OFFICE OF POSTSECONDARY EDUCATION
Washington, DC 20006

www.ed.gov/about/offices/list/ope/trio/index.html

FY 2012

APPLICATION FOR GRANTS

UNDER THE

RONALD E. McNAIR POSTBACCALAUREATE

ACHIEVEMENT PROGRAM

CFDA NUMBER: 84.217A

FORM APPROVED

OMB No. XXXX-XXX, Expiration Date: XX/XX/XXXX

DATED MATERIAL – OPEN IMMEDIATELY
CLOSING DATE: INSERT DATE

TABLE OF CONTENTS

Dear Applicant:

Thank you for your interest in applying for a grant under the Ronald E. McNair Postbaccalaureate Achievement (McNair) Program. The McNair Program provides grants to institutions of higher education and combinations of those institutions for the purpose of providing academic and other support services to prepare low-income, first-generation college students, and students from groups underrepresented in graduate education for doctoral study. The McNair projects provide opportunities for research or other scholarly activities, summer internships, seminars, tutoring, and academic counseling to prepare students for doctoral studies including assistance to students in securing admission to, and financial assistance for, graduate programs. McNair projects may also provide education or counseling services designed to improve the financial and economic literacy of students, including financial planning for postsecondary education, mentoring programs involving faculty members at institutions of higher education, students, or a combination of faculty members and students, and exposure to cultural events and academic programs not usually available to disadvantaged students.

This letter highlights a few items in the fiscal year (FY) 2012 application package that will be important to you in applying for a grant under this program. You should review the entire application package carefully before preparing and submitting your application. Information on the McNair Program is accessible at the U.S. Department of Education (Department) website at:

http://www2.ed.gov/programs/triomcnair/index.html

In the FY 2012 competition, there are three competitive preference priorities: 1. Promoting Science, Technology, Engineering, and Mathematics (STEM) Education; 2. Improving Productivity; and 3. Building Evidence of Effectiveness. Please note that applicants addressing these priorities may earn up to 6 competitive preference points for the first priority, and up to 4 competitive preference points each for the second and third priorities. An application may earn a maximum of fourteen competitive preference points for the competition. Further, the points awarded under each priority by the non-Federal reviewers (reviewers) will be based on the degree to which the applicant proposes to meet the priorities. The Department strongly encourages applicants to address any or all of these priorities. For additional information about the competitive preference priorities, refer to the Federal Register Notice Inviting Applications for new Awards (notice) for FY 2012. The notice is included in this application package.

Applications for FY 2012 grants under the McNair Program must be submitted electronically using the Grants.gov system. An applicant who is unable to submit an application through the Grants.gov system must submit a written request for a waiver of the electronic submission requirement at least two weeks before the deadline date. Additional information about Grants.gov submission requirements can be found in the Competition Highlights, the Notice published in the Federal Register, and in the transmittal instructions, which are included in this package. Grants.gov is accessible through its portal page at http://www.Grants.gov.

As a result of the enactment of the Higher Education Opportunity Act (HEOA) of 2008, which amended the Higher Education Act of 1965, the Department conducted a negotiated rulemaking process to develop regulations to implement the changes required by the HEOA. The final regulations for the McNair and other Federal TRIO

Programs were published in the <u>Federal</u> <u>Register</u> on October 26, 2010. The changes to the McNair Program regulations are highlighted in this application package.

Further, it is imperative that your application includes a strong evaluation plan. The reviewers are instructed to look closely at the potential of McNair Program applicants to successfully reach their individual project goals, which are driven by the performance indicators for the McNair Program (see the Notice for information on the performance measures). The evaluation plan should not only include formative and summative measures, but also address the use of appropriate controls and techniques that provide for independent evaluation. The evaluation plan should shape the development of the project from the beginning of the grant period and provide benchmarks for the monitoring of progress and measurement of that progress throughout the grant award period. You should pay close attention to the information provided in the Instructions for the Program Narrative section of this application regarding the development of your evaluation activity.

For information (including dates and times) about how to submit your application electronically please refer to the official Notice published in the <u>Federal Register</u>.

You are reminded that the document published in the <u>Federal Register</u> (Notice) is the official document, and that you should not rely upon any information that is inconsistent with the guidance contained within the official document.

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

Sincerely,

Debra Saunders-White, Ed.D.
Deputy Assistant Secretary
Higher Education Programs

COMPETITION HIGHLIGHTS

1. **Ronald E. McNair Postbaccalaureate Achievement (McNair) Program applications for FY 2012 must be submitted electronically using Grants.gov**. You are urged to acquaint yourself with the requirements of Grants.gov early as the registration procedures may require 5 or more days to complete. A more thorough discussion is included later in this application package. Grants.gov is accessible through its portal page at: **http://www.Grants.gov.** The requirements for obtaining an exception to the electronic submission have changed and are included in the Notice Inviting Applications for New Awards (Notice) for FY 2012. If you think you may need an exception, you are urged to review the requirements promptly.

2. It is important to know that the Grants.gov site works differently than the Department's e-Application system, used in past competitions. Grants.gov does not allow applicants to "un-submit" applications. Therefore, if you discover that changes or additions are needed once your application has been accepted and validated by the Department, you must "re-submit" the application. You should know that if the Department receives duplicate applications, we will accept and process the application with the latest "date/time received" validation.

3. Please note that you must submit your application by 4:30:00 p.m. (Washington, D.C. time) on or before the application deadline date. Late applications will not be accepted. **We suggest that you submit your application several days before the deadline.** The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date and time.

4. Electronic submission of applications is required; therefore, you must submit an electronic application unless you follow the procedures outlined in the Federal Register Notice for FY 2012 and qualify for one of the exceptions to the electronic submission requirement.

5. Applicants are required to adhere to the page limit specified in the Application Narrative Instructions portion of the application. The Notice published in the Federal Register, contains specific information governing page limits for each grant type and formatting instructions. **The total page limit for the project narrative portion of the application for the FY 2012 McNair competition is 50 pages. However, those addressing the competitive preference priorities may include up to four additional pages for each priority addressed (a total of 12 pages if all three priorities are addressed), in a separate section of the application submission to discuss how the application meets the competitive preference priorities.**

6. All attachments must be in .PDF format. Other types of files will not be accepted.

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. It is important to note where you are saving the Grants.gov file on your computer. You will need to log on to Grants.gov to upload and submit the application. (This is different from e-Application, where you are working online and saving data to the Department's database.) You must provide the DUNS number that was used when your organization registered with the Central Contractor Registry (CCR).

For Grants.gov-related questions and assistance, please contact:
Support Desk e-Mail: support@Grants.gov
Support Desk Telephone: (800) 518-4726
Contact Telephone Hours: 24 hours, 7 days a week, except Federal
                                                         holidays
Web Site: http://www.Grants.gov

Also, refer to the "Submission Procedures and Tips for Applicants" section found in this application booklet.

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

7. In the FY 2012 competition, the Department has established three competitive preference priorities that are outlined below:

    Competitive Preference Priorities:

    Applicants must address the competitive preference priorities in a separate section of the application submission to receive up to a maximum of twelve points based on the extent to which the application contains substantive information regarding the priorities. Applicants may include up to four additional pages for each priority addressed.

    Competitive Preference Priority 1: Promoting Science, Technology, Engineering, and Mathematics (STEM) Education (up to 6 additional points). Projects that are designed to address providing activities that demonstrate new ideas and methodologies to increase the number and proportion of students prepared for graduate study in STEM; and develop a plan to increase the number of individuals traditionally underrepresented in STEM.

    Competitive Preference Priority 2: Improving Productivity   (Up to 4 additional points). Projects that are designed to significantly increase efficiency in the use of time, staff, money, or other resources while improving student learning or other educational outcomes (i.e., outcome per unit of resource). Such projects may include innovative and sustainable uses of technology, modification of the summer

6

research experience, methods of supplementing grant funds with other funds, employing graduate mentors versus faculty mentors during the first year of research, or other strategies.

Competitive Preference Priority 3: Building Evidence of Effectiveness (Up to 4 additional points). Projects that propose evaluation plans that are likely to produce valid and reliable evidence in the area of identifying and improving practices, strategies, and policies that may contribute to improving outcomes. Under this priority, at a minimum, the outcome of interest is to be measured multiple times before and after the treatment for project participants and, where feasible, for a comparison group of non-participants.

The competitive preference priorities are explained in detail in the notice of final supplemental priorities and definition for discretionary grant programs published in the Federal Register on December 15, 2010 (75 FR 78486), and corrected on May 12, 2011 (76 FR 27637), as well as in this application package. You are urged to carefully review this information.

8. As you develop your proposal, we ask you to carefully consider the specific content that you will provide in the **Objectives** section in Part III of the Program Narrative in the application. This part of the application must address the appropriate standardized objectives as listed on the McNair Program Profile form. All applicants must complete the McNair Program Profile. The McNair Program Profile form, found in the application booklet, contains the standardized objectives for the program, as well as other information that is needed by the Department. All applicants are required to propose the percentage at which each of the standardized objectives will be met as related to the participants' involvement in research or scholarly activities, acceptance and enrollment in a graduate program, continue enrollment in a graduate program, and the attainment of a doctoral degree. Applicants may not modify, amend or delete any of these objectives or otherwise change the language contained in the document. The profile form must be uploaded into the **Other Attachments Form** in Grants.gov.

9. In accordance with the Higher Education Act (HEA), as amended by the Higher Education Opportunity Act (HEOA) of 2008, all successful applicants funded under the FY 2012 McNair competition will receive five-year (60-month) grant awards.

10. Consistent with the HEA, as amended by the HEOA of 2008, applicants may submit multiple McNair Program applications to serve a different campus or a designated different population.

11. The HEA, as amended by the HEOA of 2008, provides a list of **required services** that applicants must address in the project design to the extent that they are viable and serve the needs identified for the population to be served by the project.

12. All applicants must provide a one-page abstract. The abstract should briefly describe the population to be served, the competitive preference priorities addressed, the services that will be provided and the activities to be conducted during the 5-year performance period. Complete instructions for submitting the abstract are included in the "Instructions for Completing the Application Package" section of this application. The abstract must be uploaded into the **ED Abstract Form** in Grants.gov.

13. Information on the McNair Program is accessible at the Department's website at: http://www2.ed.gov/programs/triomcnair/index.html.

INTRODUCTION
RONALD E. McNAIR POSTBACCALAUREATE
ACHIEVEMENT PROGRAM

AUTHORIZATION
Title IV, Part A, Subpart 2, Section 402E of the Higher Education Act of 1965, as amended (HEA) by the Higher Education Opportunity Act of 2008 (HEOA)

PROGRAM REGULATIONS
34 CFR part 647 Ronald E. McNair Postbaccalaureate Achievement Program

PURPOSE
The Ronald E. McNair Postbaccalaureate Achievement (McNair) program: the Secretary shall carry out a program to be known as Ronald E. McNair Postbaccalaureate Achievement which shall be designed to provide:

(1) Opportunities for research or other scholarly activities at the grantee institution or at graduate centers that are designed to provide participants with effective preparation for doctoral study;
(2) Summer internships;
(3) Seminars and other educational activities designed to prepare participants for doctoral study;
(4) Tutoring;
(5) Academic counseling;
(6) Assistance to participants in securing admission to and financial assistance for enrollment in graduate programs.

ELIGIBLE APPLICANTS
The following are eligible to apply for a grant to carry out a McNair Program project:
      (a) Institutions of higher education
      (b) Combinations of those institutions.

ACTIVITIES FUNDED UNDER THIS PROGRAM

Required Services—Any project assisted under this section must provide—
      (1) Opportunities for research or other scholarly activities at the grantee institution or at graduate centers that are designed to provide students with effective preparation for doctoral study;
      (2) Summer internships;
      (3) Seminars and other educational activities designed to prepare students for doctoral study;
      (4) Tutoring;
      (5) Academic counseling; and

(6) Assistance to students in securing admission to, and financial assistance for, enrollment in graduate programs.

Permissible Services.--Any project assisted under this section may provide services such as—

(1) Education or counseling services designed to improve the financial and economic literacy of students, including financial planning for postsecondary education;

(2) Mentoring programs involving faculty members at institutions of higher education, students, or any combination of faculty members and students;

(3) Exposure to cultural events and academic programs not usually available to project participants;

(4) Other activities designed to meet the purpose of the McNair Program in §647.1.

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

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_** for any narrative attachments. PDF files are the only Education approved file type accepted as detailed in the Federal Register application notice. Also, do not upload any password protected files to your application. 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.
3. When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend you keep your file names to less than 60 characters. In addition, applicants should avoid including special characters in their file names (for example, %, *, /, etc.) Both of these conditions (lengthy file names and/or special characters including in the file names) could result in difficulties opening and processing a submitted application.
4. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

APPLICATION TRANSMITTAL INSTRUCTIONS

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

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

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

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

Applications Submitted Electronically

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

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

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

Submission of Paper Applications by Mail:

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

> **U.S. Department of Education**
> **Application Control Center**
> **Attention: CFDA Number *84.066*A**
> **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.

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

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

Submission of Paper Applications by Hand Delivery:

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

U.S. Department of Education
Application Control Center
Attention: CFDA Number *84.217A*
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

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

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

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

Application Control Center Hours of Operation

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

Grant Application Receipt from the Application Control Center

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

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

Late Applications

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

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DEPARTMENT OF EDUCATION

Applications for New Awards; Ronald E. McNair Postbaccalaureate

Achievement Program.

AGENCY: Office of Postsecondary Education; Department of

Education.

Action: Notice.

Overview Information

Ronald E. McNair Postbaccalaureate Achievement Program;

Notice inviting applications for new awards for fiscal year

(FY) 2012.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.217A.

Dates:

Applications Available: To Be Determined.

Deadline for Transmittal of Applications: To Be Determined.

Deadline for Intergovernmental Review: To Be Determined.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The Ronald E. McNair Postbaccalaureate

Achievement Program (McNair Program) is one of the seven programs

known as the Federal TRIO Programs, which provide postsecondary

educational support for qualified individuals from disadvantaged

backgrounds. The McNair Program is a discretionary grant program

that awards grants to institutions of higher education for

projects designed to provide disadvantaged college students with
effective preparation for doctoral study.

The President has set a clear goal for our education
system: by 2020, the United States will once again lead the
world in college attainment. The Department views the McNair
Program as a critical component in the effort to improve the
quality of student outcomes so that more students are well
prepared for college and careers. To more strategically align
the McNair Program with overarching reform strategies for
postsecondary completion and graduate school enrollment, the
Department is announcing three competitive preference priorities
for this competition.

Priorities: There are three competitive preference priorities:
Competitive Preference Priority 1 -- Promoting Science,
Technology, Engineering, and Mathematics (STEM) Education;
Competitive Preference Priority 2 -– Improving Productivity; and
Competitive Preference Priority 3 – Building Evidence of
Effectiveness. These three priorities are from the Department's
notice of final supplemental priorities and definitions for
discretionary grant programs, published in the Federal Register
on December 15, 2010 (75 FR 78486), and corrected on May 12, 2011
(76 FR 27637).

For FY 2012 and any subsequent year in which we make awards
from the list of unfunded applicants from this competition, these

priorities are competitive preference priorities. Under 34 CFR 75.105(c)(2)(i), we award up to an additional six points to an application that meets Competitive Preference Priority 1, up to an additional four points to an application that meets Competitive Preference Priority 2, and up to an additional four points to an application that meets Competitive Preference Priority 3. The maximum competitive preference points an application can receive under this competition is 14.

Note: Applicants must include in the one-page abstract submitted with the application a statement indicating which competitive preference priorities they have addressed. The priorities addressed in the application must also be listed on the McNair Program Profile Sheet.

These priorities are:

Competitive Preference Priority 1 –- Promoting Science, Technology, Engineering, and Mathematics (STEM) Education (Up to 6 additional points).

Background:

The inclusion of Competitive Preference Priority 1 will encourage applicants to increase the number of individuals in the McNair Program's target population that have access to STEM programs at the postsecondary level and are prepared for graduate study and careers in STEM. The McNair Program's target population includes groups underrepresented in graduate

education, as defined in the McNair Program regulations; low-income individuals who are first generation college students; and groups underrepresented in STEM as documented by standard statistical references or other national survey data submitted to and accepted by the Secretary.

Data from the National Center for Education Statistics show that 35 percent of all academic programs offered at McNair grantee institutions are in the STEM fields, compared to just 32 percent of academic programs offered nationally at 4-year institutions. Additionally, 99 percent of McNair grantee institutions offer at least one academic program in the STEM fields. The Department believes that McNair projects are positioned to promote and increase the number of students in the STEM fields.

Definition: This definition is from the McNair Program regulations, 34 CFR 647.7(b), and applies to Competitive Preference Priority 1.

"Groups underrepresented in graduate education" means Black (non-Hispanic), Hispanic, American Indian, Alaskan Native (as defined in section 7306 of the Elementary and Secondary Education Act of 1965, as amended (ESEA)), Native Hawaiians (as defined in section 7207 of the ESEA), and Native American Pacific Islanders (as defined in section 320 of the Higher Education Act of 1965, as amended).

<u>Priority</u>:

Projects that are designed to address one or more of the following priority areas:

(a) Providing students with increased access to rigorous and engaging coursework in STEM. (2 points)

(b) Increasing the number and proportion of students prepared for postsecondary or graduate study and careers in STEM. (2 points)

(c) Increasing the number of individuals from groups traditionally underrepresented in STEM, including minorities, individuals with disabilities, and women, who are provided with access to rigorous and engaging coursework in STEM or who are prepared for postsecondary or graduate study and careers in STEM. (2 points)

<u>Note</u>: Applicants addressing this priority might want to describe the percentage of students they are proposing to serve that would be in the STEM fields.

<u>Competitive Preference Priority 2 -- Improving Productivity (Up to 4 additional points)</u>.

<u>Background</u>:

The Department is using Competitive Preference Priority 2 because it believes that it is more important than ever to support projects that are designed to significantly increase

efficiency in the use of resources while improving student outcomes. A key performance measure for the McNair Program is the efficiency measure-cost per successful outcome, where a successful outcome is defined by the number of students enrolling and persisting in graduate education. Applicants proposing projects designed to decrease their cost per participant while improving student outcomes will be more likely to perform well on this efficiency measure.

Priority:

Projects that are designed to significantly increase efficiency in the use of time, staff, money, or other resources while improving student learning or other educational outcomes (i.e., outcome per unit of resource). Such projects may include innovative and sustainable uses of technology, modification of school schedules and teacher compensation systems, use of open educational resources (as defined in this notice), or other strategies.

Note: The types of projects identified above are suggestions for ways to improve productivity. The Department recognizes that some of these examples, such as modification of teacher compensation systems, may not be relevant for the context of this notice. Accordingly, grantees might want to consider responding to this notice in a way that improves productivity in a relevant, higher education context. Other strategies for productivity also

could include modification of the summer research experience, methods of supplementing grant funds with other funds, and employing graduate mentors versus faculty mentors during the first year of research.

Note: Although not required, the Secretary encourages applicants addressing this priority to explain how they will serve the same or an increased number of students at a lower cost per participant. The Department is interested in seeing strong plans that propose to serve an increasing number of students at a lower cost per participant.

Competitive Preference Priority 3 –- Building Evidence of Effectiveness (Up to 4 additional points).

Background: The McNair Program is an important investment aimed at increasing the number of low-income, first generation students that complete undergraduate education and enter and complete graduate school. But this investment is insufficient to provide these services to all students who would benefit from the program. Accordingly, the Department is interested in projects that propose ways to increase the evidence base around strategies or activities that may help students from low-income and first-generation backgrounds complete undergraduate education and enter and complete graduate programs, particularly in the STEM fields.

Priority: Projects that propose evaluation plans that are likely to produce valid and reliable evidence in the following priority area:

Identifying and improving practices, strategies, and policies that may contribute to improving outcomes. Under this priority, at a minimum, the outcome of interest is to be measured multiple times before and after the treatment for project participants and, where feasible, for a comparison group of non-participants.

Note: Applicants addressing this priority might want to consider how their plans for evaluation would be able to provide more information about what practices, strategies, and policies may help more low-income, first-generation students complete undergraduate education in STEM fields and enter and complete graduate programs in the STEM fields.

Definition: This definition is from the notice of final supplemental priorities and definitions, published in the Federal Register on December 15, 2010 (75 FR 78486), and corrected on May 12, 2011 (76 FR 27637), and applies to Competitive Preference Priority 2.

"Open educational resources (OER)" means teaching, learning, and research resources that reside in the public domain or have been released under an intellectual property license that permits their free use or repurposing by others.

Program Authority: 20 U.S.C. 1070a-11 and 20 U.S.C. 1070a-15.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75 (except for 75.215 through 75.221), 77, 79, 80, 82, 84, 85, 86, 97, 98 and 99. (b) The regulations for this program in 34 CFR part 647. (c) The notice of final supplemental priorities and definitions for discretionary grant programs, published in the Federal Register on December 15, 2010 (75 FR 78486), and corrected on May 12, 2011 (76 FR 27637).

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 (IHEs)only.

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: $36,118,554.

Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2013 from the list of unfunded applicants from this competition.

Estimated Range of Awards: $220,000 to $368,000.

Estimated Average Size of Awards: $234,000.

Maximum Award:

For an applicant not currently receiving a McNair Program grant: $220,000 to serve a minimum of 25 eligible participants.

For an applicant currently receiving a McNair Program grant but applying to serve a different campus: $220,000 to serve a minimum of 25 eligible participants.

For an applicant currently receiving a McNair Program grant and not applying to serve a different campus, the maximum award is the amount equal to the applicant's grant award amount for FY 2007, the first year of the previous cycle, to continue to serve at least the same number of participants that was approved for the current project to the extent that continued service to the same number of participants does not result in a per participant cost of more than $8,800.

Note: For an applicant who is currently receiving a McNair Program grant that is serving more than 25 participants, the applicant is encouraged to continue to serve its current number of participants. However, if the applicant proposes to reduce the number of participants to be served, the applicant must propose to serve at least 25 participants at a cost that does not exceed $8,800 per participant.

For any project that proposes to serve less than the minimum number of 25 participants, the maximum award amount that may be requested is an amount equal to $8,800 per participant.

Pursuant to 34 CFR 647.32(a), we will reject any application that proposes a budget exceeding the maximum amount described in this section for a single budget period of 12 months to serve

fewer than 25 participants. Pursuant to 34 CFR 647.32 (a), we will also reject any application that proposes a budget to serve fewer than 25 participants.

Estimated Number of Awards: 127.

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

Project Period: Up to 60 months.

III. Eligibility Information

   1. Eligible Applicants: Institutions of higher education and combinations of those institutions.

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

   3. Other: An applicant may submit more than one application for a McNair grant as long as each application describes a project that serves a different campus or a designated different population (34 CFR 647.10(a)). The McNair Program regulations define "different campus" as "a site of an institution of higher education that – (1) Is geographically apart from the main campus of the institution; (2) Is permanent in nature; and (3) Offers courses in educational programs leading to a degree, certificate, or other recognized educational credential." 34 CFR 647.7(b). The Secretary is not designating any additional populations for which an applicant may submit a separate application under this competition (34 CFR 647.10(b)).

IV. Application and Submission Information

1. Address to Request Application Package: You can obtain an application package via the Internet by downloading the package from the program Web site at:

You can also request a copy of the application package from: Eileen Bland, McNair Program, U.S. Department of Education, 1990 K Street, NW., room 7000, Washington, DC 20006-8510. Telephone: (202) 502 7600 or by e-mail: TRIO@ed.gov.

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

Individuals with disabilities can obtain a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) by contacting the program contact person listed in this section.

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

Page Limit: The application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the application narrative (Part III) to no more than 50 pages. However, any application addressing the competitive preference priorities may

include up to four additional pages for each priority addressed
(a total of 12 pages if all three priorities are addressed) in a
separate section of the application submission to discuss how the
application meets the competitive preference priority or
priorities. These additional pages cannot be used for or
transferred to the project narrative. Partial pages will count
as a full page toward the page limit. For purpose of determining
compliance with the page limit, each page on which there are
words will be counted as one full page. Applicants must use the
following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins
at the top, bottom, and both sides. Page numbers and an
identifier may be within the 1" margin.

- Double space (no more than three lines per vertical inch)
all text in the application narrative, <u>except</u> titles, headings,
footnotes, quotations, references, captions, and all text in
charts, tables, figures, and graphs.

- Use a font that is 12 point or larger.

- Use one of the following fonts: Times New Roman,
Courier, Courier New, or Arial. An application submitted in any
other font (including Times Roman and Arial Narrow) will not be
accepted.

The page limit does not apply to Part I, the Application for
Federal Assistance Face Sheet (SF 424); Part II, the budget

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

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

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

Applications Available: ==To Be Determined==.

Deadline for Transmittal of Applications: ==To Be Determined==.

Applications for grants under this program must be submitted
electronically using the Grants.gov Apply site (Grants.gov). For
information (including dates and times) about how to submit your
application electronically, or in paper format by mail or hand
delivery if you qualify for an exception to the electronic
submission requirement, please refer to section IV. 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 For Further Information Contact in Section VII of this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

Deadline for Intergovernmental Review: <mark>To Be Determined</mark>.

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

5.   Funding Restrictions: We specify unallowable costs in 34 CFR 647.31. We reference additional 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 at the following Grants.gov Web page: www.grants.gov/applicants/get_registered.jsp.

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

a. <u>Electronic Submission of Applications</u>.

Applications for grants under the McNair Program, CFDA number 84.217A, 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 Exception to Electronic Submission Requirement.

You may access the electronic grant application for the McNair Program at www.Grants.gov. You must search for the downloadable application package for this program by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.217, not 84.217A).

Please note the following:

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

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

4:30:00 p.m., Washington, DC time, on the application deadline date.

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

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

Application Deadline Date Extension in Case of Technical Issues

with the Grants.gov System: If you are experiencing problems

submitting your application through Grants.gov, please contact

the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

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

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

<u>Note</u>: 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.

<u>Exception to Electronic Submission Requirement</u>: You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through 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;

<center><u>and</u></center>

1. 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

<center>39</center>

Department, we must receive the faxed statement no later than two weeks before the application deadline date.

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

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

b. <u>Submission of Paper Applications by Mail</u>.

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

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U.S. Department of Education
Application Control Center
Attention:  (CFDA Number 84.217A)
LBJ Basement Level 1
400 Maryland Avenue, SW.
Washington, DC  20202-4260
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You must show proof of mailing consisting of one of the following:

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

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

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

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

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

(1) A private metered postmark.

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

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

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

c. Submission of Paper Applications by Hand Delivery.

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

        U.S. Department of Education
        Application Control Center

Attention: (CFDA Number 84.217A)
         550 12th Street, SW.
         Room 7041, Potomac Center Plaza
         Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily

between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except

Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you

mail or hand deliver your application to the Department--

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

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

including suffix letter, if any, of the competition under which

you are submitting your application; and

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

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

receive this notification within 15 business days from the

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

Education Application Control Center at (202) 245-6288.

V. Application Review Information

     1.   Selection Criteria: The selection criteria for this

program competition are from 34 CFR 647.21 and are listed in the

application package.

     1.   Review and Selection Process: A panel of non-

Federal readers will review each application in accordance with

the selection criteria and the competitive preference priorities,

pursuant to 34 CFR 647.20. The individual scores of the readers will be added and the sum divided by the number of readers to determine the reader score received in the review process.

In accordance with 34 CFR 647.22, the Secretary will evaluate the prior experience of applicants that received a McNair Program project grant for project years 2008-09, 2009-10 and 2010-11. Based on that evaluation, the Secretary may add prior experience points to the application's averaged reader score to determine the total score for each application. The Secretary makes new grants in rank order on the basis of the total scores of the reader scores and prior experience points awarded to each application.

Pursuant to 34 CFR 647.20(c), if there are insufficient funds for all applications with the same total scores, the Secretary will choose among the tied applications so as to serve geographical areas that have been underserved by the McNair Program. The Secretary will not make a new grant to an applicant if the applicant's prior project involved the fraudulent use of program funds.

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

43

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

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

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

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

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in

44

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 success of the McNair Program will be measured by the McNair Program participants' success in completing research and participation in scholarly activities, enrollment in a graduate program, continued enrollment in graduate study, and the attainment of a doctoral degree. All McNair Program grantees will be required to submit an annual performance report.

5. Continuation Awards: 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 Contacts

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

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

VIII. Other Information

Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc)

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

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

You may also access documents of the Department published in the <u>Federal Register</u> by using the article search feature at: <u>www.federalregister.gov</u>. Specifically, through the advanced search feature at this site, you can limit your search to documents published by the Department.

Dated:

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

AUTHORIZING LEGISLATION

The Ronald E. McNair Postbaccalaureate Achievement Program is authorized by the Higher Education Act (HEA) of 1965, as amended by the Higher Education Opportunity Act (HEOA) of 2008. The HEOA's amendments to the HEA may be found at the Department's website at the following address:
http://www2.ed.gov/policy/highered/leg/hea08/index.html

Please note that the official compilation of Federal law is the United States Code which is available from the Government Printing Office.

On October 26, 2010, the final regulations amending the McNair Program regulations were published in the Federal Register. These final regulations, which include the Department's responses to the public's comments on the proposed regulations, may be accessed under the McNair webpage "Laws, Regulations, and Guidance" at the following address:
http://www2.ed.gov/programs/triomcnair/index.html.

The final McNair Program regulations are provided below:

TITLE 34-EDUCATION
CHAPTER VI - OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

PART 647— MCNAIR PROGRAM

Subpart A—General

§ 647.1   What is the Ronald E. McNair Postbaccalaureate Achievement Program?
§ 647.2   Who is eligible for a grant?
§ 647.3   Who is eligible to participate in a McNair project?
§ 647.4   What activities and services does a project provide?
§ 647.5   How long is a project period?
§ 647.6   What regulations apply?
§ 647.7   What definitions apply?

Subpart B—How Does One Apply for an Award?

§ 647.10   How many applications may an eligible applicant submit?
§ 647.11   What assurances must an applicant submit?

Subpart C—How Does the Secretary Make a Grant?

§ 647.20   How does the Secretary decide which new grants to make?
§ 647.21   What selection criteria does the Secretary use?
§ 647.22   How does the Secretary evaluate prior experience?
§ 647.23   How does the Secretary set the amount of a grant?
§ 647.24   What is the review process for unsuccessful applicants?

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

§ 647.30   What are allowable costs?
§ 647.31   What are unallowable costs?
§ 647.32   What other requirements must a grantee meet?

Authority: 20 U.S.C. 1070a-11 and 1070a-15, unless otherwise noted.

Source: 59 FR 43989, Aug. 25, 1994, unless otherwise noted.

Subpart A—General

§ 647.1   What is the Ronald E. McNair Postbaccalaureate Achievement Program?

The Ronald E. McNair Postbaccalaureate Achievement Program—referred to in these regulations as the McNair program—awards grants to institutions of higher education for projects designed to provide disadvantaged college students with effective preparation for doctoral study.

(Authority: 20 U.S.C. 1070a-15)

§ 647.2   Who is eligible for a grant?

Institutions of higher education and combinations of those institutions are eligible for grants to carry out McNair projects.

(Authority: 20 U.S.C. 1070a-11, 1070a-15, 1088, and 1141(a) and 1144a)

§ 647.3   Who is eligible to participate in a McNair project?

A student is eligible to participate in a McNair project if the student meets all the following requirements:

(a)(1) Is a citizen or national of the United States; or

(2) Is a permanent resident of the United States; or

(3) Is in the United States for other than a temporary purpose and provides evidence from the Immigration and Naturalization Service of his or her intent to become a permanent resident; or

(4) Is a permanent resident of Guam, the Northern Mariana Islands, or the Trust Territory of the Pacific Islands; or

(5) Is a resident of one of the Freely Associated States.

(b) Is currently enrolled in a degree program at an institution of higher education that participates in the student financial assistance programs authorized under Title IV of the HEA.

(c) Is—

(1) A low-income individual who is a first-generation college student;

(2) A member of a group that is underrepresented in graduate education; or

(3) A member of a group that is not listed in §647.7 if the group is underrepresented in certain academic disciplines as documented by standard statistical references or other national survey data submitted to and accepted by the Secretary on a case-by-case basis.

(d) Has not enrolled in doctoral level study at an institution of higher education.

(Authority: 20 U.S.C. 1070a-15)

§ 647.4   What activities and services does a project provide?

 (a) A McNair project must provide the following services and activities:

(1) Opportunities for research or other scholarly activities at the grantee institution or at graduate centers that are designed to provide students with effective preparation for doctoral study.

(2) Summer internships.

(3) Seminars and other educational activities designed to prepare students for doctoral study.

(4) Tutoring.

(5) Academic counseling.

(6) Assistance to students in securing admission to, and financial assistance for, enrollment in graduate programs.

(b) A McNair project may provide the following services and activities:

(1) Education or counseling services designed to improve the financial and economic literacy of students, including financial planning for postsecondary education.

(2) Mentoring programs involving faculty members at institutions of higher education, students, or a combination of faculty members and students.

(3) Exposure to cultural events and academic programs not usually available to disadvantaged students.

(4) Other activities designed to meet the purpose of the McNair Program in §647.1.

(Authority: 20 U.S.C. 1070a–15)

[75 FR 65794, Oct. 26, 2010]

§ 647.5   How long is a project period?

A project period under the McNair program is five years.

(Authority: 20 U.S.C. 1070a–11)

[75 FR 65794, Oct. 26, 2010]

§ 647.6   What regulations apply?

 (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75 (except for §§75.215 through 75.221), 77, 79, 80, 82, 84, 85, 86, 97, 98, and 99.

(b) The regulations in this part 647.

(Authority: 20 U.S.C. 1070a–11 and 1070a–15)

[59 FR 43989, Aug. 25, 1994, as amended at 75 FR 65794, Oct. 26, 2010]

§ 647.7   What definitions apply?

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

Applicant

Application

Budget

Budget Period

EDGAR

Equipment

Facilities

Fiscal Year

Grant

Grantee

Project

Project Period

Public

Secretary

Supplies

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

Different campus means a site of an institution of higher education that—

(1) Is geographically apart from the main campus of the institution;

(2) Is permanent in nature; and

(3) Offers courses in educational programs leading to a degree, certificate, or other recognized educational credential.

Different population means a group of individuals that an eligible entity desires to serve through an application for a grant under the McNair TRIO program and that—

(1) Is separate and distinct from any other population that the entity has applied for a grant to serve; or

(2) While sharing some of the same needs as another population that the eligible entity has applied for a grant to serve, has distinct needs for specialized services.

Financial and economic literacy means knowledge about personal financial decision-making, which may include but is not limited to knowledge about—

(1) Personal and family budget planning;

(2) Understanding credit-building principles to meet long-term and short-term goals (*e.g.,* loan to debt ratio, credit scoring, negative impacts on credit scores);

(3) Cost planning for postsecondary or postbaccalaureate education (e.g., spending, saving, personal budgeting);

(4) College cost of attendance (*e.g.,* public vs. private, tuition vs. fees, personal costs);

(5) Financial assistance (*e.g.,* searches, application processes, and differences between private and government loans, assistanceships); and

(6) Assistance in completing the Free Application for Federal Student Aid (FAFSA).

First-generation college student means—

(1) A student neither of whose natural or adoptive parents received a baccalaureate degree; or

(2) A student who, prior to the age of 18, regularly resided with and received support from only one parent, and whose supporting parent did not receive a baccalaureate degree.

(3) An individual who, prior to the age of 18, did not regularly reside with or receive support from a natural or an adoptive parent.

Graduate center means an institution of higher education as defined in sections 101 and 102 of the HEA; and that—

(1) Provides instruction in one or more programs leading to a doctoral degree;

(2) Maintains specialized library collections;

(3) Employs scholars engaged in research that relates to the subject areas of the center; and

(4) Provides outreach and consultative services on a national, regional or local basis.

Graduate education means studies beyond the bachelor's degree leading to a postbaccalaureate degree.

Groups underrepresented in graduate education. The following ethnic and racial groups are considered underrepresented in graduate education: Black (non-Hispanic), Hispanic, American Indian, Alaskan Native (as defined in section 7306 of the Elementary and Secondary Education Act of 1965, as amended (ESEA)), Native Hawaiians (as defined in section 7207 of the ESEA), and Native American Pacific Islanders (as defined in section 320 of the HEA).

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

Institution of higher education means an educational institution as defined in sections 101 and 102 of the HEA.

Low-income individual means an individual whose family's taxable income did not exceed 150 percent of the poverty level in the calendar year preceding the year in which the individual participates in the project. Poverty level income is determined by using criteria of poverty established by the Bureau of the Census of the U.S. Department of Commerce.

Research or scholarly activity means an educational activity that is more rigorous than is typically available to undergraduates in a classroom setting, that is definitive in its start and end dates, contains appropriate benchmarks for completion of various components, and is conducted under the guidance of an appropriate faculty member with experience in the relevant discipline.

Target population means the universe from which McNair participants will be selected. The universe may be expressed in

terms of geography, type of institution, academic discipline, type of disadvantage, type of underrepresentation, or any other qualifying descriptor that would enable an applicant to more precisely identify the kinds of eligible project participants they wish to serve.

(Authority: 20 U.S.C. 1070a–11, 1070a–15, and 1141)

[59 FR 43989, Aug. 25, 1994, as amended at 75 FR 65794, Oct. 26, 2010]

Subpart B—How Does One Apply for an Award?

§ 647.10   How many applications may an eligible applicant submit?

 (a) An applicant may submit more than one application for McNair grants as long as each application describes a project that serves a different campus or a designated different population.

(b) For each grant competition, the Secretary designates, in the Federal Register notice inviting applications and the other published application materials for the competition, the different populations for which an eligible entity may submit a separate application.

(Authority: 20 U.S.C. 1070a–15; 20 U.S.C. 1221e–3))

[75 FR 65795, Oct. 26, 2010]

§ 647.11   What assurances must an applicant submit?

An applicant must submit as part of its application, assurances that—

(a) Each participant enrolled in the project will be enrolled in a degree program at an institution of higher education that participates in one or more of the student financial assistance programs authorized under Title IV of the HEA;

(b) Each participant given a summer research internship will have completed his or her sophomore year of study; and

(c)(1) At least two thirds of the students to be served will be low-income individuals who are first-generation college students; and

(2) The remaining students to be served will be members of groups underrepresented in graduate education.

(d) A student will not be served by more than one McNair project at any one time and that the McNair project will collaborate with other McNair and SSS projects and other State and institutional programs at the grantee-institution, including those supporting undergraduate research, so that more students can be served.

(Authority: 20 U.S.C. 1070a–15)

[59 FR 43989, Aug. 25, 1994. Redesignated and amended at 75 FR 65795, Oct. 26, 2010]

Subpart C—How Does the Secretary Make a Grant?

§ 647.20   How does the Secretary decide which new grants to make?

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

(1)(i) The Secretary evaluates an application on the basis of the selection criteria in §647.21.

(ii) The maximum score for all the criteria in §647.21 is 100 points. The maximum score for each criterion is indicated in parentheses with the criterion.

(2)(i) For an application from an applicant who has carried out a McNair project in the fiscal year immediately preceding the fiscal year for which the applicant is applying, the Secretary evaluates the applicant's prior experience of high quality service delivery on the basis of the outcome criteria in §647.22.

(ii) The maximum total score for all the criteria in §647.22 is 15 points. The maximum score for each criterion is indicated in parentheses with the criterion.

(iii) If an applicant described in paragraph (a)(2)(i) of this section applies for more than one new grant in the same fiscal year, the Secretary applies the criteria in §647.22 to a project that seeks to continue support for an existing McNair project on that campus.

(iv) The Secretary evaluates the PE of an applicant for each of the three project years that the Secretary designates in the

Federal Register notice inviting applications and the other
published application materials for the competition.

(v) An applicant may earn up to 15 PE points for each of the
designated project years for which annual performance report data
are available.

(vi) The final PE score is the average of the scores for the
three project years assessed.

(b) The Secretary makes new grants in rank order on the basis of
the total scores received by applications under paragraphs (a)(1)
through (a)(3) of this section.

(c)(1) If the total scores of two or more applications are the
same and there are insufficient funds for these applications
after the approval of higher-ranked applications, the Secretary
uses the remaining funds to achieve an equitable geographic
distribution of all new projects.

(2) In making an equitable geographic distribution of new
projects, the Secretary considers only the locations of new
projects.

(d) The Secretary does not make a new grant to an applicant if
the applicant's prior project involved the fraudulent use of
program funds.

(Authority: 20 U.S.C. 1070a–11 and 1070a–15)

[59 FR 43989, Aug. 25, 1994, as amended at 75 FR 65795, Oct. 26,
2010]

§ 647.21   *What selection criteria does the Secretary use?*

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

(a) *Need* (16 Points). The Secretary reviews each application to
determine the extent to which the applicant can clearly and
definitively demonstrate the need for a McNair project to serve
the target population. In particular, the Secretary looks for
information that clearly defines the target population; describes
the academic, financial and other problems that prevent
potentially eligible project participants in the target
population from completing baccalaureate programs and continuing
to postbaccalaureate programs; and demonstrates that the

project's target population is underrepresented in graduate education, doctorate degrees conferred and careers where a doctorate is a prerequisite.

(b) (9 points). The Secretary evaluates the quality of the applicant's objectives and proposed targets (percentages) in the following areas on the basis of the extent to which they are both ambitious, as related to the need data provided under paragraph (a) of this section, and attainable, given the project's plan of operation, budget, and other resources:

(1) (2 points) Research or scholarly activity.

(2) (3 points) Enrollment in a graduate program.

(3) (2 points) Continued enrollment in graduate study.

(4) (2 points) Doctoral degree attainment.

(c) *Plan of Operation* (44 points). The Secretary reviews each application to determine the quality of the applicant's plans of operation, including—

(1) (4 points) The plan for identifying, recruiting and selecting participants to be served by the project, including students enrolled in the Student Support Services program;

(2) (4 points) The plan for assessing individual participant needs and for monitoring the academic growth of participants during the period in which the student is a McNair participant;

(3) (5 points) The plan for providing high quality research and scholarly activities in which participants will be involved;

(4) (5 points) The plan for involving faculty members in the design of research activities in which students will be involved;

(5) (5 points) The plan for providing internships, seminars, and other educational activities designed to prepare undergraduate students for doctoral study;

(6) (5 points) The plan for providing individual or group services designed to enhance a student's successful entry into postbaccalaureate education;

(7) (3 points) The plan to inform the institutional community of the goals and objectives of the project;

(8) (8 points) The plan to ensure proper and efficient administration of the project, including, but not limited to matters such as financial management, student records management, personnel management, the organizational structure, and the plan for coordinating the McNair project with other programs for disadvantaged students; and

(9) (5 points) The follow-up plan that will be used to track the academic and career accomplishments of participants after they are no longer participating in the McNair project.

(d) *Quality of key personnel* (9 points). The Secretary evaluates the quality of key personnel the applicant plans to use on the project on the basis of the following:

(1)(i) The job qualifications of the project director.

(ii) The job qualifications of each of the project's other key personnel.

(iii) The quality of the project's plan for employing highly qualified persons, including the procedures to be used to employ members of groups underrepresented in higher education, including Blacks, Hispanics, American Indians, Alaska Natives, Asian Americans and Pacific Islanders (including Native Hawaiians).

(2) In evaluating the qualifications of a person, the Secretary considers his or her experience and training in fields related to the objectives of the project.

(e) *Adequacy of the resources and budget* (15 points). The Secretary evaluates the extent to which—

(1) The applicant's proposed allocation of resources in the budget is clearly related to the objectives of the project;

(2) Project costs and resources, including facilities, equipment, and supplies, are reasonable in relation to the objectives and scope of the project; and

(3) The applicant's proposed commitment of institutional resources to the McNair participants, as for example, the commitment of time from institutional research faculty and the waiver of tuition and fees for McNair participants engaged in summer research projects.

(f) *Evaluation plan* (7 points). The Secretary evaluates the quality of the evaluation plan for the project on the basis of the extent to which the applicant's methods of evaluation—

(1) Are appropriate to the project's objectives;

(2) Provide for the applicant to determine, in specific and measurable ways, the success of the project in—

(i) Making progress toward achieving its objectives (a formative evaluation); and

(ii) Achieving its objectives at the end of the project period (a summative evaluation); and

(3) Provide for a description of other project outcomes, including the use of quantifiable measures, if appropriate.

(Approved by the Office of Management and Budget under control number 1840–NEW6)

(Authority: 20 U.S.C. 1070a–15)

[59 FR 43989, Aug. 25, 1994, as amended at 75 FR 65795, Oct. 26, 2010]

§ 647.22 How does the Secretary evaluate prior experience?

 (a) In the case of an applicant described in §647.20(a)(2)(i), the Secretary—

(1) Evaluates an applicant's performance under its expiring McNair project;

(2) Uses the approved project objectives for the applicant's expiring McNair grant and the information the applicant submitted in its annual performance reports (APRs) to determine the number of PE points; and

(3) May adjust a calculated PE score or decide not to award PE points if other information such as audit reports, site visit reports, and project evaluation reports indicates the APR data used to calculate PE are incorrect.

(b) The Secretary does not award PE points for a given year to an applicant that does not serve at least 90 percent of the approved number of participants. For purposes of this section, the

approved number of participants is the total number of participants the project would serve as agreed upon by the grantee and the Secretary.

(c) The Secretary does not award any PE points for the criteria specified in paragraph (e)(1) of this section (Number of participants) if the applicant did not serve at least the approved number of participants.

(d) The Secretary uses the approved number of participants, or the actual number of participants served in a given year if greater than the approved number of participants, as the denominator for calculating whether the applicant has met its approved objective related to paragraph (e)(2) of this section (Research and scholarly activities).

(e) For purposes of the PE evaluation of grants awarded after January 1, 2009, the Secretary evaluates the applicant's PE on the basis of the following outcome criteria:

(1) (3 points) *Number of participants.* Whether the applicant provided services to no less than the approved number of participants.

(2) (3 points) *Research or scholarly activities.* Whether the applicant met or exceeded its objective for providing participants served during the project year with appropriate research and scholarly activities each academic year.

(3) (3 points) *Graduate school enrollment.* Whether the applicant met or exceeded its objective with regard to the acceptance and enrollment in graduate programs of participants served during the project year who complete the baccalaureate program during the academic year.

(4) (4 points) *Continued enrollment in graduate school.* Whether the applicant met or exceeded its objective with regard to the continued enrollment in graduate school of prior participants.

(5) (2 points) *Doctoral degree attainment.* Whether the applicant met or exceeded its objective with regard to the attainment of doctoral level degrees of prior participants in the specified number of years.

(Approved by the Office of Management and Budget under control number 1840–NEW11)

(Authority: 20 U.S.C. 1070a–11 and 1070a–15)

[75 FR 65796, Oct. 26, 2010]

§ 647.23   How does the Secretary set the amount of a grant?

(a) The Secretary sets the amount of a grant on the basis of—

(1) 34 CFR 75.232 and 75.233 for new grants; and

(2) 34 CFR 75.253 for the second and subsequent years of a project period.

(b) If the circumstances described in section 402A(b)(3) of the HEA exist, the Secretary uses the available funds to set the amount of the grant at the lesser of—

(1) $200,000; or

(2) The amount requested by the applicant.

(Authority: 20 U.S.C. 1070a–11)

[59 FR 43989, Aug. 25, 1994, as amended at 75 FR 65796, Oct. 26, 2010]

§ 647.24   What is the review process for unsuccessful applicants?

(a) *Technical or administrative error for applications not reviewed.* (1) An applicant whose grant application was not evaluated during the competition may request that the Secretary review the application if—

(i) The applicant has met all of the application submission requirements included in the Federal Register notice inviting applications and the other published application materials for the competition; and

(ii) The applicant provides evidence demonstrating that the Department or an agent of the Department made a technical or administrative error in the processing of the submitted application.

(2) A technical or administrative error in the processing of an application includes—

(i) A problem with the system for the electronic submission of applications that was not addressed in accordance with the procedures included in the Federal Register notice inviting applications for the competition;

(ii) An error in determining an applicant's eligibility for funding consideration, which may include, but is not limited to—

(A) An incorrect conclusion that the application was submitted by an ineligible applicant;

(B) An incorrect conclusion that the application exceeded the published page limit;

(C) An incorrect conclusion that the applicant requested funding greater than the published maximum award; or

(D) An incorrect conclusion that the application was missing critical sections of the application; and

(iii) Any other mishandling of the application that resulted in an otherwise eligible application not being reviewed during the competition.

(3)(i) If the Secretary determines that the Department or the Department's agent made a technical or administrative error, the Secretary has the application evaluated and scored.

(ii) If the total score assigned the application would have resulted in funding of the application during the competition and the program has funds available, the Secretary funds the application prior to the re-ranking of applications based on the second peer review of applications described in paragraph (c) of this section.

(b) *Administrative or scoring error for applications that were reviewed.* (1) An applicant that was not selected for funding during a competition may request that the Secretary conduct a second review of the application if—

(i) The applicant provides evidence demonstrating that the Department, an agent of the Department, or a peer reviewer made an administrative or scoring error in the review of its application; and

(ii) The final score assigned to the application is within the funding band described in paragraph (d) of this section.

(2) An administrative error relates to either the PE points or the scores assigned to the application by the peer reviewers.

(i) For PE points, an administrative error includes mathematical errors made by the Department or the Department's agent in the calculation of the PE points or a failure to correctly add the earned PE points to the peer reviewer score.

(ii) For the peer review score, an administrative error is applying the wrong peer reviewer scores to an application.

(3)(i) A scoring error relates only to the peer review process and includes errors caused by a reviewer who, in assigning points —

(A) Uses criteria not required by the applicable law or program regulations, the Federal Register notice inviting applications, the other published application materials for the competition, or guidance provided to the peer reviewers by the Secretary; or

(B) Does not consider relevant information included in the appropriate section of the application.

(ii) The term "scoring error" does not include—

(A) A peer reviewer's appropriate use of his or her professional judgment in evaluating and scoring an application;

(B) Any situation in which the applicant did not include information needed to evaluate its response to a specific selection criterion in the appropriate section of the application as stipulated in the Federal Register notice inviting applications or the other published application materials for the competition; or

(C) Any error by the applicant.

(c) *Procedures for the second review.* (1) To ensure the timely awarding of grants under the competition, the Secretary sets aside a percentage of the funds allotted for the competition to be awarded after the second review is completed.

(2) After the competition, the Secretary makes new awards in rank order as described in §647.20 based on the available funds for the competition minus the funds set aside for the second review.

(3) After the Secretary issues a notification of grant award to successful applicants, the Secretary notifies each unsuccessful applicant in writing as to the status of its application and the funding band for the second review and provides copies of the peer reviewers' evaluations of the applicant's application and the applicant's PE score, if applicable.

(4) An applicant that was not selected for funding following the competition as described in paragraph (c)(2) of this section and whose application received a score within the funding band as described in paragraph (d) of this section, may request a second review if the applicant demonstrates that the Department, the Department's agent, or a peer reviewer made an administrative or scoring error as provided in paragraph (b) of this section.

(5) An applicant whose application was not funded after the first review as described in paragraph (c)(2) of this section and whose application received a score within the funding band as described in paragraph (d) of this section has at least 15 calendar days after receiving notification that its application was not funded in which to submit a written request for a second review in accordance with the instructions and due date provided in the Secretary's written notification.

(6) An applicant's written request for a second review must be received by the Department or submitted electronically to a designated e-mail or Web address by the due date and time established by the Secretary.

(7) If the Secretary determines that the Department or the Department's agent made an administrative error that relates to the PE points awarded, as described in paragraph (b)(2)(i) of this section, the Secretary adjusts the applicant's PE score to reflect the correct number of PE points. If the adjusted score assigned to the application would have resulted in funding of the application during the competition and the program has funds available, the Secretary funds the application prior to the re-ranking of applications based on the second peer review of applications described in paragraph (c)(9) of this section.

(8) If the Secretary determines that the Department, the Department's agent or the peer reviewer made an administrative error that relates to the peer reviewers' score(s), as described in paragraph (b)(2)(ii) of this section, the Secretary adjusts the applicant's peer reviewers' score(s) to correct the error. If the adjusted score assigned to the application would have resulted in funding of the application during the competition and

the program has funds available, the Secretary funds the application prior to the re-ranking of applications based on the second peer review of applications described in paragraph (c)(9) of this section.

(9) If the Secretary determines that a peer reviewer made a scoring error, as described in paragraph (b)(3) of this section, the Secretary convenes a second panel of peer reviewers in accordance with the requirements in section 402A(c)(8)(C)(iv)(III) of the HEA.

(10) The average of the peer reviewers' scores from the second peer review are used in the second ranking of applications. The average score obtained from the second peer review panel is the final peer reviewer score for the application and will be used even if the second review results in a lower score for the application than that obtained in the initial review.

(11) For applications in the funding band, the Secretary funds these applications in rank order based on adjusted scores and the available funds that have been set aside for the second review of applications.

(d) *Process for establishing a funding band.* (1) For each competition, the Secretary establishes a funding band for the second review of applications.

(2) The Secretary establishes the funding band for each competition based on the amount of funds the Secretary has set aside for the second review of applications.

(3) The funding band is composed of those applications—

(i) With a rank-order score before the second review that is below the lowest score of applications funded after the first review; and

(ii) That would be funded if the Secretary had 150 percent of the funds that were set aside for the second review of applications for the competition.

(e) *Final decision.* (1) The Secretary's determination of whether the applicant has met the requirements for a second review and the Secretary's decision on re-scoring of an application are final and not subject to further appeal or challenge.

(2) An application that scored below the established funding band for the competition is not eligible for a second review.

(Approved by the Office of Management and Budget under control number 1840–NEW6)

(Authority: 20 U.S.C. 1070a–11)

[75 FR 65796, Oct. 26, 2010]

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

§ 647.30   What are allowable costs?

Allowable project costs, not specifically covered by 34 CFR part 74, may include the following costs reasonably related to carrying out a McNair project:

(a) Activities of an academic or scholarly nature, such as trips to institutions of higher education offering doctoral programs, and special lectures, symposia, and professional conferences, which have as their purpose the encouragement and preparation of project participants for doctoral studies.

(b) Stipends of up to $2,800 per year for students engaged in research internships, provided that the student has completed the sophomore year of study at an eligible institution before the internship begins.

(c) Necessary tuition, room and board, and transportation for students engaged in research internships during the summer.

(d) Purchase, lease, or rental of computer hardware, software, and other equipment, service agreements for such equipment, and supplies for participant development, project administration, or project recordkeeping.

[59 FR 43989, Aug. 25, 1994, as amended at 75 FR 65797, Oct. 26, 2010]

§ 647.31   What are unallowable costs?

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

(a) Payment of tuition, stipends, test preparation and fees or any other form of student financial support to staff or participants not expressly allowed under §647.30.

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

(Authority: 20 U.S.C. 1070a–5)

§ 647.32   What other requirements must a grantee meet?

 (a) *Number of Participants.* For each year of the project period, a grantee must serve at least the number of participants that the Secretary identifies in the Federal Register notice inviting applications for a competition. Through this notice, the Secretary also provides the minimum and maximum grant award amounts for the competition.

(b) *Eligibility of participants.* (1) A grantee shall determine the eligibility of each student before the student is selected to participate. A grantee does not have to redetermine a student's eligibility once the student has been determined eligible in accordance with the provisions of §647.3; and

(2) A grantee shall determine the status of a low-income individual on the basis of the documentation described in section 402A(e) of the HEA.

(c) *Recordkeeping.* For each student, a grantee shall maintain a record of—

(1) The basis for the grantee's determination that the student is eligible to participate in the project under §647.3;

(2) The individual needs assessment;

(3) The services provided to the participant; and

(4) The specific educational progress made by the student during and after participation in the project.

(5) To the extent practicable, any services the participant receives during the project year from another Federal TRIO program or another federally funded program that serves populations similar to those served under the McNair program.

(d) *Other reporting requirements.* A grantee shall submit to the Secretary reports and other information as requested in order to demonstrate program effectiveness.

(e) *Project director.* A grantee shall designate a project director who has—

(1) Authority to conduct the project effectively; and

(2) Appropriate professional qualifications, experience and administrative skills to effectively fulfill the objectives of the project.

(Approved by the Office of Management and Budget under control number 1840–NEW11)

(Authority: 20 U.S.C. 1070a–15)

[59 FR 43989, Aug. 25, 1994, as amended at 75 FR 65797, Oct. 26, 2010]

Federal TRIO Programs
Current-Year Low-Income Levels
(Effective January 20, 2011 Until Further Notice)

Size of Family Unit	48 Contiguous States, D.C., and Outlying Jurisdictions	Alaska	Hawaii

1	$16,335	$20,400	$18,810
2	$22,065	$27,570	$25,395
3	$27,795	$34,740	$31,980
4	$33,525	$41,910	$38,565
5	$39,255	$49,080	$45,150
6	$44,985	$56,250	$51,735
7	$50,715	$63,420	$58,320
8	$56,445	$70,590	$64,905

For family units with more than eight members, add the following amount for each additional family member: $5,730 for the 48 contiguous states, the District of Columbia and outlying jurisdictions; $7,170 for Alaska; and $6,585 for Hawaii.

The term "low-income individual" means an individual whose family's taxable income for the preceding year did not exceed 150 percent of the poverty level amount.

The figures shown under family income represent amounts equal to 150 percent of the family income levels established by the Census Bureau for determining poverty status. The poverty guidelines were published by the U.S. Department of Health and Human Services in the Federal Register, Vol. 76, No. 13, January 20, 2011, pp. 3637-3638.

INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS EXECUTIVE ORDER 12372

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.***

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

1. **Estimated Funding**

   - Estimated Available Funds for FY 2012: $42,000,000 for new awards and $5,468,000 for Continuation Awards
   - Estimated Range of Awards: $ 220,000 - $368,000 per year
   - Estimated Average Size of Awards: $234,000
   - Estimated Number of New Awards: 200
   - Project Period for New Awards: 60 months

   The Department is not bound by these estimates.

2. **Intergovernmental Review of Federal Programs**

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

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

3. **Length of New Award**

   Applicants for new awards may apply for five years (60 months) of funding.

4. **McNair Program Assurances**

   All applications must comply with the McNair Program statutory and regulatory requirements. The assurances are included in the application package and must be signed by a certifying official and uploaded into the **Other Attachments Form** in Grants.gov. By submitting a McNair Program application, an applicant certifies that it has read the assurances and will fully comply with the requirements.

5. **McNair Program Profile**

All applicants must provide the information requested on this form. The McNair Program Profile form contains standardized objectives. Applicants are required to propose the percentage at which each of the standardized objectives will be attained. On the McNair Profile form, you must fill in the blanks indicating the percentage level of achievement for each of the objectives. **You may not modify, amend or delete any of these objectives.**

Applicants must copy and paste the McNair Program Profile form into a separate document, or otherwise recreate the page exactly as it appears. Complete the form, save it to your computer and attach it to the *Other Attachments Form* as a .pdf document only. Do not modify or amend the language on the form in any way.

6. **Evaluation of Applications for Awards**

A panel of three non-federal readers will review each application in accordance with the competitive preference priorities and selection criteria. Each reviewer will prepare a written evaluation of the information presented in the project narrative section of the application. Each reviewer will prepare a written evaluation of the information presented and assign points for the competitive preference priorities addressed in a separate section of the application submission.

All applications for grants under the McNair Program will be evaluated as new submissions according to the selection criteria listed in the program regulations (34 CFR 647).

7. **Selection Criteria**

The selection criteria in 34 CFR, Part 647, as amended by the final regulations published on October 26, 2010, are used to evaluate applications.

8. **Applicant Funding**

Applicants should pay close attention to the "Maximum Award" section of the Notice. The Department will reject any application that proposes a budget exceeding the maximum amount specified for the specific project type as indicated in the Notice.

9. Prior Experience

In accordance with 34 CFR 647.22, the Secretary will award prior experience (PE) points to applicants that have conducted a TRIO McNair Program project during these fiscal years: 2008-09, 2009-10 and 2010-11. Based on the applicant's documented experience set forth in the annual performance reports, up to 15 prior experience points will be added to the application's averaged reader score to determine the total score for each application and the total score will be used in funding decisions as described in the Notice.

10. Selection of Grantees

The Secretary will select applications for funding in rank order, based on the applications' total score for the selection criteria and competitive preference priorities plus, if applicable, any points earned for prior experience, pursuant to 34 CFR sections 647.22 through 647.23. If there are insufficient funds for all applications with the same total scores, the Secretary will choose among the tied applications so as to serve geographical areas that have been underserved by the McNair Program.

The Department's Office of Legislation and Congressional Affairs will inform the Congress regarding applications approved for new McNair Program grants. Successful applicants will receive award notices by mail shortly after the Congress is notified. No funding information will be released before the Congress is notified.

11. Expectations of Successful Grantees

Currently funded projects with remaining out years on an expiring grant are required to start implementing their new objectives upon receipt of the grant.

12. Notice to Unsuccessful Applicants

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

13. Second Review Process

To implement the statutory requirements for a second review

of unsuccessful applications, the Department has adopted a two-slate process. After the peer review of applications and the awarding of PE points, as applicable, the Department will rank all the applications. The Department then will establish a funding band to determine the percentage of the total funds allotted for the competition that will be set aside for the second review. The determination of the percentage of funds to be reserved for the second review and the applications to be included in the funding band will be based on the distribution of application scores. The funding band will include all of the applications with a rank-order score that is 1) below the lowest score of applications funded after the first review and 2) that would be funded if the Secretary had 150 percent of the funds that were set aside for the second review.

Only applicants whose applications scored within the funding band will be eligible for the second review. In addition, those applicants deemed eligible for the second review will have to provide evidence demonstrating that the Department, an agent of the Department, or a peer reviewer made an administrative or scoring error (as defined in the regulations) in the review of its application.
The guidelines and criteria for the second review process are included in the McNair Regulations (647.24).

14. Annual Performance Report Requirements

If you receive a FY 2012 new grant award, you will be required to submit annual performance reports during the five-year funding cycle using the Education Department's on-line function. This on-line system collects data about funded projects to enable program specialists to determine if a grantee is making substantial progress toward meeting approved project objectives.

15. Contact Information.

For McNair Program-related questions and assistance, please contact:

Director, Undergraduate and Graduate Programs Division:
Eileen Bland

```
Address:                        Student Service
                                U.S. Department of Education
                                1990 K Street, N.W., Suite 7000
                                Washington, D.C. 20006-8510
Telephone:                      (202) 502-7730
Fax:                            (202) 502-7857
E-mail Address:                 eileen.bland@ed.gov
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For Grants.gov-related questions and assistance, please **contact**:

```
Support Desk:                   Grants.gov Support Desk
Telephone:                      800) 518-4726
Hours:                          24 hours, 7 days a week, except
                                Federal  holidays
Email:                          support@grants.gov
```

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

1. Applicants currently funded under the Ronald E. McNair Postbaccalaureate Achievement
    Program
    (FY 2007-2012) must provide their current grant award number. This can be found in Block
    2 of the
    Grant Award Notification.

New applicants should leave this item blank.

PR/Award Number (Current Grantees Only): P217A (07) (08) (09) (10)____ ____ ____

Application designated to receive prior experience: Yes___   No ___

2. Institution (Legal Name)

_____

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

 Project Address: _____

_____
Street Address, City, State, Zip Code

Application addresses the Competitive Preference Priorities (check all that apply):

___**Competitive Preference Priority 1:**

**Promoting Science, Technology, Engineering, and Mathematics
(STEM) Education.** (Up to 6 additional points.) Projects that are
designed to address providing activities that demonstrate new
ideas and methodologies to increase the number and proportion of
students prepared for graduate study in STEM; and to develop a
plan to increase the number of individuals traditionally
underrepresented in STEM.

___**Competitive Preference Priority 2:**

Improving Productivity. (Up to 4 additional points**.) ** Projects that are designed to significantly increase efficiency in the use of time, staff, money, or other resources while improving student learning or other educational outcomes (i.e., outcome per unit of resource). Such projects may include innovative and sustainable uses of technology, modification of the summer research experience, methods of supplementing grant funds with other funds, employing graduate mentors versus faculty mentors during the first year of research, or other strategies.

___**Competitive Preference Priority 3:**

Building Evidence of Effectiveness. (Up to 4 additional points.) Projects that propose evaluation plans that are likely to produce valid and reliable evidence in the area of identifying and improving practices, strategies, and policies that may contribute to improving outcomes. Under this priority, at a minimum, the outcome of interest is to be measured multiple times before and after the treatment for project participants and, where feasible, for a comparison group of non-participants.

Note: Please be advised, as provided in the Notice, the maximum competitive preference points an application can receive under this competition is 14.

4. Provide the total number of proposed participants to be served each year: _____
(Note: Projects are expected to serve the same number of participants each year. Two-thirds of the participants served must be low-income, potential first-generation college student.)

5. *Program Objectives:*
Please fill in the proposed percent for each objective.
Note: These are the same objectives that MUST be stated in Part III -- Program Narrative section of your application when addressing the Objectives and the Evaluation criteria.

Research or Scholarly Activities

____% of McNair Program participants served during the project year will have completed appropriate research and scholarly activities during the McNair Program academic year.

Graduate School Enrollment

____% of McNair Program bachelor's degree recipients (or equivalent) will be accepted and enrolled in a postbaccalaureate program of study by the fall term of the academic year immediately following the completion of bachelor's degree (or equivalent).

Continued Enrollment in Graduate Study

____% of first year graduate students will continue to be enrolled in graduate school at the beginning of the fall term of the next academic year.

Doctoral Degree Attainment

____% of McNair Program participants served who will attain a doctoral degree within ten (10) years of the attainment of the bachelor's degree.

Please note the following definitions:

McNair Program academic year: is the period that most closely aligns with the first 12-month budget period for which this new award will be made. The 2012-13 McNair Program academic year is roughly August/September 2012 through August 2013.

Research or Scholarly Activities: an educational activity that is more rigorous than is typically available to undergraduates in a classroom setting, that is definitive in its start and end dates, contains appropriate benchmarks for completion of various components, and is conducted under the guidance of an appropriate faculty member with experience in the relevant discipline.

Graduate Education: studies beyond the bachelor's degree leading to a postbaccalaureate degree.

Part IV – Ronald E. McNair Postbaccalaureate Achievement Program Assurances

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

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

1.   The applicant assures that at least two-thirds (2/3) of the individuals it serves under its proposed Ronald E. McNair Postbaccalaureate Achievement Program project will be low-income individuals who are first-generation college students;

2.   The applicant assures that the remaining students to be served will be members of groups underrepresented in graduate education;

3.   The applicant assures that each participant given a summer research internship will have completed his or her sophomore year of study; and

4.   The applicant assures that each participant enrolled in the project will be enrolled in a degree program at an institution of higher education that participates in one or more of the student financial assistance programs authorized under Title IV of the HEA.

5.   The applicant assures that a student will not be served by more than one McNair project at any one time and that the McNair project will collaborate with other McNair and SSS projects and other State and institutional programs at the grantee-institution, including those supporting undergraduate research, so that more students can be served.

_____   _____
  Authorized Certifying Official's Signature   Printed Name of Authorized Certifying Official

_____   _____
  Title of Authorized Certifying Official   Name of Applicant Institution/Organization

_____
       Date Signed

Attach this Assurance Form to the "Other Attachments Form" in the Grants.gov application package

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

Prior Experience Objectives and Calculations for McNair Projects
Operating in Project Years 2008-09, 2009-10 and 2010-11

For the FY 2012 competition for grants from the McNair Program, the Department calculates prior experience points from data submitted in annual performance reports (APRs) for 2008-09, 2009-10, and 2010-11. Achievement rates for each PE criterion will be based on the project's approved objectives and the information the grantee provided in the APR for each project year under consideration.

An entity submitting an application to continue to serve substantially the same campus or the same designated population as the currently funded project is eligible to receive PE points based on the PE criteria in 34 CFR 647.22 of the program regulations in effect during the FY 2007 grant competition.

In cases in which an applicant proposes to split a grant funded in FY 2007 into multiple proposals in the FY 2012 competition, the applicant will be eligible to receive PE points for only one proposed new project. The project for which the applicant is eligible for PE consideration is the one that proposes to serve the same campus or the same designated population as the currently funded project. An applicant is responsible for indicating on the McNair Program Profile form, in Item #1, if the application is eligible for PE points.

If an applicant proposes to split a currently-funded grant evenly by campus or population into multiple proposals for the FY 2012 competition, the applicant must decide which one new proposal should be considered for PE points by following the instructions above for marking Item #1 on the Program Profile form.

McNair Prior Experience Criteria (34 CFR 647.22) and point allocations are shown below.

A McNair project who was:
- **continuously funded from 1998-99 through 2010-11 may earn up to a total of 15 points for each year assessed.**
- **first funded in 1999-00 and continuously funded through 2010-11 may earn up to a total of 14 points for each year assessed.**
- **first funded in 2003-04 and continuously funded through 2010-11 may earn up to a total of 12 points for each year assessed.**
- **first funded in 2007-08 and continuously funded through 2010-11 may earn up to a total of 11.33 points for each year assessed.**
- **first funded in 2009-10 may earn up to a total of 10 points for each year assessed.**

The final PE score is the average of the total scores for the three years assessed. Points will be awarded for meeting or exceeding each objective; no partial points will be awarded. A project that fails to serve at least 90 percent of its funded number for a project year will not receive any PE points for that year.

1. Funded Number   (maximum of 3 points)
2. Research and scholarly activities   (maximum of 4 points)
3. Baccalaureate degree completion   (maximum of 2 points)
4. Enrollment in postbaccalaureate studies   (maximum of 3 points)
5. Doctoral Degree Attainment   (maximum of 3 points)

1. **Funded Number (maximum of 3 points)** – Whether the applicant consistently served the number and types of participants the project was funded to serve.

    a. Whether the applicant served the number of participants agreed to under the approved application.

    Calculation:

    - The number of participants the project was funded to serve in the project year is compared to the number of participants the project actually served in that year.

    b. Two-Thirds Requirement – Whether two-thirds of all participants served were both low-income individuals and first-generation college students.

    Calculation:

    - The denominator is the number of participants the project actually served during the project year.

    - The numerator is the number of participants served during the project year who were both low-income and first-generation college students.

PLEASE NOTE: To receive three points for this criterion, the project must meet both components—funded to serve number and two thirds requirement.

2. **Research and Scholarly Activities (maximum of 4 points) –** Whether the applicant was successful in providing participants with research and scholarly activities and whether those activities had an impact on project participants.

    Calculation:

    - The denominator is the number of participants who completed all of the components of the research and/or internships as well as those that participated in research and/or internships but did not complete these activities.

    - The numerator is the number of participants who participated and completed all of the components of the research and/or internships.

3. **Baccalaureate Degree Completion (maximum of 2 points)** – The extent to which the applicant met or exceeded its funded objectives for the number of participants who attained a baccalaureate degree.

    Calculation :

- The denominator is the number of new participants served each year.

- The numerator is the number of new participants served each year who attained a baccalaureate degree within three years.

4. **Enrolled in a Postbaccalaureate Program (maximum of 3 points) –** The extent to which the applicant met or exceeded its funded objectives for the number of participants who enrolled in a postbaccalaureate program by the fall term of the academic year immediately following completion of the baccalaureate degree.

- The denominator is the number of participants who received a bachelor's degree or equivalent in the reporting period.

- The numerator is the number of participants in the denominator who enrolled in a postbaccalaureate degree program at the beginning of the next academic year.

5. **Doctoral Degree Attainment (maximum of 3 points) –** The extent to which the applicant met or exceeded its funded objective for the number of participants who will attain a doctoral degree within ten years of the attainment of the bachelor's degree.

    Calculation:

- The denominator is the number of participants in the cohort who received their bachelor's degree in the year the cohort was established.

- The numerator is the number of participants in the denominator who received a doctoral degree within ten years.

The due dates for submitting performance reports for these years have now passed. The Department will not accept changes or modifications to APR data on file with the Federal TRIO Programs.

Prior Experience for Successful Applicants Under the FY 2012 Competition

The prior experience assessment for applicants successful under the FY 2012 competition will be based on the outcome criteria outlined in 402E(f)(3)(A) of the HEA, as amended by section 403(A)(5) of the HEOA. The revised outcome criteria that will be used for successful applicants awarded a grant during the 2012 McNair competition are captured in the standardized objectives included on the McNair Program Profile form in this application package.

INSTRUCTIONS FOR COMPLETING THE APPLICATION PACKAGE

The application 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:

Part I: SF 424 Form

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

*Notes:

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

Part II: ED Form 524

Department of Education Budget Summary Form - (ED Form 524)
Sections A & B
(**NOTE**:   Section C – Budget Narrative must be included as part of the Program Narrative Attachment Form, located in Part III.)

Part III: Attachments

ED Abstract Form
Project Narrative Attachment Form – includes a Table of Contents
Other Attachments Form – includes the Program Assurances page and the McNair Program Profile form

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

The <u>Project Narrative Attachment Form</u> is where you attach the responses addressing the program selection criteria that will be used to evaluate applications submitted for this competition. **The total page limit for the project narrative portion of the application for the FY 2012 McNair competition is 50 pages. However, those addressing the competitive preference priorities may include up to four additional pages for each priority addressed (a total of 12 pages if all three priorities are addressed), in a separate section of the application submission to discuss how the application meets the competitive preference priorities. Please see the Notice for detailed information on page limits and formatting requirements**. You should include a Table of Contents for your application as the first page of this section. The *Table of Contents* will not count against the 50 pages you are allowed for your responses to the selection criteria. **You must also include your budget narrative in this section as part of the selection criteria, which is counted as part of the 50-page limit.** The budget should demonstrate and justify that all costs are reasonable and necessary to accomplish the proposed project activities.

The <u>Other Attachments Form</u> is where you attach the McNair Program Profile form, any narrative addressing the competitive preference priorities and the McNair Program Assurances page. **No other appendices or attachments should be included as they will be counted as part of the 50-page limit.**

*All attachments must be in .PDF format only. Other types of files will not be accepted.

<u>Part IV</u>: Assurances, Certifications, and Survey Forms

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

INSTRUCTIONS FOR PROJECT NARRATIVE

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

> **The *Program Narrative* is to be attached to the <u>Project Narrative Attachment</u> in the Grants.gov application.**
>
> Before preparing the *Part III -- Project Narrative*, applicants should review the "Dear Applicant" letter, Competition Highlights, Notice, program statute, and program regulations for specific guidance and requirements. Note that applications will be evaluated according to the specific selection criteria specified in the regulations which are included in this package.
>
> The Secretary evaluates an application on the basis of the broad selection criteria in 34 CFR 647.21 of the McNair Program regulations as identified in this application (see the Authorizing Legislation and Regulations). The *Project Narrative* should provide, in detail, the information that addresses the selection criteria. The maximum possible score for each category of the selection criteria is indicated in parenthesis.
>
> You must limit the *Project Narrative* to 50 pages, <u>double-spaced in 12-point font</u>, and number the pages consecutively. The narrative should be written concisely. Only the required information should be submitted. If appendices or other supplemental materials are included, they will count as part of the 50-page limit. Please refer to the Notice (see Content and Form of Application Submission) for additional application submission requirements.
>
> To facilitate the review of the application, provide responses to each of the following selection criteria in the following order:

1. <u>Need</u> (34 CFR 647.21(a))   (16 points)
2. <u>Objectives</u> (34 CFR 647.21(b))   (9 points)
3. <u>Plan of Operation</u> (34 CFR 647.21(c))   (44 points)
4. <u>Quality of Key Personnel</u> (34 CFR 647.21(d))   (9 points)

5. <u>Adequacy of Resources and Budget</u>

```
     (34 CFR 647.21(e))                          (15 points)
6.   Evaluation Plan  (34 CFR 647.21(f))         ( 7 points)

                                                 _____
Total Maximum Score for Selection Criteria        100 points


Competitive Preference Priorities                (14 points)
Total Maximum Score for Selection Criteria and
Competitive Priorities                           114 points
```

Formatting

Double space all text in the program narrative, except
titles, headings, footnotes, quotations, references,
captions, and all text in charts, tables, figures and
graphs. Applicants may use one of the following fonts:
Times New Roman, Courier, Courier New or *Arial*, only.
Applications submitted in any other font (including *Times
Roman* and *Arial Narrow*) will not be accepted. Applicants
must use a size 12 font, only.

The Program Narrative will include the discussion of the
selection criteria. The total page limit for the project
narrative portion of the application for the FY 2012 McNair
competition is 50 pages. However, those addressing the
competitive preference priorities may include up to four
additional pages for each priority addressed (a total of 12
pages if all three priorities are addressed), in a separate
section of the application submission to discuss how the
application meets the competitive preference priorities.

The page limit does not apply to:

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

The Notice contains specific instructions on page limits.

In the Program Narrative, the applicant should address the selection criteria in the order delineated earlier because this is the order in which the Technical Review Form is organized. The Technical Review Form is used by the peer reviewers to evaluate applications.

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

Need: In responding to this criterion, you must provide data to define the target population: the academic, financial and other problems encountered by eligible project participants to prevent their completing baccalaureate programs and continuing to postbaccalaureate programs. Also, you must provide data to demonstrate that the proposed target population is underrepresented in graduate education.

Objectives: All applicants must include the four objectives listed on the Part III-A McNair Program Profile form. On the Profile form, you must fill-in the blanks indicating the percentage level of achievement for each of these four objectives. **These objectives cannot be rewritten, restated or reworded.**

In the Program Narrative, you must address each of these four objectives, and explain how these objectives are ambitious and attainable. For each of the objectives, applicants should use data to show why the proposed percentage is ambitious as documented in the baseline data and information provided in the "NEED" section of the Program Narrative and attainable based on information provided in the Plan of Operation and the resources available to the project. Applicants may propose additional objectives, but are not required to do so. Applicants will not receive additional points or penalties for proposing additional objectives.

Plan of Operation: This criterion contains nine sub-criteria, and applicants must address all nine sub-criteria. This part of the application should provide information on who, what, when and how the project will provide services to meet its goals and objectives. Applicants must also provide information on how it will ensure that sufficient resources are available to effectively and efficiently serve the proposed number of students. If the applicant proposes to serve students from other institutions of higher education exclusively, or along with students from its campus, the application must include information that specifically addresses how the project will

coordinate pre and post-service activities for the students at the other participating institutions both during the academic year and during the summer research component of the project activity. In addition, the applicant must include details of the follow-up activities that will be undertaken, including tracking mechanisms that will be employed, which are integral to the long-range success of the project activities. Applicants must also provide information on how they will ensure that sufficient resources are available to effectively and efficiently serve the students selected from other institutions of higher education.

Further, the applicant must also provide information on: how faculty members will be involved in the planning of research activities for the students; its plan for providing sound research experiences and other educational activities; individual or group services specifically designed to enhance the students' entry into postbaccalaureate education; its plan to inform the institutional community of the goals and objectives of the project; its plan to ensure proper and efficient administration of the project in all manners including management of financial records, student record, personnel, organizational matters, and the coordination of the McNair project with other programs for disadvantaged students on the applicant's campus, both federal and non-federal. Finally, the applicant must present its follow-up plan to track the participants after their tenure with the McNair project proposed is completed.

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

Adequacy of the Resources and Budget: Applicants must address all three sub-criteria. In addressing this criterion, the

applicant must provide information on its financial plan for carrying out the project, including the applicant's proposed commitment of institutional resources to the McNair participants.

Although the standard budget form (SF 524) requests five years of budget information, applicants should submit (1) a budget summary form to categorize requested funds (ED 524), AND (2) a detailed itemized budget, as part of the Part III Program Narrative, for the first 12-month budget period **only**, AND (3) a budget narrative, as part of the Part III Program Narrative, to explain or justify costs. Provide the first-year (12-month budget period) summary on the Part II - Budget Information Non-Construction Programs form (ED 524).

Both the detailed, itemized budget and budget narrative for the first 12-month budget period only, are to be included as part of the Part III - Program Narrative.

For this competition, applicants may receive funding for up to five years. The Department is requesting that you complete the Budget Summary form (ED 524) for the 2012-2013 year and provide both an itemized budget and a detailed budget narrative only for the first 12-month budget period. It is not necessary to provide a budget summary for the total grant period requested, up to five years. The funding level for the first year is stipulated in the "Maximum Award" section of the Notice: Currently-funded projects will receive a maximum award amount equal to the applicant's grant award amount for FY 2007, the first year of the previous cycle, to continue to serve at least the same number of participants that was approved for the current project. "New" projects will receive a maximum of $220,000 for the first year to serve a minimum of 25 participants. The Department will determine the funding levels for each additional year of the grant award. The budget period dates should begin on October 1 and end on September 30. All currently funded applicants' budget period dates should remain the same as the current grant budget period dates.

The McNair Program selection criteria provide for an applicant to receive up to 15 points for its proposed resources and budget. The budget must include all costs that are allowable, reasonable, and necessary for carrying out the objectives of the McNair Program. Among the costs that may be supported with grant funds are:

<u>Evaluation Plan</u>: The applicant must address all three sub-criteria. A strong evaluation plan should be included and should be used, as appropriate, to shape the development of the project from the beginning of the grant period. The evaluation plan should include benchmarks to monitor progress toward meeting specific project objectives and should include program measures to assess the impact on teaching and learning or other important outcomes for project participants. The plan should describe the evaluation design, indicating: (1) what types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports and outcomes will be available; and (7) how the applicant will use the information collected through evaluation to monitor progress of the funded project and to provide accountability information. Applicants are encouraged to devote an appropriate level of resources to project evaluation. The use of an outside evaluator is not required.

Competitive Preference Priorities

These priorities are in accordance with the Secretary's Supplemental Priorities for Discretionary Grant Programs, as published in the <u>Federal Register</u> on December 15, 2010, and corrected on May 12, 2011. An applicant can receive up to fourteen additional points, depending on the extent to which the application meets these priorities.

Note: Applicants must limit their discussion on the competitive preference priorities to only 4 additional pages for each priority above the 50 page narrative limitation.

The President has set a clear goal for our education system: by 2020, the United States will once again lead the world in college attainment. The Department views the McNair Program as a critical component in the effort to improve the quality of student outcomes so that more students are well prepared for college and careers. To more strategically align McNair with overarching reform strategies for postsecondary completion and graduate school enrollment, the Department is announcing three competitive preference priorities for this competition. These three priorities are from the Department's notice of final supplemental priorities and definitions for discretionary grant programs, published in the <u>Federal Register</u> on December 15, 2010 (75 FR 78486), and corrected on May 12, 2011 (76 FR 27637).

Competitive Preference Priority 1 –- Promoting Science, Technology, Engineering, and Mathematics (STEM) Education (Up to 6 additional points). Projects that are designed to address providing activities that demonstrate new ideas and methodologies to increase the number and proportion of students prepared for graduate study in STEM; and to develop a plan to increase the number of individuals traditionally underrepresented in STEM.

The inclusion of Competitive Preference Priority 1 will encourage applicants to focus on participants who are pursuing graduate study and careers in STEM and is likely to benefit populations who are underrepresented in graduate STEM education.

Overwhelming evidence shows that of all academic programs offered at McNair grantee institutions, thirty-five percent (35%) are in the STEM field. In comparison, only thirty-two percent (32%) of all academic programs offered at U.S. 4-year institutions are in the STEM fields. Additionally, ninety-nine percent (99%) of McNair grantee institutions offer at least one academic program in the STEM field. The Department believes that McNair projects are positioned to promote and increase the number of students in the STEM fields.

<u>**Note**</u>**: The McNair Program regulations define students underrepresented in graduate education as Black (non-Hispanic), Hispanic, American Indian, Alaskan Native, Native Hawaiians, and Native American Pacific Islanders.**

Competitive Preference Priority 2 -- Improving Productivity   (Up to 4 additional points). Projects that are designed to significantly increase efficiency in the use of time, staff, money, or other resources while improving student learning or other educational outcomes (i.e., outcome per unit of resource). Such projects may include innovative and sustainable uses of technology, modification of the summer research experience, methods of supplementing grant funds with other funds, employing

graduate mentors versus faculty mentors during the first year of research, or other strategies.

The Department is using Competitive Preference Priority 2 because it believes that it is more important than ever to support projects that are designed to significantly increase efficiency in the use of resources while improving student outcomes. A key performance measure for the McNair Program is the efficiency measure-cost per successful outcome, where a successful outcome is defined by the number of students enrolling and persisting in graduate education. Applicants proposing projects designed to decrease their cost per participant while improving student outcomes will be more likely to perform well on this efficiency measure.

Note: Although not required, the Secretary encourages applicants addressing this priority to explain how they will serve the same or an increased number of students at a lower cost per participant. The Department is interested in seeing strong plans that propose to serve an increasing number of students at a lower cost per participant.

Competitive Preference Priority 3 – Building Evidence of Effectiveness. (Up to 4 additional points). Projects that propose evaluation plans that are likely to produce valid and reliable evidence in the area of identifying and improving practices, strategies, and policies that may contribute to improving outcomes. Under this priority, at a minimum, the outcome of interest is to be measured multiple times before and after the treatment for project participants and, where feasible, for a comparison group of non-participants.

The McNair Program is an important investment aimed at increasing the number of low-income, first-generation students that complete undergraduate education and enter and complete graduate school. But this investment is insufficient to provide these services to all students who would benefit from the program. Accordingly, the Department is interested in projects that propose ways to increase the evidence base around strategies or activities that may help students from low-income and first-generation backgrounds complete undergraduate education and enter and complete graduate programs, particularly in the STEM fields.

Note: Applicants addressing this priority might want to consider how their plans for evaluation would be able to provide

more information about what practices, strategies, and policies may help more low-income, first-generation students complete undergraduate education in STEM fields and enter and complete graduate programs in the STEM fields.

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 36 (34 hours per response for first review and two hours per response for second review), 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, as authorized by Title IV, Part A, Section 402A, and E of the Higher Education Act of 1965, as amended by the HEOA; and governed by the program regulations in 34 CFR Part 647; and the Education Department General Administrative Regulations (EDGAR), Parts 74, 75 (except for §§ 75.215-75.221), 77, 79, 80, 82, 84, 85, 86, 97, 98, and 99. 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