

**OFFICE OF POSTSECONDARY EDUCATION  
Washington, DC 20006**

[www.ed.gov/about/offices/list/ope/trio/index.html](http://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**

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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 any one or more of these three priorities may earn up to twelve competitive preference priority points for all three priorities. 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 Federal Register 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 Federal Register.

You are reminded that the document published in the Federal Register (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 "unsubmit" 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. For 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 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)

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 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.

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) 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](http://www.Grants.gov) before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. 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](mailto: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](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](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.

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

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

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

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

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### Helpful Hints When Working with Grants.gov

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Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. **You must provide 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](http://www.grants.gov/applicants/applicant_help.jsp) for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov [http://www.grants.gov/help/submit\\_application\\_faqs.jsp](http://www.grants.gov/help/submit_application_faqs.jsp).

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### Dial-Up Internet Connections

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

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### MAC Users

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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](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 Department of 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](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 84.217A  
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.

4000-01-U

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

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

Deadline for Intergovernmental Review: [INSERT DATE 90 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

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, depending on how well the application meets these priorities. The maximum competitive preference points an application can receive under this competition is 12.

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 rigorous 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).

Priority:

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)

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

Competitive Preference Priority 2 -- Improving Productivity (Up to 4 additional points).

Background:

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 improving productivity 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.

Note: To help build evidence of effectiveness, applicants might want to consider tracking outcomes and results for a group of

students not served by the McNair program in order to establish a comparison group. This would enable McNair projects to better measure the success of students selected for participation in their projects.

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, 86, 97, 98 and 99. (b) The Education Department suspension and debarment regulations in 2 CFR part 3485. (c) The regulations for this program in 34 CFR part 647. (d) 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: \$30,588,259.

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: \$240,852.

### 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 and 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](mailto:TRIO@ed.gov).

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

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.

2. Content and Form of Application Submission:

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

Page Limit: 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, except 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. Submission Dates and Times:

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

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

Applications for grants under this program must be submitted electronically using the 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. Other Submission Requirements 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: [INSERT DATE 90 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

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](http://www.grants.gov/applicants/get_registered.jsp).

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

a. Electronic Submission of Applications.

Applications for grants under the McNair Program, CFDA number 84.217A, must be submitted electronically using the Governmentwide Grants.gov Apply site at [www.Grants.gov](http://www.Grants.gov). Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

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

You may access the electronic grant application for the McNair Program at [www.Grants.gov](http://www.Grants.gov). You must search for the downloadable application package for this program by the CFDA

number. Do not include the CFDA number's alpha suffix in your search (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.

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



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

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

and

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 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. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and three 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 84.217A)  
LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

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

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

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

(1) A private metered postmark.

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

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

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

c. Submission of Paper Applications by Hand Delivery.

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

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.217A)  
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.

2. 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 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 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](http://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: TRI0@ed.gov.

If you use a TDD or a TTY, 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 For Further Information Contact in section VII of this notice.

Electronic Access to This Document: The official version of this document is the document published in the Federal Register. Free



Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available via the Federal Digital System at: [www.gpo.gov/fdsys](http://www.gpo.gov/fdsys). At this site you can view this document, as well as other documents of this Department published in the Federal Register, 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 Federal Register by using the article search feature at: [www.federalregister.gov](http://www.federalregister.gov). Specifically, through the advanced search feature at this site, you can limit your search to documents published by the Department.

Dated:

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Eduardo M. Ochoa,  
Assistant Secretary for  
Postsecondary Education.

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## AUTHORIZING LEGISLATION

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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.

## McNAIR PROGRAM REGULATIONS

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***

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**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) *Objectives* (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)

<b>Size of Family Unit</b>	<b>48 Contiguous States, D.C., and Outlying Jurisdictions</b>	<b>Alaska</b>	<b>Hawaii</b>
<b>1</b>	\$16,335	\$20,400	\$18,810
<b>2</b>	\$22,065	\$27,570	\$25,395
<b>3</b>	\$27,795	\$34,740	\$31,980
<b>4</b>	\$33,525	\$41,910	\$38,565
<b>5</b>	\$39,255	\$49,080	\$45,150
<b>6</b>	\$44,985	\$56,250	\$51,735
<b>7</b>	\$50,715	\$63,420	\$58,320
<b>8</b>	\$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](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. (Washington, DC 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.**

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## SUPPLEMENTAL INFORMATION

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

### 1. Estimated Funding

- Estimated Available Funds for FY 2012: \$29,659,554 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: 127
- 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 reviewers will read 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 peer reviewers’ scores 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:**

Address: Eileen Bland  
Director, Undergraduate and Graduate Programs  
Student Service  
U.S. Department of Education  
1990 K Street, N.W., Room 7000  
Washington, D.C. 20006-8510

Telephone: (202) 502-7730  
Fax: (202) 502-7857  
Email : eileen.bland@ed.gov

**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

## McNair Program Profile

**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 \_\_\_

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

**Note: Please be advised, as provided in the Notice, the maximum competitive preference points an application can receive under this competition is 12.**

\_\_\_ **Competitive Preference Priority 1:**

**Promoting Science, Technology, Engineering, and Mathematics (STEM) Education.** (Up to 6 additional points). Projects that are designed to address the following priority area by 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 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.

2. Institution (Legal Name)

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

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

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Street Address, City, State, Zip Code

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 students. The remaining students will be from groups underrepresented in graduate education.)***

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 or 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 the 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 and 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.

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## Part IV – Ronald E. McNair Postbaccalaureate Achievement Program Assurances

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Attach this Assurance form to the “Other Attachments Form” in the Grants.gov system. Applicants must copy and paste this page into a separate document or recreate the page exactly as it appears. Then complete the page, save it to your computer and attach it to the “Other Attachments Form” as 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.

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Authorized Certifying Official’s Signature

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Printed Name of Authorized Certifying Official

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Title of Authorized Certifying Official

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Name of Applicant Institution/Organization

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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.

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## Part V -- Prior Experience

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### ***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.

**McNair Prior Experience Criteria (34 CFR 647.22) and point allocations are shown below. A McNair project may earn up to a total of 15 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.**

Please note the following conditions for PE calculations:

- If a project served less than 90% of the funded number to be served in a given assessment year, the project is not eligible to receive any PE points for that particular year.
- The Department's policy for awarding PE points for different types of doctoral degrees between 1999-00 and 2002-03 included granting credit for participants that received an Ed.D. degree. The option "Other Terminal Degree" in the Degree field included both "other doctoral degree" as well as "first professional degree". Since it is not clear how many students earned an Ed.D. under this option, the Department is allowing a one-time inclusion of "other terminal degree", option #4 for APR reporting years 1999-00 through 2002-03 in the doctoral degree attainment objective.

The calculation of PE points for the three (3) years under consideration is based on:

A project's approved number and types of participants to be served;

A project's approved objectives;

The student-level data a project submitted in its annual performance report (APR); and

The final PE score for most projects is the average of the scores for the three project years assessed. The Department has not cleaned or changed any of the student-level APR data projects submitted and will not accept any changes to the APR data submitted in prior years.

### **Program Objectives**

- Number and types of participants the project was funded to serve (3 points)
- Percent of McNair participants will complete research or scholarly activities that will directly impact their educational progression each McNair Program academic year. (4 points)
- Percent of new participants served in each McNair Program academic year will attain a baccalaureate degree within three (3) years. (2 points)
- Percent of bachelor's degree recipients will enroll in a postbaccalaureate program by the fall term of the academic year immediately following completion of that degree. (3 points)
- Percent of McNair Program participants will attain a doctoral degree within ten (10) years of the attainment of the bachelor's degree. (3 points)

### **Number and Types of Participants**

In order for a project to earn PE points for a given assessment year, *a project must have met or exceeded the number funded to be served, and at least two-thirds of project participants must have been low-income and first-generation college students.*

Note: If a project served less than 90%, the project is not eligible to receive any PE points in the year PE is being assessed.

### **Research or Scholarly Activities**

Objective: *The percent of McNair participants that will complete research or scholarly activities that will directly impact their educational progression each academic year.*

Calculation Rules:



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. Therefore, the denominator is the sum of:

Field #26 (Research) = options 1 and 3, and/or  
Field #27 (Internships) = options 1 and 3

The denominator represents all those students that participated in research and/or internship, regardless of whether they completed the activities or not. Thus, a student who has at least option #1 or option #3 in the Research or Internship fields would be included in the denominator. The numerator is the number of participants who participated and completed all of the components of the research and/or internships. Therefore, the numerator is the sum of:

Field #26 (Research) = option 3, or  
Field #27 (Internships) = option 3

The numerator represents all those students that completed at least research or an internship. Thus, a student who has option #3 in the Research and/or Internship fields would be counted in the numerator, but only once. Therefore, a project cannot double count a student who has completed both research and internship in the numerator.

### **Baccalaureate degree attainment**

Objective: *Percent of new participants served in each McNair Program academic year will attain a baccalaureate degree within three (3) years. (2 points)*

Calculation Rule:

The denominator is the number of new participants served each year. Therefore, the denominator is the sum of:

Field #16 (Participant Status) = option 1

The Numerator is the number of new participants served each year who attained a bachelor's degree within 3 years. Therefore, the numerator is the sum of:

Field #21 (Highest Degree Earned) = option 1

(Bachelor's degree first reported within the 3 year time-frame)

### **Postbaccalaureate enrollment**

Objective: *Percent of bachelor's degree recipients will enroll in a postbaccalaureate program by the fall term of the academic year immediately following completion of that degree.*

Calculation Rule:

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

Field #45 (Graduate School Enrollment Status) = options 1 and 2.

The numerator is the number of participants who enrolled in a postbaccalaureate degree program at the beginning of the next academic year. Therefore, the numerator is the sum of :

Field #45 (Graduate School Enrollment Status) = option 1.

### **Doctoral degree attainment**

Objective: *Percent of McNair Program participants will attain a doctoral degree within ten (10) years of the attainment of the bachelor's degree. (3 points)*

Calculation Rule:

The denominator is the number participants who received a bachelor's degree in the year the cohort was established. Therefore, the denominator is the sum of:

Field #16 (Degree) = option 1

The numerator is the number of bachelor's degree recipients who attained a doctoral degree within ten (10) years. Therefore, the numerator is the sum of:

Field #16 (Degree) = option 3 and 4—APR Years 1999-00 through 2002-03, and  
Field #21 (Highest Degree Earned) = option 3 and 4—APR Years 2003-04 through 2010-11.

The due dates for submitting performance reports for the PE years under consideration 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 FY 2012 McNair competition are captured in the standardized objectives included on the McNair Program Profile form in this application package and are as follows:

- (1) Number of participants (3 points)
- (2) Research or scholarly activities (3 points)
- (3) Graduate School Enrollment (3 points)
- (4) Continued enrollment in Graduate School (3 points)
- (5) Doctoral Degree Attainment (2 points)

## 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 Project Narrative Attachment Form 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 applicants 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 Other Attachments Form 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.**

**Part IV: 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 Project Narrative Attachment 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, double-spaced in 12-point font, and number the pages consecutively. The narrative should be written concisely. Only the required information should be submitted. If appendices or other supplemental materials are included, they will count as part of the 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><br>(34 CFR 647.21(e)) | (15 points) |
| 6. | <u>Evaluation Plan</u> (34 CFR 647.21(f))                     | ( 7 points) |

Total Maximum Score for Selection Criteria	100 points
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Competitive Preference Priorities	( <u>12 points</u> )
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Total Maximum Score for Selection Criteria and Competitive Priorities	112 points
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## 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 by 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. Applicants are not required to submit resumes or job descriptions in the application—this information can be described or summarized. The “plan to employ personnel who have succeeded in overcoming barriers similar to the target population to be served” must be specific. The inclusion of an equal employment opportunity statement and/or a non-discriminatory employment practices policy alone is not an adequate response to this criterion.

**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:

**Evaluation Plan:** 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 Federal Register on December 15, 2010. An applicant can receive up to a maximum of twelve (12) additional points, depending on the extent to which the application provides information on the priorities.

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

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## COMPETITIVE PREFERENCE PRIORITIES FOR FY 2012

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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 Federal Register 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 provide 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.

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.

**Note: 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 -- 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 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.

## INSTRUCTIONS FOR STANDARD FORMS

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

## INSTRUCTIONS FOR THE SF-424

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

Item	Entry:	Item	Entry:
1.	<p><b>Type of Submission:</b> (Required) Select one type of submission in accordance with agency instructions.</p> <ul style="list-style-type: none"> <li>• Pre-application</li> <li>• Application</li> <li>• Changed/Corrected Application – Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date.</li> </ul>	10.	<p><b>Name Of Federal Agency:</b> (Required) Enter the name of the federal agency from which assistance is being requested with this application.</p>
		11.	<p><b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.</p>
2.	<p><b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions.</p> <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the federal government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.</li> </ul> <p style="margin-left: 20px;">A. Increase Award                      D. Decrease Duration B. Decrease Award                      E. Other (specify) C. Increase Duration</p>	12.	<p><b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement.</p>
		13.	<p><b>Competition Identification Number/Title:</b> Enter the competition identification number and title of the competition under which assistance is requested, if applicable.</p>
		14.	<p><b>Areas Affected By Project:</b> This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.</p>
3.	<p><b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.</p>	15.	<p><b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.</p>
4.	<p><b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or the applicant's control number if applicable.</p>		
5a.	<p><b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the federal agency, if any.</p>	16.	<p><b>Congressional Districts Of:</b> 16a. (Required) Enter the applicant's congressional district. 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103</p>
5b.	<p><b>Federal Award Identifier:</b> For new applications, enter NA. For a continuation or revision to an existing award, enter the previously assigned federal award identifier</p>		

	number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.		for North Carolina's 103 district. If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the state, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the state, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		
	<b>a. Legal Name:</b> (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	<b>Estimated Funding:</b> (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.
	<b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .	19.	<b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> (Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.
	<b>d. Address:</b> Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).	20.	<b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.
	<b>e. Organizational Unit:</b> Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.	21.	<b>Authorized Representative:</b> To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)

	<p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.</p>		
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p>		
	<p>A. State Government  B. County Government  C. City or Township Government  D. Special District Government  E. Regional Organization  F. U.S. Territory or Possession  G. Independent School District  H. Public/State Controlled Institution of Higher Education  I. Indian/Native American Tribal Government (Federally Recognized)  J. Indian/Native American Tribal Government (Other than Federally Recognized)  K. Indian/Native American Tribally Designated Organization  L. Public/Indian Housing Authority</p>	<p>M. Nonprofit  N. Private Institution of Higher Education  O. Individual  P. For-Profit Organization (Other than Small Business)  Q. Small Business  R. Hispanic-serving Institution  S. Historically Black Colleges and Universities (HBCUs)  T. Tribally Controlled Colleges and Universities (TCCUs)  U. Alaska Native and Native Hawaiian Serving Institutions  V. Non-US Entity  W. Other (specify)</p>	

**[U.S Department of Education note:** As of spring, 2010, the FON discussed in Block 12 of the instructions can be found via the following URL: [http://www.grants.gov/applicants/find\\_grant\\_opportunities.jsp](http://www.grants.gov/applicants/find_grant_opportunities.jsp).]

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**INSTRUCTIONS FOR  
DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424**

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**1. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application. Items marked with an asterisk (\*) are mandatory.

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

This novice applicant information will be used by ED to: 1) determine the amount and type of technical assistance that a novice might need, if funded, and 2) determine novice applicant eligibility in discretionary grant competitions that give special consideration to novice applications. Certain ED discretionary grant programs give special consideration to novice applications, either by establishing a special competition for novice applicants or by giving competitive preference to novice applicants under the procedures in 34 CFR 75.105(c)(2). If special consideration is being given to novice applications under a particular discretionary grant competition, the application notice for the competition published in the Federal Register will specify this information

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

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

**3a. If Human Subjects Research.** Check “Yes” if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check “Yes” even if the research is exempt from the regulations for the protection of human subjects. (See I. B. “Exemptions” in attached page entitled “Definitions for U.S. Department of Education Supplemental Information for SF-424.”)

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

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

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

**3c.** If applicable, please attach your “Exempt Research” or “Nonexempt Research” narrative to your submission of the U.S Department of Education Supplemental Information for the SF-424 form as instructed in item II, “Instructions for



Exempt and Nonexempt Human Subjects Research Narratives” in the attached page entitled “Definitions for U.S. Department of Education Supplemental Information for the SF-424.”

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

**No covered human subjects research can be conducted until the study has ED clearance for protection of human subjects in research.**

**Paperwork Burden Statement.** *According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0619. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-0170. If you have comments or concerns regarding the status of your individual submission of this form write directly to: (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.*

**DEFINITIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION  
FOR SF 424  
(Attachment to Instructions for Supplemental Information for SF 424)**

**Definitions:**

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

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

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

**PROTECTION OF HUMAN SUBJECTS IN RESEARCH**

**I. Definitions and Exemptions**

**A. Definitions.**

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

**—Research**

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

**—Human Subject**

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." (1) *If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met.* (2) *If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an

individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

## **B. Exemptions.**

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

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

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed.***

***Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

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

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

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

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

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked "Yes" for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

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

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

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

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

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

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

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

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

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

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

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

*Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the U.S. Department of Education, Protection of Human Subjects Coordinator, Office of the Chief Financial Officer, LBJ Building, 400 Maryland Avenue, SW, Washington, D.C. 20202-4250, telephone: (202) 260-3353, and on the U.S.*

*Department of Education’s Protection of Human Subjects in Research Web Site:  
<http://www.ed.gov/about/offices/list/ocfo/humansub.html>*

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

# Instructions for ED 524

## General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. You may access the Education Department General Administrative Regulations, 34 CFR 74 – 86 and 97-99, on ED's website at:

<http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

**You must consult with your Business Office prior to submitting this form.**

### Section A - Budget Summary

#### U.S. Department of Education Funds

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

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

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

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

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

**Indirect Cost Information:** If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government.

If you checked "no," ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:

(a) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after ED issues a grant award notification; and

(b) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.

(2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED, another Federal agency (Other) or State agency issued the approved agreement. If you check "Other," specify the name of the Federal or other agency that issued the approved agreement.

(3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement

or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

Section B - Budget Summary  
Non-Federal Funds

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

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

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

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

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

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

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. For non-Federal funds or resources listed in Section B that are used to meet a cost-sharing or matching requirement or provided as a voluntary cost-sharing or matching commitment, you must include:
  - a. The specific costs or contributions by budget category;
  - b. The source of the costs or contributions; and
  - c. In the case of third-party in-kind contributions, a description of how the value was determined for the donated or contributed goods or services.

[Please review ED's general cost sharing and matching regulations, which include specific limitations, in 34 CFR 74.23, applicable to non-governmental entities, and 80.24, applicable to governments, and the applicable Office of Management and Budget (OMB) cost principles for your entity type regarding donations, capital assets, depreciation and use allowances. OMB cost principle circulars are available on OMB's website at: <http://www.whitehouse.gov/omb/circulars/index.html>]

3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect

Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

5. Provide other explanations or comments you deem necessary.

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1894-0008**. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

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

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

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

**The budget narrative, for the first 12-month budget period only**, is to be included in the *Program Narrative* (limited to 50 pages and attached to the Program Narrative Attachment Form) as part of the Budget selection criterion.

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

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

The Department is requesting that you complete the Budget Information – Non-Construction Programs (ED Form 524) for ONLY the 2012-2013 year. Please provide **a comprehensive and detailed budget narrative for the first 12-month budget period, only**. **Applicants should place an asterisk next to all budget items that relate to the costs associated with the announced Competitive Preference Priorities for FY 2012.**

It is not necessary to provide a budget summary for the total grant period requested. The funding level for the first year is stipulated based on the Maximum Award Section of the Notice, and the Department will determine the funding levels for the subsequent years of the grant award.

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

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



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

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

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

- Project Director's Travel – Per Year
    - A. One National Conference;  
One Regional Meeting;  
One State Meeting; **and**
    - B. Travel for participation in **one** professional staff development training opportunity under the TRIO Training Program.
  - Full-time Professional Staff Travel – Per Year
    - A. One National, Regional, **or** State Meeting; **and**
    - B. Travel for participation in **one** professional staff development training opportunity under the TRIO Training Program.
4. Equipment: On line 4 (ED Form 524), indicate the cost of equipment -- non-expendable personal property, which has a usefulness of greater than one year and an acquisition cost of \$5,000 or more per unit. [Consistent with an applicant's policy, a lower dollar amount may be used to define equipment.] In the budget, explain why the requested equipment is necessary to carry out project activities, and include a list of all equipment in the following format: item, quantity, cost per unit, and total cost.
  5. Supplies: On line 5 (ED Form 524), include the costs of all tangible personal property that was not included as "equipment" on line 4. In the budget, provide an itemized list of the supplies.
  6. Contractual: Not applicable. Leave blank.
  7. Construction: Not applicable. Leave blank.

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

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

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

All grants awarded under the McNair Program (84.217A) are designated as training grants. The Education Department General Administrative Regulations (EDGAR) limits reimbursement to grantees for indirect costs they incur under training grants to the grantee's actual indirect costs as determined by the grantee's negotiated indirect cost agreement or a maximum of 8 percent of a modified total direct cost base, **whichever is less**. (NOTE: This limitation does not apply to State agencies, or local governments, or federally recognized Indian tribal governments. [§75.562(c) (2)])

A **modified total direct cost base** is defined as total direct costs less, training stipends, tuition and related fees, and capital expenditures of \$5,000 or more per unit. Therefore, calculations of indirect costs may not include these costs.

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

Applicants should be aware that amounts representing the difference between the 8 percent rate and a greater indirect cost rate negotiated with a cognizant agency may **not**

be charged to direct cost categories, used to satisfy matching or cost-sharing requirements, or charged to another Federal award. [§75.563(c) (3)]

11. Training Stipends: On line 11 (ED 524) provide the total amount of student stipends. The McNair Program regulations, 34CFR 647.30(b), establish the maximum federal stipend amount of \$2,800 per year per student.
12. Total Costs: On line 12 (ED Form 524), provide the total amount that you are requesting – the sum of lines 9 and 10. Note: This amount should also be the same as that shown in 18g on the application face sheet (SF 424) and on the detailed budget narrative in Part III.

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

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

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

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

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

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

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

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. **1894-0008**. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

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

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

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

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0619. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: The Agency Contact listed in this grant application package.

## NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

### To Whom Does This Provision Apply?

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

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

### What Does This Provision Require?

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

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

### What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

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

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

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

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

#### **Estimated Burden Statement for GEPA Requirements**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1894-0008. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202-4537.



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## **GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)**

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### **What is GPRA?**

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

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

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

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

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

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

### **What are the performance indicators for the McNair Program?**

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

The specific performance measure for the McNair projects is the percentage of McNair participants who enroll in and persist in graduate school.

The success of the McNair Program is measured by the increase of McNair participants who complete research or other scholarly activities; attain baccalaureate degrees and enroll in graduate school in the subsequent academic year; and who attain doctoral degrees.

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

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

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

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## APPLICATION CHECKLIST

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

Part I - Application for Federal Assistance - (SF 424)

Part I - Department of Education Supplemental Information for SF 424

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

Part III - *Program Narrative* [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. – Attach the *Program Narrative* document to the Project Narrative Attachment Form in the Grants.gov application.

Part III - Other Attachments - *McNair Program Profile*

*McNair Program Assurances* – Attach each of these two documents to the Other Attachments Form in the Grants.gov application.

*Competitive Preference Priorities Narrative*

Part III - ED Abstract - one-page limit -- Attach this document to the ED Abstract Form in the Grants.gov application. This one-page abstract, which may be single-spaced, will not count against the 50 pages you are allowed for your response to the selection criteria.

Part IV - Assurances, Certifications, and Survey

GEPA Section 427 Requirement

Assurances – Non-Construction Programs (SF 424B)

Lobbying Form (Formerly ED Form 80-0013)

Disclosure of Lobbying Activities (SF LLL)

Survey on Ensuring Equal Opportunity for Applicants

**NOTE:** Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although this form accepts attachments, the Department of Education will only review materials/files attached to the Grants.gov Attachment Forms listed above.

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## Paperwork Burden Statement

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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 1894-0008 number. Public reporting burden for this collection of information is estimated to average 34 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit as authorized by Title IV, Part A, Section 402A, and C of the Higher Education Act of 1965, as amended by the HEOA; and governed by the program regulations in 34 CFR Part 645; 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, D.C. 20210-\_\_\_\_ or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1840-NEW 3. Note: Please do not return the completed McNair application to this address.