials
>>   submitted by applicants are processed in a proper and timely manner;
>> (iii)   steps the Secretary will take to ensure that prior experience points for high quality
>>   service delivery are awarded in an accurate and transparent manner;
>> (iv)   steps the Secretary will take to ensure the quality and integrity of the peer review
>>   process, including assurances that peer reviewers will consider applications for
>>   grants under this chapter in
>>   a thorough and complete manner consistent with applicable Federal law; and
>> (v)   steps the Secretary will take to ensure that the final score of an

application, including prior experience points for high quality service delivery and points awarded through the peer review process, is determined in an accurate and transparent manner.

(B) UPDATED GUIDANCE. -- Not later than 45 days before the date of the commencement of each competition for a grant under this chapter that is held after the expiration of the 180-day period described in subparagraph (A), the Secretary shall update and publish the guidance described in such subparagraph.

(C) REVIEW.--

(i)   IN GENERAL--With respect to any competition for a grant under this chapter, an applicant may request a review by the Secretary if the applicant—

(I)   administrative, or scoring error made by the Department, an agent of the Department, or a peer reviewer, with respect to the scoring or has evidence of a specific technical, processing of a submitted application; and

(II)   has otherwise met all of the requirements for submission of the application.

(ii)   TECHNICAL OR ADMINISTRATIVE ERROR.—In the case of evidence of a technical or administrative error listed in clause (i)(I), the Secretary shall review such evidence and provide a timely response to the applicant. If the Secretary determines that a technical or administrative error was made by the Department or an agent of the Department, the application of the applicant shall be reconsidered in the peer review process for the applicable grant competition.

(iii)   SCORING ERROR.--In the case of evidence of a scoring error listed in clause (i) (I), when the error relates to either prior experience points for high quality service delivery or to the final score of an application, the Secretary shall—

(I) review such evidence and provide a timely response to the applicant; and

(II) if the Secretary determines that a scoring error was made by the Department or a peer reviewer, adjust the prior experience points or final score of the application appropriately and quickly so as not to interfere with the timely awarding of grants for the applicable grant competition.

(iv)   ERROR IN PEER REVIEW PROCESS.

(I) REFERRAL TO SECONDARY REVIEW.   In the case of a peer review process error listed in clause (i)(I), if the Secretary determines that points were withheld for criteria not required in Federal statute, regulation, or guidance governing a program assisted under this chapter or the application for a grant for such program, or determines that information pertaining to selection criteria was wrongly determined missing from an application by a peer reviewer, then the Secretary shall refer the application to a secondary review panel.

(II) TIMELY REVIEW; REPLACEMENT SCORE.--The secondary review panel described in subclause (I) shall conduct a secondary review in a timely fashion, and the score resulting from the secondary review shall replace the score from the initial peer review.

(III) COMPOSITION OF SECONDARY REVIEW PANEL.--The secondary review panel shall be composed of reviewers each of whom—

(aa) did not review the application in the original peer review;

(bb) is a member of the cohort of peer reviewers for the grant program that is the subject of such secondary review; and

(cc) to extent practicable, has conducted peer reviews in not less than two previous competitions for the grant program that is the subject of such secondary review.

(IV) FINAL SCORE.--The final peer review score of an application subject to a secondary review under this clause shall be adjusted appropriately and quickly using the score awarded by the secondary review panel, so as not to interfere with the timely awarding of grants for the applicable grant competition.

(V) QUALIFICATION FOR SECONDARY REVIEW.--To qualify for a secondary review under this clause, an applicant shall have evidence of a scoring error and demonstrate that—

(aa) points were withheld for criteria not required in statute, regulation, or guidance governing the Federal TRIO programs or the application for a grant for such programs; or

(bb) information pertaining to selection criteria was wrongly determined to be missing from the application.

(v) FINALITY.--

(I) GENERAL.--A determination by the Secretary under clause (i),(ii), or (iii) shall not be reviewable by any officer or employee of the Department.

(II) SCORING.--The score awarded by a secondary review panel under clause (iv) shall not be reviewable by any officer or employee of the Department other than the Secretary.

(vi) FUNDING OF APPLICATIONS WITH CERTAIN ADJUSTED SCORES.--To the extent feasible based on the availability of appropriations, the Secretary shall fund applications with scores that are adjusted upward under clauses (ii), (iii), and (iv) to equal or exceed the minimum cut off score for the applicable grant competition.

(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 (h)(4) 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 (h)(4) 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.

(3) Notwithstanding this subsection and subsection (h)(4), individuals who
are foster care youth (including youth in foster care and youth who have left
foster care after reaching age 13), * or homeless children and youths as defined in
section 725 of the McKinney-Vento Homeless Assistance Act, shall be eligible to participate in
programs under sections 402B, 402C, 402D, and402F.

`*appears to be a typographical error -- that the Congress intended to include youth who left foster care after reaching age 18.*

(f) OUTCOME CRITERIA.—
    (1) USE FOR PRIOR EXPERIENCE DETERMINATION.—For competitions for grants under this
chapter that begin on or after January 1, 2009, the Secretary shall determine
an eligible entity's prior experience of high quality service delivery, as required under subsection (c)(2),
based on the outcome criteria described in paragraphs (2) and (3).
    (2) DISAGGREGATION OF RELEVANT DATA.--The outcome criteria under this subsection shall be
disaggregated by low-income students, first generation college
students, and individuals with disabilities, in the schools and institutions of higher education served by
the program to be evaluated.
    (3) CONTENTS OF OUTCOME CRITERIA. --The outcome criteria under this subsection shall
measure, annually and for longer periods, the quality and effectiveness
of programs authorized under this chapter and shall include the following:
        (A) For programs authorized under section 402B, the extent to which the
eligible entity met or exceeded the entity's objectives established in the
entity's application for such program regarding—
            (i) the delivery of service to a total number of students served
by the program;
            (ii) the continued secondary school enrollment of such student;
            (iii) the graduation of such students from secondary school with
a regular secondary school diploma in the standard number of years;
            (iv) the completion by such students of a rigorous secondary school
program of study that will make such students eligible for programs
such as the Academic Competitiveness Grants Program;
            (v) the enrollment of such students in an institution of higher
education; and
            (vi) to the extent practicable, the postsecondary education
completion of such students.
        (B) For programs authorized under section 402C, the extent to which the eligible entity met or
exceeded the entity's objectives for such program regarding—
            (i) the delivery of service to a total number of students served by the
program, as agreed upon by the entity and the Secretary for the period;
            (ii) such students school performance, as measured by the grade
point average or its equivalent;
            (iii) such students academic performance, as measured by standardized
tests, including tests required by the students State;
            (iv) the retention in, and graduation from, secondary school of such
students;
            (v) the completion by such students of a rigorous secondary school
program of study that will make such students eligible for programs
such as the Academic Competitiveness Grants Program;

(vi) the enrollment of such students in an institution of higher education; and

(vii) to the extent practicable, the postsecondary education completion of such students.

(C) For programs authorized under section 402D—

(i) the extent to which the eligible entity met or exceeded the entity's objectives regarding the retention in postsecondary education of the students served by the program;

(ii)(I) in the case of an entity that is an institution of higher education offering a baccalaureate degree, the extent to which the entity met or exceeded the entity's objectives regarding the percentage of such students completion of the degree programs in which such students were enrolled; or

(II) in the case of an entity that is an institution of higher education that does not offer a baccalaureate degree, the extent to which such students met or exceeded the entity's objectives regarding—

(aa) the completion of a degree or certificate by such students; and

(bb) the transfer of such students to institutions of higher education that offer baccalaureate degrees;

(iii) the extent to which the entity met or exceeded the entity's objectives regarding the delivery of service to a total number of students, as agreed upon by the entity and the Secretary for the period; and

(iv) the extent to which the entity met or exceeded the entity's objectives regarding the students served under the program who remain in good academic standing.

(D) For programs authorized under section 402E, the extent to which the entity met or exceeded the entity's objectives for such program regarding—

(i) the delivery of service to a total number of students served by the program, as agreed upon by the entity and the Secretary for the period;

(ii) the provision of appropriate scholarly and research activities for the students served by the program;

(iii) the acceptance and enrollment of such students in graduate programs; and

(iv) the continued enrollment of such students in graduate study and the attainment of doctoral degrees by former program participants.

(E) For programs authorized under section 402F, the extent to which the entity met or exceeded the entity's objectives for such program regarding—

(i) the enrollment of students without a secondary school diploma or its recognized equivalent, who were served by the program, in programs leading to such diploma or equivalent;

(ii) the enrollment of secondary school graduates who were served by the program in programs of postsecondary education;

(iii) the delivery of service to a total number of students served by the program, as agreed upon by the entity and the Secretary for the period; and

(iv) the provision of assistance to students served by the program in completing financial aid applications and college admission applications.

(4) MEASUREMENT OF PROGRESS...-- In order to determine the extent to

which each outcome criterion described in paragraph (2) or (3) is met or exceeded, the Secretary shall compare the agreed upon target for the criterion, as established in the eligible entity's application approved by the Secretary, with the results for the criterion, measured as of the last day of the applicable time period
for the determination for the outcome criterion.

(g) AUTHORIZATION OF APPROPRIATIONS. — For the purpose of making grants and
contracts under this chapter, there are authorized to be appropriated $900,000,000 for fiscal year 2009 and such sums as may be necessary for each of the five 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.

(h) 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) DIFFERENT CAMPUS.--The term `different campus' means a site of an
    institution of higher education that—
        (A) is geographically apart from the main campus of the institution;
        (B) is permanent in nature; and
        (C) offers courses in educational programs leading to a degree, certificate,
        or other recognized educational credential.
    (4) DIFFERENT POPULATION.--The term `different population' means a group
    of individuals that an eligible entity desires to serve through an application for a
    grant under this chapter, and that –
        (A) is separate and distinct from any other population that the
        entity has applied for a grant under this chapter to serve; or
        (B) while sharing some of the same needs as another population that the eligible entity has
        applied for a grant under this chapter to serve, has distinct needs for specialized services.
    (5) 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, and was discharged or released
        there from under conditions other than dishonorable;
        (B) served on active duty, and was discharged or released there from
        because of a service connected disability;
        (C) was a member of a reserve component of the Armed Forces called to

active duty for a period of more than 30 days; or

(D) was a member of a reserve component of the Armed Forces who served on active duty in support of a contingency operation (as that term is defined in section 101(a)(13) of title 10, United States Code) on or after September 11, 2001**.**

* * *

Sec. 403G HIGHER EDUCATION ACT OF 1965 20 U.S.C. 1070a–17 STAFF DEVELOPMENT ACTIVITIES.

(a) SECRETARY'S AUTHORITY.—For the purpose of improving the operation of the programs and projects authorized by this chapter, the Secretary is authorized to make grants to institutions of higher education and other public and private nonprofit institutions and organizations to provide training for staff and leadership personnel employed in, participating in, or preparing for employment in, such programs and projects.

(b) CONTENTS OF TRAINING PROGRAMS.—Such training shall include conferences, internships, seminars, workshops, and the publication of manuals designed to improve the operation of such programs and projects and shall be carried out in the various regions of the Nation in order to ensure that the training opportunities are appropriate to meet the needs in the local areas being served by such programs and projects. Such training shall be offered annually for new directors of projects funded under this chapter as well as annually on the following topics and other topics chosen by the Secretary:

(1) Legislative and regulatory requirements for the operation of programs funded under this chapter.

(2) Assisting students in receiving adequate financial aid from programs assisted under this title and other programs.

(3) The design and operation of model programs for projects funded under this chapter.

(4) The use of appropriate educational technology in the operation of projects assisted under this chapter.

(5) Strategies for recruiting and serving hard to reach populations, including students who are limited English proficient, students from groups that are traditionally underrepresented in postsecondary education, students with disabilities, students who are homeless children and youths (as such term is defined in section 725 of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a)), students who are in foster care or are aging out of the foster care system, or other disconnected students.

(c) CONSULTATION.—Grants for the purposes of this section shall be made only after consultation with regional and State professional associations of persons having special knowledge with respect to the needs and problems of such programs and projects.

PROGRAM REGULATIONS

TITLE 34--EDUCATION
CHAPTER VI--OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION
PART 642-TRAINING PROGRAM FOR FEDERAL TRIO PROGRAMS

AUTHORITY: 20 U.S.C. 1070a-11 and 1070a-17, unless otherwise noted.

SOURCE: 47 FR 17788, Apr. 23, 1982, unless otherwise noted.

Subpart A - General

§ 642.1   Training Program for Federal TRIO Programs.

The Training Program for Federal TRIO Programs—referred to in these regulations as the Training Program—provides Federal financial assistance to train the staff and leadership personnel employed in, or preparing for employment in, Federal TRIO Program projects.

(Authority: 20 U.S.C. 1070a‒17)
[58 FR 51519, Oct. 1, 1993]

§ 642.2   Eligible applicants

The following are eligible to apply for a grant to carry out a Training Program project:
(a) Institutions of higher education.
(b) Public and private nonprofit agencies and organizations.

(Authority: 20 U.S.C. 1070a‒17)
[47 FR 17788, Apr. 23, 1982, as amended at 58 FR 51519, Oct. 1, 1993]

§ 642.3   Eligible participants.

The following are eligible for training under this program:
(a) Leadership personnel and full and part-time staff members of projects under the Federal TRIO Programs.
(b) Individuals preparing for employment as staff or leadership personnel in projects under the Federal TRIO Programs.

(Authority: 20 U.S.C. 1070a‒17)
[47 FR 17788, Apr. 23, 1982, as amended at 58 FR 51519, Oct. 1, 1993]

§ 642.4   Regulations that apply to the Training Program.

The following regulations apply to the Training Program:
(a) The Education Department General Administrative Regulations (EDGAR) as follows:
(1) 34 CFR part 74 (Administration of Grants to Institutions of Higher Education, Hospitals, and Nonprofit Organizations).
(2) 34 CFR part 75 (Direct Grant Programs).
(3) 34 CFR part 77 (Definitions that Apply to Department Regulations).
(4) 34 CFR part 79 (Intergovernmental Review of Department of Education Programs and Activities).
(5) 34 CFR part 82 (New Restrictions on Lobbying).
(6) 34 CFR part 85 (Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants)).
(7) 34 CFR part 86 (Drug-Free Schools and Campuses).
(b) The regulations in this part 642.

(Authority: 20 U.S.C. 1070a‒11 and 1070‒17)
[47 FR 17788, Apr. 23, 1982, as amended at 58 FR 51519, Oct. 1, 1993]

§ 642.5   Definitions that apply to the Training Program.

(a) Definitions in EDGAR. The following terms used in this part are defined in 34 CFR part 77:

Applicant
Application
Award

Budget
EDGAR
Equipment
Facilities
Fiscal year
Grant
Grantee
Nonprofit
Private
Project
Project period
Public
Secretary
State
Supplies

(b) *Definitions that apply to this part*. The following definitions apply to this part:

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

Federal TRIO Programs means the Upward Bound, Training, Student Support Services, Educational Opportunity Centers, and Ronald E. McNair Postbaccalaureate Achievement Programs.

(Authority: 20 U.S.C. 1001 *et seq.,* 1070a-11, 1070–17, 1088, 1141, and 1144a)

Institution of higher education means an educational institution as defined in section 481, 1201(a), or 1204 of the Act.

Leadership personnel means project directors, coordinators, and other individuals involved with the supervision and direction of projects under the Federal TRIO Programs.

[47 FR 17788, Apr. 23, 1982, as amended at 54 FR 7737, Feb. 22, 1989; 57 FR 9005, Mar. 13, 1992; 58 FR 51519, Oct. 1, 1993]

Subpart B—What Kinds of Projects Does the Secretary Assist Under This Program?

§ 642.10   Activities the Secretary assists under the Training Program.

(a) A Training Program project trains the staff and leadership personnel of Federal TRIO Program projects to enable them to more effectively operate those projects.

(b) A Training Program project may include conferences, internships, seminars, workshops, and the publication of manuals designed to improve the operations of Federal TRIO Program projects.

(c) Each year, one or more Training Program projects must provide training for new project directors.

(d) Each year, one or more Training Program projects must offer training covering the following topics:

(1) The legislative and regulatory requirements for operating Federal TRIO Programs.

(2) Assisting students to obtain adequate student financial assistance from programs authorized under Title IV of the Act, as well as from other sources.

(2) The design and operation of model Federal TRIO Program projects.

(Authority: 20 U.S.C. 1070a-17)
[58 FR 51519, Oct. 1, 1993]

Subpart C [Reserved]

Subpart D—How Does the Secretary Make a Grant?

§ 642.30   How the Secretary evaluates an application for a new award.

(a) The Secretary evaluates an application on the basis of the criteria in §642.31.
(1) The Secretary awards up to 100 points for these criteria.
(2) The maximum possible score for each complete criterion is indicated in the parentheses next to the heading of that criterion.
(b) In addition, for applicants that have conducted a Training Program project within the three fiscal years prior to the fiscal year for which the applicant is applying, the Secretary considers the experience of the applicant on the basis of §642.32.

(Authority: 20 U.S.C. 1070d, 1070d-1d)

§ 642.31   Selection criteria the Secretary uses.

The Secretary uses the criteria in paragraphs (a) through (f) of this section to evaluate applications:
(a) *Plan of operation.* (20 points) (1) The Secretary reviews each application for information that shows the quality of the plan of operation for the project.
(2) The Secretary looks for information that shows—
(i) High quality in the design of the project;
(ii) An effective plan of management that insures proper and efficient administration of the project;
(iii) A clear description of how the objectives of the project relate to the purpose of the program;
(iv) The way the applicant plans to use its resources and personnel to achieve each objective; and
(v) A clear description of how the applicant will provide equal access and treatment for eligible project participants who are members of groups that have been traditionally underrepresented, such as—
(A) Members of racial or ethnic minority groups;
(B) Women;
(C) Handicapped persons; and
(D) The elderly.

(b) *Quality of key personnel.* (20 points) (1) The Secretary reviews each application for information that shows the qualifications of the key personnel the applicant plans to use on the project.
(2) The Secretary looks for information that shows—
(i) The qualifications of the project director;
(ii) The qualifications of each of the other key personnel to be used in the project;
(iii) The time that each person referred to in paragraphs (b)(2)(i) and (ii) of this section plans to commit to the project; and
(iv) The extent to which the applicant, as part of its nondiscriminatory employment practices, encourages applications for employment from persons who are members of groups that have been traditionally underrepresented, such as—
(A) Members of racial or ethnic minority groups;
(B) Women;

(C) Handicapped persons; and

(D) The elderly.

(3) To determine the qualifications of a person, the Secretary considers evidence of past experience and training, in fields related to the objectives of the project, as well as other information that the applicant provides.

(c) *Budget and cost effectiveness.* (10 points) (1) The Secretary reviews each application for information that shows that the project has an adequate budget and is cost effective.

(2) The Secretary looks for information that shows—

(i) The budget for the project is adequate to support the project activities; and

(ii) Costs are reasonable in relation to the objectives of the project.

(d) *Evaluation plan.* (10 points) (1) The Secretary reviews each application for information that shows the quality of the evaluation plan for the project.

(2) The Secretary looks for information that shows methods of evaluation that are appropriate for the project and, to the extent possible, are objective and produce data that are quantifiable.

(e) *Adequacy of resources.* (15 points)

(1) The Secretary reviews each application for information that shows that the applicant plans to devote adequate resources to the project.

(2) The Secretary looks for information that shows—

(i) The facilities that the applicant plans to use are adequate; and

(ii) The equipment and supplies that the applicant plans to use are adequate.

(f) *Need.* (25 points) (1) The Secretary reviews each application for information that shows a need for a Training Program project.

(2) The Secretary looks for information that shows—

(i) The extent to which the proposed training addresses a specific need not addressed by other training projects available to Federal TRIO Programs personnel;

(ii) The extent to which the proposed training addresses a significant training need in the region(s) to be served; and

(iii) The extent to which the proposed training addresses needs that are consistent with the topics required by statute and other topics chosen as priorities by the Secretary as authorized under §642.34.

(Authority: 20 U.S.C. 1070a‒11 and 1070a‒17)

[47 FR 17788, Apr. 23, 1982, as amended at 58 FR 51519, Oct. 1, 1993]

Effective Date Note: At 58 FR 51519, Oct. 1, 1993 in §642.31, paragraph (f)(2)(i) was amended by removing "Special Programs" and adding "Federal TRIO Programs" in their place, and (f)(2)(iii) was revised. This section contains information collection and recordkeeping requirements and will not become effective until approval has been given by the Office of Management and Budget.

§ 642.32   Prior experience.

(a)(1) The Secretary gives priority to each applicant that has conducted a Training Program project under title IV-A-4 of the Higher Education Act within the three fiscal years prior to the fiscal year for which the applicant is applying.

(2) To determine the number of priority points to be awarded each eligible applicant, the Secretary considers the applicant's prior experience of service delivery in accordance with paragraphs (b) and (c) of this section.

(b)(1) The Secretary may add from one to eight points to the point score obtained on the basis of the selection criteria in §642.31, based on the applicant's success in meeting the administrative requirements and programmatic objectives of paragraph (c) of this section.

(2) The maximum possible score for each criterion is indicated in the parentheses preceding the criterion.

(c) The Secretary—based on information contained in one or more of the following: Performance reports, audit reports, training site visit reports, evaluations by participants, project evaluation reports, the previously funded application, the negotiated program plan(s), and the application under consideration—looks for information that shows—

(1) (2 points) The extent to which the project has served the number and kinds of training participants it was funded to serve;

(2) (2 points) The extent to which participants benefited from training in areas such as—

(i) Increased qualifications and skills in meeting the needs of disadvantaged students; and

(ii) Increased knowledge and understanding of the Federal TRIO Programs;

(3) (2 points) The extent to which the applicant has achieved other goals and objectives as stated in the previously funded application or negotiated program plan; and

(4) (2 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.

(Authority: 20 U.S.C. 1070a−11)
[47 FR 24973, June 8, 1982, as amended at 58 FR 51520, Oct. 1, 1993]

§ 642.33   Geographic distribution.

The Secretary, to the greatest extent possible, awards grants for Training Program projects that will be carried out in all of the regions of the Nation in order to assure accessibility to prospective training participants.

(Authority: 20 U.S.C. 1070a−17)

§ 642.34   Priorities for funding.

(a) The Secretary, after consultation with regional and State professional associations of persons having special knowledge with respect to the training needs of Special Programs personnel, may select one or more of the following subjects as training priorities:

(1) Basic skills instruction in reading, mathematics, written and oral communication, and study skills.
(2) Counseling.
(3) Assessment of student needs.
(4) Academic tests and testing.
(5) College and university admissions policies and procedures.
(6) Student financial aid.
(7) Cultural enrichment programs.
(8) Career planning.
(9) Tutorial programs.
(10) Retention and graduation strategies.
(11) Support services for persons of limited proficiency in English.
(12) Support services for physically handicapped persons.
(13) Strategies for preparing students for doctoral studies.
(14) Project evaluation.

(15) Budget management.

(16) Personnel management.

(17) Reporting student and project performance.

(18) Coordinating project activities with other available resources and activities.

(19) General project management for new directors.

(20) Legislative and regulatory requirements for the operation of programs.

(21) The design and operation of model programs for projects funded under the Federal TRIO Programs.

(b) The Secretary annually funds training on the subjects listed in paragraphs (a)(6), (19), (20), and (21) of this section.

(c) The Secretary may consider an application for a Training Program project that does not address one of the established priorities if the applicant addresses another significant training need in the local area being served by the Federal TRIO Programs.

(Authority: 20 U.S.C. 1070a‒11 and 1070a‒17)

[54 FR 7737, Feb. 22, 1989, as amended at 58 FR 51520, Oct. 1, 1993]

Subpart E—What Conditions Must Be Met by a Grantee?

§ 642.40   Allowable costs.

Allowable project costs may include the following costs reasonably related to carrying out a Training Program project:

(a) Rental of space, if space is not available at a sponsoring institution and if the space is not owned by a sponsoring institution.

(b) Printing.

(c) Postage.

(d) Purchase or rental of equipment if approved in writing by the Secretary.

(e) Consumable supplies.

(f) Transportation costs for participants and training staff.

(g) Lodging and subsistence costs for participants and training staff.

(h) Transportation costs, lodging and subsistence costs and fees for consultants, if any.

(i) Honorariums for speakers who are not members of the staff or consultants to the project.

(j) Other costs that are specifically approved in advance and in writing by the Secretary.

(Authority: 20 U.S.C. 1070a‒11 and 1070a‒17)

§ 642.41   Nonallowable costs.

Costs that may not be charged against a grant under this program include the following:

(a) Research not directly related to the evaluation or improvement of the project.

(b) Construction, renovation, or remodeling of any facilities.

(c) Stipends, tuition fees, and other direct financial assistance to trainees other than those participating in internships.

(Authority: 20 U.S.C. 1070a‒11 and 1070a‒17)

Expectations of Successful Applicants

I.   **Project Directors' Meeting**

All successful applicants will be required to attend a Training Project Directors' Meeting in Washington, D.C. in the fall of 2010. The reason for this meeting will be to clarify the purpose of the trainings under each priority and the expectations that the Department has of its grantees. In the budget section of the application, the applicants should include funds for travel to D.C. to attend this one-day meeting.

II.   **Coordinating Trainings**

We anticipate awarding multiple grants, under some of the priorities. As a result, we want to ensure that training sessions do not overlap and are located and scheduled at times and places that will allow as many participants as possible to attend. Successful applicants will be asked to coordinate with the Lead Training Program Specialist. Any necessary changes to the dates or locations must be approved by the Lead Program Specialist. TRIO personnel depend upon the Department to disseminate and maintain timely information on the trainings. Therefore, we need to make sure that the information we do provide is accurate.

III.   **Training for new TRIO project staff**

Each year, each successful applicant must provide at least one training session on each topic listed within the specific priority for which the grant was awarded that is tailored to the needs of TRIO project personnel with less than two years of TRIO project experience.

IV.   **Training Materials**

FY 2010 Training Program grantees will be asked to share their training materials with the Department at the end of each project year.

V.   **Reporting Requirements**

Each successful applicant must agree to collect data and maintain records over the course of the grant period. The Department has established the following performance indicators for the Training Program through which the success of the program is measured: (1) the cost-effectiveness, based on the number of TRIO project personnel receiving training each year; (2) the percentage of Training participants that, each year, evaluate the training as benefiting them in increasing their qualifications and skills in meeting the needs of disadvantaged students; and (3) the percentage of Training participants that, each year, evaluated the trainings as benefiting them in increasing their knowledge and understanding of the Federal TRIO Programs.

As part of the annual performance report, grantees must report the number of participants they served as well as the names of the participants' projects and institutions. The Department will collect this and other grant information annually, or twice during the grant period of Training grantees.

Additionally, EDGAR, 34 CFR section 74.25, requires grantees to communicate with and obtain approval from the Lead Training Program Specialist when they seek a change in key personnel, the objectives of the project, or the scope of the project, including changes in dates or locations of training sessions. In general, when uncertain, it's always best to communicate with the Lead Training Program Specialist to verify compliance and appropriate grant management.

EXECUTIVE ORDER 12372
INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS

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

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

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

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

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

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

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

GENERAL EDUCATION PROVISIONS ACT (GEPA)
SECTION 427

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 including a statement to the ED GEPA 427 Form that must be downloaded from e-Application.**

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.
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 Training Program?

The performance indicators for the Training Program are part of the Department's plan for meeting Goal 3. The Training 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 performance indicators for the Training Programs are: 1) the cost-effectiveness, based on the number of TRIO project personnel receiving training each year; (2) the percentage of Training participants that, each year, evaluate the training as benefiting them in increasing their qualifications and skills in meeting the needs of disadvantaged students; and (3) the percentage of Training participants that, each year, evaluated the trainings as benefiting them in increasing their knowledge and understanding of the Federal TRIO Programs.

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

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

INSTRUCTIONS FOR COMPLETING THE APPLICATION PACKAGE

The Training Program application consists of the following four parts:

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

<u>Note</u>: Please do not attach any narratives, supporting files, or application components to the SF 424 Form. Although the form accepts attachments, the Department only will review the SF 424 and the specific items listed below.

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

Part III: **Project Narrative**
         Selection Criteria
         Project Abstract
         Table of Contents
         Budget Summary Form (ED Form 524)
         Training Program Project Narrative Attachment
         Training Program Profile

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

    The *Project Narrative Selection Criteria is where you will attach your **Part III – Project Narrative*** response to the selection criteria that will be used to evaluate your submission for this competition. **This section has a strict page limit of 50 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 50 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, which <u>does count</u> as part of the 50-page limit.

    The ***Part III-A Training Program Profile Form*** should be attached under the <u>Project Narrative Training Program Profile link</u>.   **You may not change the wording of the standard objectives.**

The ***Part III-B Project Abstract*** should be a <u>one-page</u> abstract. You will attach this abstract to the <u>Project Narrative – Abstract link</u>.   This one-page abstract, which may be single-spaced, will not count against the 50 pages you are allowed for your response to the selection criteria.

Part IV: **Assurances, Certifications, and Survey Form** -- Applicants must complete the following assurances and certifications included in
the application package:

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

FUNDING INFORMATION AND SUPPLEMENTAL INSTRUCTIONS

A.   Criteria for Funding

All applications for grants under the Training Program will be evaluated as new submissions according to the selection criteria listed in the program regulations (34 CFR section 642.21).

In accordance with 34 CFR section 642.22, the Secretary will award prior experience points to applicants that have an expiring grant that was awarded in FY 2008, based on their documented experience set forth in the annual performance reports for project year 2008-2009. Prior experience points, if any, will be added to the application's averaged reviewer score to determine the total score for each application and will be used in funding decisions as detailed in the Notice and item E - Selection of Grantees, below.

Before preparing the Project Narrative, applicants should review the "Dear Applicant" letter, Competition Highlights, Notice, authorizing statute, and program regulations for specific guidance and requirements.

B.   Formatting

You must limit the Project Narrative to 50 pages, double-spaced in 12-point font or larger or no smaller than 10 pitch, 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 50-page limit. Please refer to the Notice for detailed page limit requirements and additional application submission requirements.

Double-space all text in the application, including titles and headings, and all text in, graphs, footnotes, quotations, references, and captions. However, you may single space charts and tables.   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 point font or larger or no smaller than 10 pitch, only.

Applicants are encouraged to include <u>an identifying header or footer</u> 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.

Include a <u>Table of Contents</u> -- it will not be counted toward your 50-page limit. Appendices and attachments should not be included, as these items will be counted as part of the 50-page limit.

Include a one-page Project Abstract (Part III-B). The Project Abstract will not be counted toward your 50-page limit. The Project Abstract may be single-spaced, using a size 12-point font or larger, or no smaller than 10 pitch, only. The Project Abstract may not exceed one-page in length

The Part III Project Narrative section is limited to 50 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
> Training Program Profile Form (Part III-A)
> Project Abstract (Part III-B)
> Budget Summary Form (ED Form 524)
> Assurances and Certifications
> ED GEPA 427 Form

The Notice contains specific instructions on page limits.

**C.	Length of New Award**

Applicants for new awards may apply for two years (24 months) of funding.

**D.	Evaluation of Applications for Awards**

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

**E.	Selection of Grantees**

The individual scores of the reviewers will be added and the sum divided by three to determine the application's score received in the review process. The Notice contains information on the selection of grantees.

Under section 402A(c)(3) of the HEA, the Secretary is not required to make awards under the Training Program for Federal TRIO Programs in the order of the scores received by the applications in the review process and adjusted for prior experience. For FY 2010, the Secretary will select an application for funding within each specific absolute priority for which a grant is requested in the order of the reviewers' scores received by the application in the review process.

Within each specific priority, if there are insufficient funds to fund all applications at the next reviewer score, in accordance with 34 CFR section 642.20(d), the Secretary will use the reviewer score received by the application in the review process, adjusted for prior experience, to make awards. In the event a tie still exists, the Secretary will select for funding the applicant

that has the greatest capacity to provide training in all regions of the Nation in order to assure accessibility to the greatest number of prospective training participants, consistent with 34 CFR section 642.20(e).

NOTE: Applicants should indicate the priority number under which they are applying in Box 15, "Descriptive Title of Applicant's Project," of SF 424.

F. **Applicant Funding**

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 in the Notice for the priority selected.

G. **Notice to Successful Applicants**

The Department's Office of Legislation and Congressional Affairs will inform the Congress regarding applicants who are approved for new Training 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.

H. **Notice to Unsuccessful Applicants**

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

PROJECT NARRATIVE -- SELECTION CRITERIA

Applications will be evaluated according to the specific selection criteria specified in the Notice and this package. Applicants must address the selection criteria in the Project Narrative, which is limited to 50 pages – as detailed in the Notice.

The Secretary evaluates an application on the basis of the broad criteria in 34 CFR section 642.21 of the Training Program regulations. The Project Narrative should provide, in detail, the information that addresses each selection criterion. To facilitate the review of the application, you should provide responses to each of the following selection criteria in the order shown below.

Note: The maximum possible score for each category of selection criteria is indicated in parenthesis.

1.   <u>NEED</u>   (25 points)
      Only applicants that address one of the five
      absolute priorities will receive points for meeting
      the Need criterion.

2.   <u>PROJECT DESIGN</u>

      A. Plan of Operation (34 CFR 642.21(a))   (20 points)
      B. Evaluation Plan (34 CFR 642.21(d))   (10 points)

2.   <u>RESOURCES</u>

      A. Adequacy of Resources (34 CFR 642.21(e))   (15 points)
      B.   Quality of Key Personnel (34 CFR 642.21(b))   (20 points)

3.   <u>BUDGET</u> (34 CFR 642.21(c))   (10 points)

TOTAL MAXIMUM SCORE FOR SELECTION CRITERIA   100 POINTS

<u>The following guidance may assist you in addressing each of the selection criteria</u>:

<u>Need</u>: In consultation with the TRIO community, the Department has already determined the need for training in various topics, as discussed in the section on absolute priorities. Thus, it is not necessary for applicants to respond to the "Need" selection criterion in their applications. Each eligible application will be awarded 25 points in the evaluation process for the "Need" selection criterion.

Plan of Operation: This part of the application should provide information on who, what, when and how the project will provide services to meet its goals and objectives. See the discussion on the absolute priorities for more information on addressing this criterion.

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. Specifically, the plan should identify the individual or organization that has agreed to serve as evaluator for the project and describe the qualifications of the evaluator. 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 both about success at the initial training site and effective strategies for replication in other settings. Applicants are encouraged to devote an appropriate level of resources to project evaluation. The use of an outside evaluator is not required.

Quality of Key Personnel: The minimum qualifications must be identified for all project personnel positions. The minimum educational qualifications should include the type of degree required and the acceptable field(s) of study for each key position. The type and minimum amount of work-related experience should also be described for each position. Experts identified for the project must have documented knowledge and expertise in serving TRIO-eligible students as well as documented knowledge and expertise in training adults. Applicants should not give the qualifications of specific people that they plan to employ, but should give the qualifications required for the positions.

Adequacy of Resources: This section should provide information that shows that the proposed budget will provide the resources necessary to successfully carry out the proposed trainings. Applicants should demonstrate here how the proposed resources would enable them to carry out the planned training sessions in the most cost-effective manner possible.

Budget: In response to this criterion, applicants must provide a detailed, itemized budget (ED Form 524) and a detailed budget narrative only for the first-year budget period. The budget narrative is to be included in the Project Narrative. Additional budget instructions are cited in the instructions entitled "First Year Budget and Budget Summary Form (ED Form 524) Instructions" on the following pages.

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-NEW.** The time required to complete this information collection is estimated to average 30 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. 20-202-4651. **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., 7th Floor, Washington, D.C. 20006-8510.

APPLICATION CHECKLIST

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

- Application for Federal Assistance - (SF 424)

- Department of Education Supplemental Information for SF 424

- Department of Education <u>Budget Information – Non-Construction Programs Form</u> (ED Form 524) – Sections A & B

- Part III - Project Narrative (50-page limit addressing the selection criteria)

- Part III-A Training Program Profile Form
-
- Part III-B Project Abstract (one-page limit – may be single spaced)

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