U. S. DEPARTMENT OF EDUCATION

Office of Postsecondary Education
Washington, DC 20006-8510

Fiscal Year XXXX

APPLICATION FOR GRANTS
under the
Hispanic-Serving Institutions Science Technology Engineering &
Mathematics and Articulation Programs
(Health Care and Education Affordability Reconciliation Act of 2010)
(CFDA NUMBER: 84.031C)

Form Approved
OMB No. 1840 -0799, Expiration Date: April 30, 201X

Dated Material - Open Immediately

CLOSING DATE: [insert]

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Dear Applicant:

Thank you for your interest in applying for a grant under the Hispanic-Serving Institutions Science, Technology, Engineering and Mathematics and Articulation Programs (HSI STEM & Articulation Programs) authorized under the Health Care and Education Affordability Reconciliation Act of 2010 (Reconciliation Act).

Although the Reconciliation Act appends Title III, Part F of the Higher Education Act -- program administration for the HSI STEM & Articulation Programs uses sections 502 and 503 of the Hispanic Serving Institutions Program, under Title V of the Higher Education Act of 1965, as amended. Regulations for this program consist of selected sections of the Title V regulations found in 34 CFR 606. The applicable sections of the regulations that will be used for this program are listed in the Federal Register notice that announces the competition for new awards.

The purpose of the HSI STEM & Articulation Programs is to expand and enhance educational opportunities for, and improve the academic attainment of, Hispanic students. The program has two "absolute" priorities to pursue that goal. First, applicants must address how their project will increase the number of Hispanic and other low-income students who will attain degrees in science, technology, engineering and mathematics (STEM). Second, applicants must address how their project will development model articulation agreements between two-year HSI institutions and four-year institutions.

Institutional eligibility was determined during two open periods in 2010 and will be used for this competition. If an institution did not obtain an eligibility determination during the 2010 open periods, it cannot participate in this competition for HSI STEM & Articulation Programs grants.

All of the information you need to prepare and submit an application is contained in the application booklet. The Federal Register notice is the official document that provides the closing date for application submission and also explains eligibility, absolute and competitive preference priorities, types of grants and funding amount, rules, and selection criteria. Adherence to the Federal Register application preparation and transmittal instructions, including page limit requirements, are critical to success in the grant award process. The "Competition Highlights" provide further information that you will find useful. You will use Grants.gov as the electronic application portal and is fully explained in this booklet and on their web site.

If you have any questions on the program or application procedures, please contact Carolyn Proctor by email at Carolyn.Proctor@ed.gov or by phone on (202) 502-7567. Or, you may contact Peter Fusscas by email at Peter.Fusscas @ed.gov or phone on (202)502-7590.

Sincerely,

Dr. Leonard L. Haynes III
Senior Director
Institutional Services
Higher Education Programs

Competition Highlights

FY 2010 HSI STEM and Articulation Programs

Applications submitted for the HSI STEM and Articulation Programs must be submitted using GRANTS.GOV. Detailed instructions for using this application portal are provided in the <u>Federal Register</u> notice and other sections of this application package.

<u>Program Summary</u>

The Hispanic-Serving Institutions, Science Technology Engineering & Mathematics and Articulation Programs (or HSI STEM & Articulation Programs) establishes grants to Hispanic-serving institutions to increase the number of Hispanic students and other low-income students who enter into and complete educational opportunities in STEM fields of study, and develop model programs for Hispanic students' successful transfer from 2-year Hispanic institutions to 4-year institutions in STEM fields of study.

<u>Eligibility</u>

Institutional eligibility for participating in the HSI STEM & Articulation Programs was determined under eligibility rules for the Title V, Developing Hispanic Serving Institutions program. Eligibility designation opened in December of 2009 and closed on January 6, 2010. For the purpose of this competition, the FY 2010 Title V eligibility designation process was reopened on August 13, 2010 and closed on September 13, 2010 to accommodate institutions that had not applied during the original eligibility period. Institutions submitting an application in this competition must have an eligibility designation from either of the two periods opened in FY 2010. Institutional eligibility is not included in this application package.

You will be required to provide to the Department of Education the documentation you relied upon in determining that at least 25% of the institution's undergraduate FTE students are Hispanic. The data you provide for this program will be cross-referenced with the Department of Education's Integrated Postsecondary Education Data System (IPEDS) and with the institution's enrollment data reported to the state, and the institution's annual report. Differences in this reported data must be explained in the eligibility documentation. A replication of eligibility instructions as the explanation of data discrepancies cannot be used to validate assurances and the application will be deemed ineligible.

<u>Limit on Application Submissions</u>

- An eligible institution may submit multiple applications for individual grants under the HSI STEM and Articulation Programs <u>and</u> can also apply for a cooperative grant as the lead institution.

- An institution may submit an individual development grant and participate in a cooperative arrangement development grant lead by another eligible institution.

- An eligible HSI that submits a cooperative arrangement development grant with a partnering branch campus that is part of the same institution will not be awarded a grant.

Absolute Priorities

The HSI STEM & Articulation Programs was enacted through the Health Care and Education Affordability Reconciliation Act of 2010 which amended Section 371 of the Higher Education Act. The program provides grants to Hispanic-Serving Institutions, as defined in Section 502 of the Higher Education Act, with a priority given to applicants that propose:

> (1) to increase the number of Hispanic and other low income students attaining degrees in the fields of science, technology, engineering, or mathematics; and

> (2) to develop model transfer and articulation agreements between 2-year Hispanic-serving institutions and 4-year institutions in such fields.

These preferences are the Absolute Priorities in the Federal Register notice. All applications submitted for funding under the HSI STEM & Articulation Programs **must address both of the absolute priorities**. If both of the absolute priorities are not addressed in the body of the application, the application cannot be selected for funding.

Competitive Preference Priority

The Department of Education published in the Federal Register, Vol. 75, No. 240 on Wednesday, December 15, 2010, the Supplemental Priorities for Discretionary Grant Programs. The announcement contains priorities for use in discretionary grant programs for the purpose of focusing federal support on projects and activities in areas of greatest educational need. A competitive preference priority was identified for the HSI & STEM Articulation Programs from the approved list and is included in the Closing Date Notice. Five (5) additional points will be awarded to an application that meets this priority. The priority is:

> Enabling More Data-Based Decision-Making. Projects under this priority are designed to collect (or obtain), analyze, and use high-quality and timely data, including data on program participant outcomes, in accordance with privacy requirements (as defined in the Federal Register notice), in the following priority area: Improving postsecondary student outcomes relating to enrollment, persistence, and completion and leading to career success.

Program Performance Measures

Key performance measures are established for assessing the effectiveness of the HSI STEM & Articulation Programs. Applicants should include similar or related outcome objectives into their project plans.

> 1) The percentage change, over the five-year grant period, of the number of full-time degree-seeking undergraduates enrolled at HSIs.

> 2) The percentage of first-time, full-time degree-seeking undergraduate students who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same institution.

> 3) The percentage of first-time, full-time degree-seeking undergraduate students enrolled at four-year HSIs graduating within six years of enrollment.

4) The percentage of first-time, full-time degree-seeking undergraduate students enrolled at two-year HSIs graduating within three years of enrollment.

5) Federal cost for undergraduate and graduate degrees at institutions in the HSI STEM and Articulation Programs.

Special Analysis

To assess the impact of the grant on the grantee institution, the Department of Education will conduct special analyses to determine the changes that occur during the course of the grant period in:

(1) The percentage of Hispanic students receiving STEM related degrees from grantee institutions.

(2) The percentage of Hispanic students transferring from two-year grantee institutions to four-year institutions.

Relationship to Title V, Developing Hispanic-Serving Institutions Program

The HSI STEM & Articulation Programs are linked with sections 502 and 503 of the Title V authorizing legislation and program regulations in 34 CFR 606 as outlined in the Federal Register notice.

STEM Fields of Study

The science, technology, engineering and mathematic fields of study are found at:
http://ifap.ed.gov/dpcletters/GEN1012.html.

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DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

Hispanic-Serving Institutions STEM and Articulation Programs

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

Catalog of Federal Domestic Assistance (CFDA) Number: 84.031C.

Dates:

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

Deadline for Transmittal of Applications: [INSERT DATE 45 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Intergovernmental Review: [INSERT DATE 105 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Programs: The Hispanic-Serving Institutions STEM and Articulation programs authorized under section 371 of the Higher Education Act of 1965, as amended (HEA) provide grants to assist Hispanic-Serving institutions (HSIs) to develop and carry out activities to improve and expand their capacity to serve Hispanic and other low-income students.

<u>Note 1</u>: The Hispanic-Serving Institutions STEM and Articulation

programs in this notice are authorized under section 371 of part F of

title III of the HEA. This section appropriates $100,000,000 annually

for Hispanic-serving institutions (HSI), as defined in section 502 of

the HEA, for activities described in section 503 of part A of title V

of the HEA, with a priority given to applications the propose to

increase the number of Hispanic and other low income students attaining

degrees in the fields of science, technology, engineering, or

mathematics and to develop model transfer and articulation agreements

between 2-year Hispanic-serving institutions and 4-year institutions in

such field.

Although the Hispanic-Serving Institutions STEM and Articulation

programs authorized under section 371 of the HEA are not part of the

Developing HSIs program authorized by title V of the HEA, the

eligibility and activity provisions under the Developing HSIs program

apply to the Hispanic-Serving Institutions STEM and Articulation

programs pursuant to section 371(a)(2) and (b)(2)(B) of the HEA,. In

light of the overlap of the statutory provisions in these two programs,

the Secretary has determined that it is appropriate to use certain

requirements contained in the Developing HSIs program regulations see

34 CFR part 606) for use for the first grant competition for the

Hispanic-Serving Institutions STEM and Articulation programs

competition. Specifically, the Secretary has decided to base the

requirements for this competition on the following Developing HSIs

regulations: enrollment of needy students provisions in 34 CFR 606.3

and the low education and general expenditures provisions in 34 CFR 606.4 as part of the eligibility criteria; unallowable activities in 34 CFR 606.10(c); and the tie-breaker provisions in 34 CFR 606.23(b).

Note 2: The eligibility criteria for this competition, including the enrollment of needy students and expenditure provisions, are set forth in section III. 1. <u>Eligible Applicants</u> of this notice. The unallowable activities provisions are set forth in section IV. 5. <u>Funding Restrictions</u> of this notice, and the tie-breaker provisions are set forth in section V. 2. <u>Tie-breaker for Development Grants of this notice.</u>

<u>Waiver of Proposed Rulemaking</u>: Under the Administrative Procedure Act (5 U.S.C. 553) the Department generally offers interested parties the opportunity to comment on proposed program requirements. Section 437(d)(1) of the General Education Provisions Act (GEPA), however, allows the Secretary to exempt from rulemaking requirements, regulations governing the first grant competition under a new or substantially revised program authority. The Health Care and Education Reconciliation Act of 2010 (P.L. 111-152) (Reconciliation Act) provided new authority to implement the Hispanic-Serving Institutions STEM and Articulation programs authorized under section 371 of the HEA. This is the first grant competition for the programs since the enactment of the Reconciliation Act; therefore, this competition qualifies for the exemption.

     Under section 437(d)(1) of GEPA, in order to ensure timely grant awards, the Secretary has decided to forego public comment on the

following requirements for this competition: the enrollment of needy students provision based on 34 CFR 606.3 and the low education and general expenditures provision based on 34 CFR 607.4 as part of the eligibility criteria, the unallowable activities provisions based on 34 CFR 606.10(c), and the tie-breaker provisions based on 34 CFR 606.23(b).

Priorities: This notice contains two absolute priorities and one competitive preference priority. In accordance with 34 CFR 75.105(b)(2)(iv), the two absolute priorities are from section 371(b)(2)(B) of the HEA, 20 U.S.C. 1067q(b)(2)(B). The competitive preference priority is selected from the final supplemental priorities and definitions for discretionary grant programs notice published in the Federal Register on December 15, 2010 (75 FR 78486).

Absolute Priorities: For FY 2011 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, these priorities are absolute priorities. Under 34 CFR 75.105(c)(3) we consider only applications that meet these priorities.

These priorities are:

Absolute Priority 1

To meet this priority, an applicant must submit in accordance with section 371(b)(2)(B)(i) of the HEA, an application for an Individual Development or Cooperative Arrangement Development Grant that proposes to increase the number of Hispanic and other low income students attaining degrees in the fields of science, technology, engineering, or mathematics.

<u>Absolute Priority 2</u>

To meet this priority, an applicant must submit, in accordance with section 371(b)(2)(B)(ii) of the HEA, an application for an Individual Development or Cooperative Arrangement Development Grant that proposes to develop model transfer and articulation agreements between two-year HSIs and four-year institutions in such fields.

<u>Competitive Preference Priority</u>: For FY 2011 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, this priority is a competitive preference priority. Under 34 CFR 75.105(c)(2)(i) we award an additional five points to an application that meets this priority.

This priority is:

<u>Enabling More Data-Based Decision-Making</u>. Projects that are designed to collect (or obtain), analyze, and use high-quality and timely data, including data on program participant outcomes, in accordance with privacy requirements, in the following priority area:

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

<u>Note</u>: For purposes of this competitive preference priority, the term <u>privacy requirements</u> means the requirements of the Family Educational Rights and Privacy Act (FERPA), 20 U.S.C. 1232g, and its implementing regulations in 34 CFR part 99, the Privacy Act, 5 U.S.C. 552a, as well as all applicable Federal, State and local requirements regarding privacy.

Program Authority: 20 U.S.C. 1067q(b)(2)(B); Section 2103 of the
Health Care and Education Reconciliation Act of 2010 (P.L. 111-152).

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

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

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

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: $99,900,000.

Contingent upon the availability of funds and the quality of
applications, we may make additional awards in FY 2012 from the list of
unfunded applicants from this competition.

Note: Funds appropriated for this program for FY 2010 remain available
for obligation in FY 2011 pursuant to 20 U.S.C. 1067q(b)(1)(B).

Estimated Range of Awards: $700,000-1,200,000.

Estimate Average Size of Awards: Individual Development Grant:
$775,000. Cooperative Arrangement Development Grant: $1,100,000.

Maximum Awards: Individual Development Grant: $870,000. Cooperative
Arrangement Development Grant: $1,200,000. We will reject any
application that proposes a budget exceeding these maximum amounts for

a single budget period of 12 months. The Assistant Secretary for Postsecondary Education may change the maximum amount through a notice published in the Federal Register.

Estimated Number of Awards: Individual Development Grants: 46. Cooperative Arrangement Development Grants: 58.

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

Project Period: Up to 60 months.

III. Eligibility Information

    1. Eligible Applicants: IHEs that qualify as eligible HSIs are eligible to apply for new Individual Development Grants and Cooperative Arrangement Development Grants under the Hispanic-Serving Institutions STEM and Articulation Programs. To be an eligible HSI, an IHE must--

    (a) Have an enrollment of needy students, as defined in section 502(b) of the HEA (section 502(a)(2)(A)(i) of the HEA; 20 U.S.C. 1101a(a)(2)(A)(i));

    (b) Have, except as provided in section 522(b) of the HEA, average educational and general expenditures that are low, per full-time equivalent (FTE) undergraduate student, in comparison with the average educational and general expenditures per FTE undergraduate student of institutions that offer similar instruction (section 502(a)(2)(A)(ii) of the HEA; 20 U.S.C. 1101a(a)(2)(A)(ii));

    Note: To demonstrate an enrollment of needy students and low average educational and general expenditures per FTE undergraduate student, an IHE must be designated as an "eligible institution" in accordance with 34 CFR 606.3 through 606.5 and the notice inviting

applications for designation as an eligible institution for the fiscal year for which the grant competition is being conducted.

(c) Be accredited by a nationally recognized accrediting agency or association that the Secretary has determined to be a reliable authority as to the quality of education or training offered, or making reasonable progress toward accreditation, according to such an agency or association (section 502(a)(2)(A)(iv) of the HEA; 20 U.S.C. 1101a(a)(2)(A)(iv));

(d) Be legally authorized to provide, and provide within the State, an educational program for which the institution awards a bachelor's degree (section 502(a)(2)(A)(iii) of the HEA; 20 U.S.C. 1101a(a)(2)(A)(iii)); and

(e) Have an enrollment of undergraduate FTE students that is at least 25 percent Hispanic students at the end of the award year immediately preceding the date of application (section 502(a)(5)(B) of the HEA; 20 U.S.C. 1101a(a)(5)(B)).

Note 1: Funds for the Hispanic-Serving Institutions STEM and Articulation Programs will be awarded each fiscal year; thus, for this program, the "end of the award year immediately preceding the date of application" refers to the end of the fiscal year prior to the application due date. The end of the fiscal year occurs on September 30 for any given year.

Note 2: In considering applications for grants under this program, the Department will compare the data and documentation the institution relied on in its application with data reported to the

Department's Integrated Postsecondary Education Data System (IPEDS),
the IHE's State-reported enrollment data, and the institutional annual
report. If different percentages or data are reported in these various
sources, the institution must, as part of the 25 percent assurance
verification, explain the reason for the differences. If the IPEDS
data show that less than 25 percent of the institution's undergraduate
FTE students are Hispanic, the burden is on the institution to show
that the IPEDS data are inaccurate. If the IPEDS data indicate that
the institution has an undergraduate FTE less than 25 percent, and the
institution fails to demonstrate that the IPEDS data are inaccurate,
the institution will be considered ineligible.[1]

　　　2.　Cost Sharing or Matching: There are no cost sharing or
matching requirements unless the grantee uses a portion of its grant
for establishing or improving an endowment fund. If a grantee uses a
portion of its grant for endowment fund purposes, it must match those
grant funds with non-Federal funds. (20 U.S.C. 1101b(c)(2)).

IV. Application and Submission Information

　　　1.　Address to Request Application Package: Carolyn Proctor, U.S.
Department of Education, 1990 K Street, NW., Room 6060, Washington, DC

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[1] For purposes of making the determination described in paragraph (e) of the
Eligibility Criteria for this competition, IHEs must report their undergraduate
Hispanic FTE percent based on the student enrollment count closest to, but not after,
September 30, 2009.
　　　In addition, for purposes of establishing eligibility for this competition, the
Notice Inviting Applications for Designation as Eligible Institutions for FY 2010 was
published in the Federal Register on December 7, 2009 (74 FR 64059), and the deadline
for application was January 6, 2010. The Notice Inviting Applications for
Designation as Eligible Institutions for FY 2010 was reopened on August 13, 2010 (75
FR 49484), and the deadline for applications was September 13, 2010. Only
institutions that submitted the required application and received designation through
one of these processes are eligible to submit applications for this competition.

20006-8513. Telephone: (202) 502-7567 or by e-mail:

Carolyn.Proctor@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. <u>Content and Form of Application Submission</u>: Requirements

concerning the content of an application, together with the forms you

must submit, are in the application package for these programs.

Page Limits: The application narrative (Part III of the application)

is where you, the applicant, address the selection criteria that

reviewers use to evaluate your application. We have established

mandatory page limits for both the Individual Development Grant and the

Cooperative Arrangement Development Grant applications. You must limit

the application narrative (Part III) to no more than 50 pages for the

Individual Development Grant application and no more than 70 pages for

the Cooperative Arrangement Development Grant application, using the

following standards:

• A "page" is 8.5" x 11", on one side only, with 1" margins at

the top, bottom, and both sides.

• Double space (no more than three lines per vertical inch) all

text in the application narrative, except titles, headings, footnotes,

quotations, references, and captions, as well as all text in charts,

tables, figures, and graphs. These items may be single spaced.
Charts, tables, figures, and graphs in the application narrative count
toward the 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. An application submitted in any other font
(including Times Roman and Arial Narrow) will not be accepted.

- If you do not use all of the allowable space on a page, it will
be counted as a full page in determining compliance with the page
limit.

The page limit does not apply to Part I, the Application for
Federal Assistance (SF 424); the Department of Education Supplemental
Information form (SF 424); Part II, Budget Information—Non-Construction
Programs (ED 524); Part IV, the assurances and certifications; or the
one-page abstract, or the program activity budget detail form and
supporting narrative. However, the page limit does apply to all of the
application narrative section (Part III), including the narrative on
budget that responds to the selection criteria. If you include any
attachments or appendices not specifically requested in the application
package, these items will be counted as part of your application
narrative (Part III) for purposes of the page limit requirement. You
must include your complete response to the selection criteria in the
application narrative.

<u>Note</u>: The narrative response to the budget selection criteria is not the same as the activity detail budget form and supporting narrative. The supporting narrative for the detail budget form explains the requested budget items line by line.

We will reject your application if you exceed the applicable 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 45 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Applications for grants under this competition must be submitted electronically using the Grants.gov Apply site (Grants.gov). For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 7. <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.

Deadline for Intergovernmental Review: [INSERT DATE 105 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

4. <u>Intergovernmental Review</u>: These programs are 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 these programs.

5. <u>Funding Restrictions</u>: A grantee may not carry out the following activities or pay the following costs under a HSI STEM and Articulation Programs Development Grant:

(1) Activities that are not included in the grantee's approved application.

(2) Activities that are inconsistent with any State plan for higher education that is applicable to the institution, including, but not limited to, a State plan for desegregation of higher education.

(3) Activities or services that relate to sectarian instruction or religious worship.

(4) Activities provided by a school or department of divinity. For the purpose of this provision, a "school or department of divinity" means an institution, or a department of an institution, whose program is specifically for the education of students to prepare them to become ministers of religion or to enter into some other religious vocation or to prepare them to teach theological subjects.

(5) Developing or improving non-degree or non-credit courses other than basic skills development courses.

(6) Developing or improving community-based or community services programs, unless the program provides academic-related experiences or academic credit toward a degree for degree students, or, unless it is a program or services to encourage elementary and secondary school students to develop the academic skills and the interest to pursue postsecondary education.

(7) Purchase of standard office equipment, such as furniture, file cabinets, bookcases, typewriters, or word processors.

(8) Payment of any portion of the salary of a president, vice president, or equivalent officer who has college-wide administrative authority and responsibility at an institution to fill a position under the grant such as project coordinator or activity director.

(9) Costs of organized fund-raising, including financial campaigns, endowment drives, solicitation of gifts and bequests, and similar expenses incurred solely to raise capital or obtain contributions.

(10) Costs of student recruitment such as advertisements, literature, and college fairs.

(11) Services to high school students, unless they are services to encourage such students to develop the skills and the interest to pursue postsecondary education.

(12) Instruction in the institution's standard courses as indicated in the institution's catalog.

(13) Costs for health and fitness programs, transportation, and day care services.

(14) Student activities such as entertainment, cultural, or social enrichment programs, publications, social clubs, or associations.

(15) Activities that are operational in nature rather than developmental in nature.

We reference other regulations outlining funding restrictions in the Applicable Regulations section of this notice.

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

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

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

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

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

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

If you are a corporate entity, agency, institution, or organization, you can obtain a TIN from the Internal Revenue Service. If you are an individual, you can obtain a TIN from the Internal

Revenue Service or the Social Security Administration. If you need a new TIN, please allow 2-5 weeks for your TIN to become active.

The CCR registration process may take five or more business days to complete. If you are currently registered with the CCR, you may not need to make any changes. However, please make certain that the TIN associated with your DUNS number is correct. Also, note that you will need to update your CCR registration on an annual basis. This may take three or more business days to complete.

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

7. Other Submission Requirements: Applications for grants under this competition 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 Hispanic-Serving Institutions STEM and Articulation Programs, CFDA number 84.031C, must be submitted electronically using the Governmentwide Grants.gov Apply site at www.Grants.gov. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and

submit your application. You may not e-mail an electronic copy of a grant application to us.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement <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. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under <u>Exception to Electronic Submission Requirement</u>.

You may access the electronic grant application for the Hispanic-Serving Institutions STEM and Articulation Programs at www.Grants.gov. You must search for the downloadable application package for this competition by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.031 not 84.031C).

Please note the following:

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

• Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30:00 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not accept your application if it is received–-that is, date and time stamped by

the Grants.gov system--after 4:30:00 p.m., Washington, DC time, on the application deadline date. We do not consider an application that does not comply with the deadline requirements. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30:00 p.m., Washington, DC time, on the application deadline date.

- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.

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

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

- You must submit all documents electronically, including all information you typically provide on the following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.

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

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

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

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

<u>Application Deadline Date Extension in Case of Technical Issues with the Grants.gov System</u>: If you are experiencing problems submitting

your application through Grants.gov, please contact the Grants.gov

Support Desk, toll free, at 1-800-518-4726. You must obtain a

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

     If you are prevented from electronically submitting your

application on the application deadline date because of technical

problems with the Grants.gov system, we will grant you an extension

until 4:30:00 p.m., Washington, DC time, the following business day to

enable you to transmit your application electronically or by hand

delivery. You also may mail your application by following the mailing

instructions described elsewhere in this notice.

     If you submit an application after 4:30:00 p.m., Washington, DC

time, on the application deadline date, please contact the person

listed under For Further Information Contact in section VII of this

notice and provide an explanation of the technical problem you

experienced with Grants.gov, along with the Grants.gov Support Desk

Case Number. We will accept your application if we can confirm that a

technical problem occurred with the Grants.gov system and that that

problem affected your ability to submit your application by 4:30:00

p.m., Washington, DC time, on the application deadline date. The

Department will contact you after a determination is made on whether

your application will be accepted.

Note: The extensions to which we refer in this section apply only to

the unavailability of, or technical problems with, the Grants.gov

system. We will not grant you an extension if you failed to fully

register to submit your application to Grants.gov before the

application deadline date and time or if the technical problem you experienced is unrelated to the Grants.gov system.

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

- You do not have access to the Internet; or

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

and

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

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

Address and mail or fax your statement to: Carolyn Proctor, U.S. Department of Education, 1990 K Street, NW., room 6048, Washington, DC 20006-8516. FAX: (202) 502-7861.

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 following address:

    U.S. Department of Education
    Application Control Center
    Attention: (CFDA Number 84.031C)
    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.

<u>Note</u>: 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. <u>Submission of Paper Applications by Hand Delivery</u>.

   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 84.031C)
       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.

<u>Note for Mail or Hand Delivery of Paper Applications</u>: If you mail or

hand deliver your application to the Department--

   (1) You must indicate on the envelope and--if not provided by the

Department--in Item 11 of the SF 424 the CFDA number, including suffix

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

application; and

   (2) The Application Control Center will mail to you a

notification of receipt of your grant application. If you do not

receive this notification within 15 business days from the application

deadline date, you should call the U.S. Department of Education

Application Control Center at (202) 245-6288.

V. Application Review Information

    1. <u>Selection Criteria</u>: The selection criteria for these programs

are from 34 CFR 75.209(a) and 75.210, and are as follows:

    Need for the project (20 points);

    Quality of the project design (15 points);

    Quality of project services (15 points);

    Quality of project personnel (10 points);

    Adequacy of resources (10 points);

    Quality of the management plan (15 points); and

    Quality of project evaluation (15 points).

Additional information regarding these criteria is listed in the

application package for this competition.

    2. <u>Review and Selection Process</u>: We remind potential applicants

that in reviewing applications in any discretionary grant competition,

the Secretary may consider, under 34 CFR 75.217(d)(3), the past

performance of the applicant in carrying out a previous award, such as

achievement of project objectives, the applicant's use of funds, and

compliance with grant conditions. The Secretary may also consider

whether the applicant failed to submit a timely performance report or

submitted a report of unacceptable quality.

    In addition, in making a competitive grant award, the Secretary

also requires various assurances including those applicable to Federal

civil rights laws that prohibit discrimination in programs or

activities receiving Federal financial assistance from the Department of Education (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

Additional factors we consider in selecting an application for an award are as follows:

(A) Documentation of at least 25 Percent Hispanic Undergraduate FTE Students. An applicant must provide, as an attachment to the application, the documentation the institution relied upon in determining that at least 25 percent of the institution's undergraduate FTE students are Hispanic.

Note: The 25 percent requirement applies only to undergraduate Hispanic students and is calculated based upon FTE students. Instructions for formatting and submitting the verification documentation to Grants.gov are in the application package for this competition.

(B) Tie-breaker for development grants (based on 34 CFR 606.23). To resolve ties in the reader scores of applications for development grants, the Department will award one additional point to an application from an IHE that has an endowment fund for which the market value per FTE student is less than the comparable average current market value of the endowment funds per FTE student at similar type IHEs. In addition, to resolve ties in the reader scores of applications for HSI STEM and Articulation Programs development grants, the Department will award one additional point to an application from an IHE that has expenditures for library materials per FTE student that

are less than the comparable average expenditures for library materials per FTE student at similar type IHEs.

We also will add one additional point to an application from an IHE that proposes to carry out one or more of the following activities--

1. Faculty development;

2. Funds and administrative management;

3. Development and improvement of academic programs;

4. Acquisition of equipment for use in strengthening management and academic programs;

5. Joint use of facilities; and

6. Student services.

For the purpose of these funding considerations, we will use the most recent complete data available (e.g., for FY 2010, we will use 2008–2009 data).

If a tie remains after applying the tie-breaker mechanism above, priority will be given in the case of applicants for: (a) individual development grants, to applicants that addressed the statutory priority found in section 521(d) of the HEA; and b. Cooperative arrangement grants, to applicants in accordance with section 524(b) of the HEA, if the Secretary determines that the cooperative arrangement is geographically and economically sound or will benefit the applicant institution.

If a tie still remains after applying the additional point(s) and the relevant statutory priority, we will determine the ranking of

applicants based on the lowest endowment values per FTE enrolled student.

3. <u>Special Conditions</u>: Under 34 CFR 74.14 and 80.12, the Secretary may impose special conditions on a grant if the applicant or grantee is not financially stable; has a history of unsatisfactory performance; has a financial or other management system that does not meet the standards in 34 CFR parts 74 or 80, as applicable; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

VI. Award Administration Information

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

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

4. Performance Measures: The Secretary has established the following key performance measures for assessing the effectiveness of the Hispanic-Serving Institutions STEM and Articulation Programs:

(1) The percentage change, over the five-year grant period, of the number of full-time degree-seeking undergraduates enrolled at HSIs.

(2) The percentage of first-time, full-time degree-seeking undergraduate students who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same institution.

(3) The percentage of first-time, full-time degree-seeking undergraduate students enrolled at four-year HSIs graduating within six years of enrollment.

(4) The percentage of first-time, full-time degree-seeking undergraduate students enrolled at two-year HSIs graduating within three years of enrollment.

(5) Federal cost for undergraduate and graduate degrees at institutions in the Hispanic-Serving Institutions STEM and Articulation Programs.

5. <u>Hispanic-Serving Institutions STEM and Articulation Programs Special Analyses</u>: The Hispanic- Serving Institutions STEM and Articulation Programs include two absolute priorities and one competitive preference priority listed under <u>Priorities</u> in section I of this notice.

To assess the impact of the adoption of these priorities on program outcomes, the Department will collect data through the annual performance report and conduct special analyses to determine the changes that occur during the course of the grant period in:

(1) The percentage of students receiving STEM related degrees from grantee institutions that select <u>Absolute Priority 1</u>; and

(2) The percentage of students transferring from two-year grantee institutions to other institutions that select <u>Absolute Priority</u> 2; and

(3) The use of student data on enrollment, persistence, and completion by grantee institutions that select the Competitive Preference Priority in conducting project activities. Such data may include data from

State longitudinal data systems or other reliable third-party resources.

    6. <u>Continuation Awards</u>: In making a continuation award, the Secretary may consider, under 34 CFR 75.253, the extent to which a grantee has made "substantial progress toward meeting the objectives in its approved application." This consideration includes the review of a grantee's progress in meeting the targets and projected outcomes in its approved application, and whether the grantee has expended funds in a manner that is consistent with its approved application and budget. In making a continuation grant, the Secretary also considers whether the grantee is operating in compliance with the assurances in its approved application, including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

VII. Agency Contact

<u>For Further Information Contact</u>: Carolyn Proctor, U.S. Department of Education, 1990 K Street, NW., room 6048, Washington, DC 20006-8513. Telephone: (202) 502-7567 or by e-mail: Carolyn.Proctor@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 person listed under <u>For Further</u> <u>Information Contact</u> in section VII in 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 via the Federal Digital System at: www.gpo.gov/fdsys.

Dated:

_____
Eduardo M. Ochoa,
<u>Assistant Secretary for</u>
<u>Postsecondary Education</u>.

IMPORTANT – PLEASE READ FIRST

U.S. Department of Education
Grants.gov Submission Procedures and Tips for Applicants

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

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

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

1) **REGISTER EARLY** – Grants.gov registration may take five or more business days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. For detailed information on the Registration Steps, please go to: http://www.grants.gov/applicants/get_registered.jsp. [Note: Your organization will need to update its Central Contractor Registry (CCR) registration annually.]

2) **SUBMIT EARLY** – **We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded.** The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30:00 p.m. Washington, DC time on the deadline date.

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

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

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

confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

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

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

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

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

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

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

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

Attaching Files – Additional Tips

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

1. Ensure that you attach ***.PDF files only*** for any attachments to your application. PDF files are the only Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files. Any attachments uploaded that are not .PDF files or are password protected files will not be read. If you need assistance converting your files to a .pdf format, please refer to this Grants.gov webpage with links to conversion programs: http://www.grants.gov/help/download_software.jsp#pdf_conversion_programs
2. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name. When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded files must be less than 50 characters, contain no spaces, no special characters (example: -, &, *,

%, /, #, \) including periods (.), blank spaces and accent marks. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.

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. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

2/2011

GRANTS.GOV REGISTRATION INSTRUCTIONS FOR ORGANIZATIONS

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

For more information, go to http://www.grants.gov/applicants/get_registered.jsp.

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

D-U-N-S NUMBER INSTRUCTIONS

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

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

1. Legal name
2. Tradestyle, doing business as (DBA), or other name by which your organization is commonly recognized
3. Physical address, city, state and zip code
4. Mailing address (if separate)
5. Telephone number
6. Contact name
7. SIC code (Line of Business)
8. Number of employees at your location
9. Headquarters name and address (if there is a reporting relationship to a parent corporate entity)
10. Is this a home-based business?

Obtaining a DUNS Number places your organization on D&B's marketing list, which is sold to other companies. At the time you apply for your DUNS number, you may also request not to be added to this list.

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

CENTRAL CONTRACTOR REGISTRATION (CCR) INSTRUCTIONS

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

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

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

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

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

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

Application Transmittal Instructions

You must follow the Application Procedures as described in the <u>Federal Register</u> notice announcing the grant competition.

This program competition requires the electronic submission of applications using Grants.gov. Specific requirements and waiver instructions can be found in the <u>Federal Register</u> notice.

According to the instructions found in the <u>Federal Register</u> 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.

Applications for grants under this competition must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in this section.

<u>Electronic Submission of Applications</u>

Applications for grants under the Hispanic-Serving Institutions STEM and Articulation Programs, CFDA number 84.031C, must be submitted electronically using the Governmentwide Grants.gov Apply site at www.Grants.gov. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement <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. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under <u>Exception to Electronic Submission Requirement</u>.

You may access the electronic grant application for the Hispanic-Serving Institutions STEM and Articulation Programs at www.Grants.gov. You must search for the downloadable application package for this competition by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.031 not 84.031C).

Please note the following:
- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30:00 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not accept your application if it is received–-that is, date and time stamped by the Grants.gov system--after 4:30:00 p.m., Washington, DC time, on the application deadline date. We do not consider an application that does not comply with the deadline requirements. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30:00 p.m., Washington, DC time, on the application deadline date.

- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.
- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this competition to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov under News and Events on the Department's G5 system home page at http://www.G5.gov.
- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.
- You must submit all documents electronically, including all information you typically provide on the following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.
- You must attach any narrative sections of your application as files in a .PDF (Portable Document) format only. If you upload a file type other than a .PDF or submit a password-protected file, we will not review that material.
- Your electronic application must comply with any page-limit requirements described in the Federal Register notice.
- After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. (This notification indicates receipt by Grants.gov only, not receipt by the Department.) The Department then will retrieve your application from Grants.gov and send a second notification to you by e-mail. This second notification indicates that the Department has received your application and has assigned your application a PR/Award number (an ED-specified identifying number unique to your application).
- We may request that you provide us original signatures on forms at a later date.

Application Deadline Date Extension in Case of Technical Issues with the Grants.gov System

If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

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

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

ability to submit your application by 4:30:00 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

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

Exception to Electronic Submission Requirement

You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through the Grants.gov system because—
- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to the Grants.gov system;
                                   and
- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application.

If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date. Address and mail or fax your statement to: Carolyn Proctor, U.S. Department of Education, 1990 K Street, NW., room 6048, Washington, DC 20006-8516. FAX: (202) 502-7861.

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

Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:
U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.031C)
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 84.031C)
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.

AUTHORIZING LEGISLATION

The Hispanic-Serving Institutions STEM and Articulation Programs (HSI STEM & Articulation Programs) is authorized under Title II, Part F, Section 371 of the Higher Education Act of 1965, as amended. Legislation governing the HSI STEM & Articulation Programs can be accessed from the following website: http://www2.ed.gov/programs/idueshsi/legislation.html.

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

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.***

Instructions for Completing the Application

The application for the HSI STEM & Articulation Program consists of the following four parts. These parts are organized in the same manner that the submitted application should be organized. The parts are as follows:

<u>Part I: 424 Forms</u>:

1.   Application for Federal Assistance (SF 424)
2.   Department of Education Supplemental Information form for SF 424

Note: Applicants must complete the SF 424 form first because the information you provide here is automatically inserted into other sections of the Grants.gov application package.

<u>Part II: U. S. Department of Education Budget Summary Forms</u>:

1.   ED 524 (Section A and Section B)

The "**U. S. Department of Education Budget Information for Non-Construction Programs"** (found in the Grants.gov application package) is where applicants provide budget information for Section A – Budget Summary U.S. Department of Education Funds and Section B – Budget Summary Non-Federal Funds.

<u>Part III: Other Forms</u>

       ED Abstract Form

       Project Narrative Attachment Form
       Other Attachments Form

The "**<u>ED Abstract Form</u>**" (found in the Grants.gov system) is where applicants will attach their one-page project abstract that will provide an overview of the proposed project.

The "**<u>Project Narrative Attachment Form</u>**" (found in the Grants.gov system) includes the narrative responses to the selection criteria that will be used to evaluate applications submitted for this competition. Please include a Table of Contents as the first page of the project narrative. You must limit the project narrative to no more than 50 pages for the Individual Development Grant application and 70 pages for the Cooperative Arrangement Development Grant application. The Project Narrative pages should be consecutively numbered.

The "**<u>Other Attachments Form</u>**" (found in Grants.gov) is where applicants will attach the HSI STEM & Articulation Program Profile Form, the Activity Budget Detail Form, and Activity Budget Narrative Form.

Part IV: **Assurances, Certifications, and Survey Forms**

1.   GEPA Section 427 requirement
2.   Assurances for Non-Construction Programs (SF 424B)
3.   Grants.gov Lobbying Form (formerly ED Form 80-0013)
4.   Disclosure of Lobbying Activities (SF-LLL)
5.   Survey on Ensuring Equal Opportunity for Applicants

NOTE: *Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although the form accepts attachments, the Department of Education will only review attached materials/files or forms as listed above. All attachments must be in .pdf format. Other types of files will not be accepted.*

INSTRUCTION FOR PROJECT NARRATIVE

The program narrative shall be attached to the "Project Narrative Attachment Form" in the Application Package, downloaded from Grants.gov.

The Secretary evaluates an application according to criteria selected from 34 CFR 75.210. The Program Narrative should provide the information that specifically addresses each selection criterion. The maximum possible score for each category of selection criterion is indicated in parenthesis. For ease of reading by the reviewers, applicants should follow the sequence of the criteria as provided below. Applications should be written in a concise and clear manner. You must limit the section of the narrative that addresses the selection criteria to no more than 50 pages for the Individual Development Grant application and 70 pages for the Cooperative Arrangement Development Grant application.

The selection criteria are:

1.	Need for the Project	(20 points)
2.	Quality of the Project Design	(15 points)
3.	Quality of Project Services	(15 points)
4.	Quality of Project Personnel	(10 points)
5.	Adequacy of Resources	(10 points)
6.	Quality of the Management Plan	(15 points)
7.	Quality of the Project Evaluation	(15 points)

Total Maximum Score for Selection Criteria   **100 points**

Explanation of the selection criteria:

1. *Need for the project.* **(20 Points)**
(a) In determining the need for the proposed project, the Secretary considers:
  (i)   The magnitude of the needs for the services to be provided or the activities to be carried out by the proposed project.

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

  (iii)   The extent to which the proposed project will provide services or otherwise address the needs of students at risk of educational failure.

  (iv)   The extent to which the proposed project will focus on serving or otherwise addressing the need of disadvantaged individuals.

2. *Quality of the project design.* **(15 Points)**
(a) In determining the quality of the design of the proposed project, the Secretary considers:
  (i) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.

  (ii) The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs.

3. *Quality of project services.* **(15 Points)**
(a) The Secretary considers the quality of the design of the proposed project.

(b) In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

(c) In addition, the Secretary considers:

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

   (ii)   The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs.

   (iii) The extent to which the services provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services.

   (iv)   The extent to which the services to be provided by the proposed project reflect up-to-date knowledge from research and effective practice.

4. *Quality of project personnel*. **(10 Points)**
(a) The Secretary considers the quality of the personnel who will carry out the proposed project.

(b) In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

(c) In addition, the Secretary considers one or more of the following factors:

   (i) The qualifications, including relevant training and experience, of the project director or principal investigator.

   (ii) The qualifications, including relevant training and experience, of key project personnel.

5. *Adequacy of resources*. (**10 Points**)
(a) The Secretary considers the adequacy of resources for the proposed project.

(b) In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:

   (i) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization.

   (ii) The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project.

   (iii) The extent to which the budget is adequate to support the proposed project.

   (iv) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project.

(v) The extent to which the costs are reasonable in relation to the number of persons to be served and to the anticipated results and benefits.

6. *Quality of the management plan.* **(15 Points)**

(a) The Secretary considers the quality of the management plan for the proposed project.

(b) In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

(i) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.

(ii) The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project.

(iii) The adequacy of mechanisms for ensuring high-quality products and services from the proposed project.

(iv) The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.

(v) How the applicant will ensure that a diversity of perspectives are brought to bear in the operation of the proposed project, including those of parents, teachers, the business community, a variety of disciplinary and professional fields, recipients or beneficiaries of services, or others, as appropriate.

7. *Quality of the project evaluation.* **(15 Points)**

(a) In determining the quality of the evaluation, the Secretary considers:

(i) The extent to which the methods of evaluation are thorough, feasible and appropriate to the goals, objectives and outcomes of the proposed project.

(ii) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes.

(iii) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.

Writing tips for address each of the selection criteria

1. Need Applicants should identify and explain the need(s) for their proposed project as related to the purpose of the HSI STEM and Articulation Programs. Applicants should provide data that supports the identified need. Data that supports the need for your project may consist of recent statistics from state, local and federal sources, mission statement, annual reports or other reports that compares data from similar institutions, etc.

2. Project Design Applicants should clearly and succinctly identify the components, divisions or departments of the institution(s) that will conduct activities, supply services, or develop products to meet the identified need(s). The project design describes the services or products, with measurable outcomes supported by objectives and goals for each. The services, products or activities of the grant should address the needs of the target populations and other identified needs.

3. Project Services Applicants should clearly describe the activities and services they are proposing and the intended recipients or beneficiaries of each service or activity. A mere listing of the services and beneficiaries is not enough. Descriptions of activities, services and products should reflect the identified need(s) of the institution and the intended target population and beneficiaries. The activities and services should reflect up-to-date knowledge from research and effective practice and explain how the proposed activities and services will result in the desired outcome of the HSI STEM and Articulation Programs.

4. Key Personnel The minimum qualifications must be identified for the Project Director(s). The minimum educational qualifications should include the type of degree required and the acceptable field(s) of study. The type and minimum amount of work-related experience should also be described for each position.

5. Adequacy of Resources This section should describe the institutions' support for the project, including information on the facilities, equipment and supplies that may be provided. The demonstrated commitment of each partner institution should be described here, describing any additional resources that will be available. Information shows that the applicant analyzed the necessary resources for successfully completing the proposed project, and that the proposed costs are reasonable in relation to the design, services, planned number of persons to be served, and significance of the proposed project.

6. Management Plan Describe the plan for managing the project. Who will be responsible for which tasks? What are the expected timelines and proposed budgets for each activity or service? What are the expected milestones for accomplishing the proposed activities or services? Have you included procedures that will ensure feedback and the opportunity for continuous improvement in the operation of the proposed project? Be sure that the management plans are clearly and concisely defined.

7. Evaluation 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 process and outcome performance measures and benchmarks to monitor progress toward meeting specific project objectives and goals. 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. Applicants are encouraged to devote an appropriate level of resources to project evaluation and should explain the measures and strategies that will be used to ensure that the evaluation is appropriately rigorous and independent.

Budget Summary Form (ED 524):

The Budget Summary is uploaded in Part II. Applicants may receive funding for five years. Complete Budget Summary Form (ED Form 524) for each year being requested. The Summary Budget Form (ED 524) summarizes the costs by category for each year of the grant. Check for accuracy for all budget totals between the activity budget(s) and the summary budget. The Education Department may choose the lesser of two budget figures should inaccuracies occur. **NOTE**: Do not complete Section C of the 524. Budget narratives are supplied with each Activity Budget Form.

Activity Budget Form and Activity Budget Narrative Form Instructions

An "Activity Budget Form" and the "Activity Budget Narrative Form" should be uploaded in Part III "Other Attachments Form" of the Grants.gov application package. Provide an Activity Budget Form and Activity Budget Narrative Form for each activity proposed in the application.

On each Activity Budget and Activity Budget Narrative Form, please provide a cost for each category as appropriate and itemize the costs in the narrative. **If you fail to provide details, we may not be able to determine if the costs of the activities are necessary and reasonable and may disallow such costs.** For all costs, demonstrate that they are reasonable in today's market and necessary to accomplish activity objectives. In particular, you should justify any single cost exceeding $25,000 – excluding salaries and fringe benefits.

Hispanic-Serving Institutions STEM and Articulation Programs

Assurances

Additional instructions for applicants:

Applicants enter HSI assurance data on the "HSI STEM & Articulation Programs Program Profile" page in Part III of the application. Applicants will attach the "HSI STEM & Articulation Programs Program Profile" page to the "Other Attachments Form" of the Grants.gov application package.

The statute governing the Hispanic-Serving Institutions Program, requires the applicant to provide an assurance to the following:

> The applicant has an enrollment of undergraduate full-time equivalent (FTE) students that is at least 25 percent Hispanic students at the end of the award year immediately preceding the date of application.

For the purposes of the calculation, use your institution's student enrollment count closest to, but not after, September 30, 2009.

Whatever the full-time course load is at your institution, count a full-time undergraduate degree student as one FTE.

To determine the FTE for part-time undergraduate students, total the number of credit hours of all part-time undergraduate students. Include both part-time degree students and part-time unclassified students. Divide the total number of credit hours for the part-time undergraduate students by **twelve (12)**. The result is the FTE for part-time undergraduate students.

Note: An unclassified undergraduate student is one who is not a candidate for a degree or other formal award, but is taking courses for credit in regular classes with undergraduate degree students. However, both classified and unclassified undergraduate students enrolled must be in a program of at least two years in length that would result in the award of a certificate, associate degree or other educational credential.

To calculate the total undergraduate FTE Enrollment Count: Add the FTE of full-time undergraduate students and the FTE of part-time undergraduate students.

To calculate the Hispanic Undergraduate FTE Enrollment Count: Add the FTE of full-time undergraduate Hispanic students and the FTE of part-time undergraduate Hispanic students.

To calculate the Undergraduate FTE Hispanic Percent: Divide the Hispanic Undergraduate FTE Enrollment Count by the Total Undergraduate FTE Enrollment Count and multiply by 100.

To calculate the Hispanic Enrollment Count: (**Note: This calculation includes all Hispanic students regardless of enrollment status or graduate/undergraduate status).** Determine the total number of Hispanic students.

SUPPLEMENTAL INFORMATION AND INSTRUCTIONS

HSI STEM & Articulation Programs Profile: All applicants must complete the information requested on this page. Using the profile, the applicant will provide information on Assurances and Eligibility. **Do not modify, amend or delete any of this document.**

Applicants must copy and paste this page into a separate document, or recreate the page exactly as it appears. Then, complete the page, save it to your computer and attach it to the "Other Attachments Form," in the Application Package downloaded from Grants.gov, as a .pdf document. Do not modify or amend the contents of the form in any way.

HSI STEM & Articulation Programs Assurances: All applicants must provide assurances regarding the percent of Hispanic students enrolled at an institution. By inserting a check mark in the box or an X in front of the box, for item #11, and by providing the required data for items #7 and #8 on the "HSI STEM & Articulation Program Profile Form," an applicant certifies that it will fully comply with the requirements.

Special Note: **The Department will cross-reference, for verification, data reported to the Integrated Postsecondary Education Data System (IPEDS), the institution's state reported enrollment data, and the institutional annual report. If there are any differences in the percentages reported to the above references, the institution should justify the differences as a part of their eligibility documentation. When providing eligibility documentation to support your HSI assurances, please note that the Department does not consider a replication of the instructions sufficient justification. If the Department receives a replica of the instructions and/or cannot validate assurances, the application will be deemed ineligible.**

Hispanic-Serving Institutions STEM & Articulation
Program Profile

INSTRUCTIONS: *ALL applicants must complete and submit this profile. You may copy or recreate this form, but do not amend or modify the required information or format.* *Please complete all sections of this form. Upon completion, attach this document as a .pdf into Part III of the "Other Attachments Form" of the Grants.gov application package.*

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1. **Name of Institution/Campus Requesting:** (Use your institution's complete name. If your institution is a branch campus, use the parent institution's name but follow it with the name of the branch campus. For example, you would cite the State University of New York, Brockport Campus.)

Institution/Campus OPE ID#:   **DUNS#:**

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2. **Applicant Address**: (All applicants must indicate the address where the project will be located)

Project Address:

City: State: Zip:

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3. **Participating Institutions in a Cooperative Arrangement**:

3a. Name of Applicant Institution (Lead):
3b. Name of Participating Institutions   DUNS Number   Location (city/state)
1.
2.
3.

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4. **Tiebreaker Information**: Enter the full-time equivalent (FTE) enrollment for Fall 2009. See the Application Guide and Federal Register Notice for instructions on calculating FTE enrollment.

Total Fall 2009 FULL-TIME EQUIVALENT (FTE) students =

1.   Total market value of endowment fund for 2009-10

2.   Total expenditures for library material during 2009-10

Note: Failure to provide information requested in items a) and b) above may result in the Department not considering the application under a tie-breaker situation

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5. **Endowment Fund Assurance**:

☐ The institution certifies that it proposes to use no more than twenty percent (20%) of the Hispanic-Serving Institutions STEM and Articulation Programs grant, made under the authority of Title V, of the Higher Education Act of 1965, as amended to establish or increase the institution's endowment fund. The institution agrees to abide by the Department of Education's regulations governing the Endowment Challenge Grant Program, 34 CFR Part 628, the program statute, and the program regulations, 34 CFR Part 606. The institution further agrees to raise the required matching funds.

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6. **Institutional Assurance Statistics**: See the Application Guide and the Federal Register Notice for HSI Assurance Instructions. Please provide us with the data your institution reported to the following: IPEDS and State Reported Enrollment. Enter information for all areas below for Fall 2009 (up to September 30, 2009). **NOTE: If you are a four-year HSI applicant submitting a grant under the competitive preference priorities, the two-year HSI must also submit its HSI assurances.**

7a. **HSI STEM & Articulation Program Assurance**:	7b. **State Enrollment Reported Data**:	7c. **IPEDS Reported Data**:
Total Undergraduate FTE Enrollment Count: Hispanic Undergraduate FTE Enrollment Count: Total Hispanic Enrollment Count: Undergraduate FTE Hispanic Percent: **Two-year HSI STEM & Articulation Programs Assurance**: Total Undergraduate FTE Enrollment Count: Hispanic Undergraduate FTE Enrollment Count: Total Hispanic Enrollment Count: Undergraduate FTE Hispanic Percent:	Hispanic Undergraduate FTE Enrollment: Undergraduate FTE Hispanic Percent: **Two-year HSI State Enrollment Data**: Hispanic Undergraduate FTE Enrollment: Undergraduate FTE Hispanic Percent:	Hispanic Undergraduate FTE Enrollment: Undergraduate FTE Hispanic Percent: **Two-year HSI IPEDS Reported Data**: Hispanic Undergraduate FTE Enrollment: Undergraduate FTE Hispanic Percent:

1.   **8. Eligibility Documentation**: Please provide us with the documentation the institution relied upon in determining that at least 25 percent of the institution's undergraduate FTE students are Hispanic.

NOTE: The Department will cross-reference for verification, data reported to the Integrated Postsecondary Education Data System (IPEDS), the institution's state reported enrollment data, and the institutional annual report. If there are any differences in the percentages reported to the above reference, the institution should justify the differences as a part of their eligibility documentation. When providing eligibility documentation to support your HSI assurance, please note that the Department does not consider a replication of the instructions sufficient justification. If the Department receives a replica of the instructions and/or cannot validate assurance, the application will be deemed ineligible.

9. **Priorities**: The Department has established a competitive priority for the FY 2010 grant competition. The competitive priority is selected from the final supplemental priorities and definitions for discretionary grant programs notice published in the Federal Register on December 15, 2010 (75FR 78486).

Competitive Preference Priorities: ☐ By checking this box, the applicant certifies that it meets the requirement of the FY 2010 Competitive Priority as announced in the Federal Register Notice.

10. **Certifying Representative**: Name: Title: Contact Number: Fax Number:	11. ☐ By checking this box, the applicant and President of the institution certify that the IHE will comply with the statutory requirements, program standards, and program assurance cited in the HSI program regulations 34 CFR Part 606.

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) – Completed in the Application Package found in Grants.gov

Department of Education Supplemental Information for SF 424 – Completed in the Application Package found in Grants.gov

Department of Education Budget Information Non-Construction Programs Form (ED 524) – Completed in the Application Package found in Grants.gov

One-Page Program Abstract – Attached to the "ED Abstract Form" in the Application Package found in Grants.gov

Program Narrative – Attached to the "Project Narrative Attachment Form" in the Application Package found in Grants.gov

Hispanic-Serving Institutions STEM and Articulation Programs Profile – Attached to the "Other Attachments Form" in the Application Package found in Grants.gov

Assurances and Certifications – Completed in the Application Package found in Grants.gov

Assurances for Non-Construction Programs (SF-424B)

Grants.gov Lobbying Form (formerly Certification Regarding Lobbying ED 80-0013)

Disclosure of Lobbying Activities (SF-LLL)

Survey on Ensuring Equal Opportunity for Applicants

ED GEPA427 Form

General Education Provisions Act (GEPA) Section 427

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

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

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:

1.   Applicants are required to address this provision by attaching a statement to the ED GEPA 427 Form that must be downloaded from Grants.gov.

2.   All applicants <u>must</u> include information in their applications to address this provision in order to receive funding under this program.

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.

The performance indicators for the HSI STEM & Articulation Programs are part of the Department's plan for meeting Goal 3. The Department's specific goal for this program is "to strengthen Hispanic-Serving Institutions."

What are the Performance Indicators for the HSI STEM & Articulation Programs?

The Title V Developing Hispanic-Serving Institutions Program's overarching goal is: To improve the capacity of minority-serving institutions, which traditionally have limited resources and serve large numbers of low-income and minority students, to improve student success and to provide high-quality educational opportunities for their students.

The specific performance indicators for the HSI STEM & Articulation Programs are as follows:

(1) The percentage change, over the two-year grant period, of the number of full-time degree-seeking undergraduates enrolled at HSIs.

(2) The percentage of first-time, full-time degree-seeking undergraduate students who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same institution.

(3) The percentage of first-time, full-time degree-seeking undergraduate students enrolled at four-year HSIs graduating within six years of enrollment.

(4) The percentage of first-time, full-time degree-seeking undergraduate students enrolled at two-year HSIs graduating within three years of enrollment.

(5) Federal cost for undergraduate and graduate degrees at institutions in the HSI STEM & Articulation Programs.

HSI STEM & Articulation Program Special Analyses

The grants to Hispanic-Serving Institutions under the HSI STEM & Articulation Program includes two priorities: (1) To increase the number of Hispanic and other low-income students attaining degrees in the fields of science, technology, engineering, or mathematics (STEM); and (2) To develop articulation agreements between two-year HSIs and four-year institutions in such fields. To assess the impact of the adoption of these priorities on program outcomes, the Department will be conducting special analyses, as indicated in the Federal Register notice announcing the competition for new awards under this program. These assessments will take place before and after the end of the grant period.

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 are met.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 35 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit under P.L.111-152. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email ICDocketMgr@ed.gov and reference the OMB Control Number 1840-0799. Note: Please do not return the completed application to this address.

Hispanic-Serving Institutions STEM & Articulation Program Activity Budget Detail Form

INSTRUCTIONS: ALL applicants must complete and submit this form. **You may copy or recreate this form, but do not amend or modify the required information or format.** *Upon completion, attach this document as a .pdf into the "Other Attachments Form" in the Grants.gov application system.*

Activity Budget (To be completed for every activity for which funding is requested)											
1. Name of Institution:					**2. Activity Title:**						
3. Budget Categories By Year	**First Year**		**Second Year**		**Third Year**		**Fourth Year**		**Fifth Year**		**Total Funds Requested**
Object Class	% 0f Time	Funds Requested	% Of Time	Funds Requested	% Of Time	Funds Requested	% Of Time	Funds Requested	% Of Time	Funds Requested	
a. Personnel (Position Title)		$		$		$		$		$	$
SUB-TOTAL		$		$		$		$		$	$
b. Fringe Benefits ___%		$		$		$		$		$	$
c. Travel		$		$		$		$		$	$
d. Equipment		$		$		$		$		$	$
e. Supplies		$		$		$		$		$	$
f. Contractual		$		$		$		$		$	$
g. Construction		$		$		$		$		$	$
h. Other (endowment)		$		$		$		$		$	$
i. TOTAL DIRECT CHARGES		$		$		$		$		$	$

1.   **Explain in detail how you arrived at the total amount requested in each object class in each year of the activity. If you fail to provide sufficient details, we may disallow costs**.