

**U.S. Department of Education  
OFFICE OF POSTSECONDARY EDUCATION  
Washington, DC 20202**

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

**FY 2017  
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:**

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UNITED STATES DEPARTMENT OF EDUCATION  
OFFICE OF POSTSECONDARY EDUCATION

Date:

Dear Applicant:

Thank you for your interest in applying for a grant under the Ronald E. McNair Postbaccalaureate Achievement (McNair) Program. We are pleased to provide the application package for the fiscal year (FY) 2017 grant competition. Included in this application package are information and instructions needed to submit a complete application package to the U.S. Department of Education (Department) through Grants.gov.

The goal of the McNair Program is to provide 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 FY 2017 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 also accessible on the Department's website at:

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

In the FY 2017 competition, there is one competitive preference priority: Promoting Science, Technology, Engineering, and Mathematics (STEM) Education **and the inclusion of a Logic Model**. The Secretary gives priority to projects that are designed to support overarching strategies for postsecondary completion, graduate school enrollment and greater participation in Science, Technology, Engineering, and

Mathematics (STEM) fields. Please note that applicants that meet this priority may earn five competitive preference points above the basic score of the application. **An additional five points may be awarded for the inclusion of a Logic Model.** The Secretary strongly encourages applicants to propose projects designed to increase the number of participants that have access to STEM programs at the postsecondary level and are prepared for graduate study in STEM.

Applications for FY 2017 grants under the McNair Program must be submitted electronically using the Grants.gov system. An applicant 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 Notice Inviting Applications for New Awards (Notice) which is published in the Federal Register. Grants.gov is accessible through its portal page at <http://www.Grants.gov>.

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 shape the development of the project from the beginning of the grant period and provide benchmarks for monitoring progress, and measurement of that progress, throughout the grant award period. We encourage you to pay close attention to the information provided in the Instructions for the Program Narrative section of this application regarding the development of your evaluation activities.

The document published in the Federal Register (Notice) is the official document. 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,

Linda Byrd-Johnson, Ph.D.  
Acting Deputy Assistant Secretary for  
Higher Education Programs

## COMPETITION HIGHLIGHTS

1. **Ronald E. McNair Postbaccalaureate Achievement (McNair) Program applications for FY 2017 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 requirement are included in the Notice Inviting Applications for New Awards (Notice) for FY 2017. If you think you may need an exception, you are urged to review the requirements promptly.
2. It is important to know that the Grants.gov site works differently than the Department's e-Application system, used in past competitions. Grants.gov does not allow applicants to "un-submit" applications. Therefore, if you discover that changes or additions are needed once your application has been accepted and validated by the Department, you must "re-submit" the application. You should know that if the Department receives duplicate applications, we will accept and process the application with the latest "date/time received" validation.
3. Please note that you must submit your application by 4:30:00 p.m. (Washington, D.C. time) on or before the application deadline date. Late applications will not be accepted. **We suggest that you submit your application several days before the deadline.** The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date and time.
4. Electronic submission of applications is required; therefore, you must submit an electronic application unless you follow the procedures outlined in the Federal Register Notice for FY 2017 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 and formatting instructions. **The total page limit for the project narrative portion of the application for the FY 2017 McNair Program competition is 60 pages, which includes the Logic Model. Additionally, any application addressing the competitive preference priority (CPP) may include up to four additional pages to address the CPP.** The additional pages allotted to address the priority cannot be used for or transferred to the application narrative or any other section of the application. **Applicants addressing the competitive preference priority should include these pages in a separate section of the application submission and discuss how the application meets the competitive preference priority.**

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 may have previously worked online and saved data to the Department's database.) You must provide the DUNS number that was used when your organization registered with the System for Award Management (SAM), formerly 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  
Online 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 2017 competition, the Department has established one competitive preference priority :

**Competitive Preference Priority:**

Applicants must address the competitive preference priority in a separate section of the application submission to receive five points above the basic score of the application, based on the extent to which the application contains substantive information regarding the priority. Applicants may include up to four additional pages to address this priority. These additional pages cannot be used for or transferred to the application narrative.

Competitive Preference Priority: Promoting Science, Technology, Engineering, and Mathematics (STEM) Education (5 points). The Secretary gives priority to projects 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 to develop a plan to increase the number of individuals traditionally underrepresented in STEM.

The STEM competitive preference priority includes the following:

Increasing the number of individuals from groups that have been historically under-represented 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 study and careers in STEM. (5 points)

8. As you develop your application we ask you to carefully consider the specific content that you will provide in the Objectives section of 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 funded number criterion and the four** 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 **four** standardized objectives will be met as related to the participants' involvement in research or scholarly activities, acceptance and enrollment in a graduate program, continued enrollment in a graduate program, and the attainment of a doctoral degree. Applicants may not modify, amend or delete any of these objectives. Instructions for submitting the form are included in the Instructions for Completing the Application Package.
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 2017 McNair competition will receive a five-year (60-months) grant award.
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. Complete instructions for submitting the abstract are included in the Instructions for Completing the Application Package in 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>

## **OVERVIEW**

### **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

#### **WHAT IS THE MCNAIR PROGRAM?**

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.

#### **WHO IS ELIGIBLE TO RECEIVE A GRANT?**

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.

#### **WHAT ACTIVITIES DOES A PROJECT PROVIDE?**

##### ***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; and
- (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 – Browser Support

Grants.gov is a Custom Java Application that uses standard web-browsers as the client. Grants.gov leverages the latest web technologies such as Ajax which relies extensively on JavaScript, HTML, and CSS. Grants.gov recommends you use the most up-to-date web browser possible for the best User Experience. If you are unsure about which version of the browser you are using, please check the following places:

- **Microsoft IE** – the *About Internet Explorer* setting under Help on your toolbar
- **Firefox** – the *About Firefox* setting under Help on your toolbar
- **Chrome**- the *About Google Chrome* setting under the *Customize and Control Google Chrome* option (located on the far right) in your toolbar options for your browsers.

The table below lists supported Web Browsers:

Web Browser	Support	Comments
Microsoft IE 9/10/11	Supported	
Mozilla Firefox	Supported	Versions change frequently; we recommend you have the latest version. Legacy versions are functional but may experience some issues. It is recommended to upgrade to the latest version.
Google Chrome	Supported	Versions change frequently; we recommend you have the latest version. Legacy versions are functional but may experience some issues. It is recommended to upgrade to the latest version.
Apple Safari	Supported	Versions change frequently; we recommend you have the latest version. Legacy versions are functional but may experience some issues. It is recommended to upgrade to the latest version.

For additional information of updates, please see the Grants.gov Browser Support Page.  
<http://www.grants.gov/web/grants/support/technical-support/software/browser-support.html>

## **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 10.1.14). (Please note that in early 2013, Grants.gov discovered an issue with the newest version of Adobe Reader XI but it was subsequently resolved.) Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov at this link: [compatibility table](#). We strongly recommend that you review these details on [www.Grants.gov](#) before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Also, applicants are required to upload their attachments in .PDF format only. (See details below under “Attaching Files – Additional Tips.”) If you have any questions regarding this matter, please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

- 1) **REGISTER EARLY** – Grants.gov registration involves many steps including registration on SAM ([www.sam.gov](http://www.sam.gov)) which may take approximately one week to complete, but could take upwards of several weeks to complete, depending upon the completeness and accuracy of the data entered into the SAM database by an applicant. 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. Please note that once your SAM registration is active, it will take 24-48 hours for the information to be available in Grants.gov, and before you can submit an application through Grants.gov. For detailed information on the Registration Steps, please go to: <http://www.grants.gov/web/grants/register.html> [Note: Your organization will need to update its SAM registration annually (formerly Central Contractor Registry (CCR).)]

Primary information about SAM is available at [www.sam.gov](http://www.sam.gov). However, to further assist you with obtaining and registering your DUNS number and TIN in SAM or updating your existing SAM account the Department of Education has prepared a SAM.gov Tip Sheet which you can find at: <http://www2.ed.gov/fund/grant/apply/sam-faqs.html>

- 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 to Grants.gov before 4:30:00 p.m. Washington, DC time on the deadline date.

**Note: To submit successfully, you must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This DUNS number is typically the same number used when your organization registered with the SAM (formerly 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 received your application submission on time and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m. Washington, DC time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned. Once the Department of Education receives your application from Grants.gov, an Agency Tracking Number (PR/award number) will be assigned to your application and will be available for viewing on Grants.gov’s Track My Application link.

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/web/grants/applicants/grant-application-process/application-statuses.html>. For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Error Messages document at <http://www.grants.gov/web/grants/support/technical-support/troubleshooting/encountering-error-messages.html>. 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/web/grants/support/technical-support/recommended-software.html>. **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 read-only, non-modifiable .PDF files** in their application:

1. Ensure that you attach **.PDF files only** for any attachments to your application, and they must be in a **read-only, non-modifiable format**. PDF files are the only Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are not .PDF files or are password protected files will not be read.
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 follow the guidelines established by Grants.gov on the size and content of file names. Uploaded files must be less than 50 characters, contain no spaces, no special characters (example: -, &, \*, %, /, #, \)

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

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.

2/2015

## **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 Parcel 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 7039, 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, DC time) except Saturdays, Sundays, and Federal holidays.

**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) 2017.

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 60 DAYS  
AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Intergovernmental Review: [INSERT DATE 120 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 (McNair) Program is one of the eight programs known  
as the Federal TRIO Programs, which provides postsecondary

educational support for qualified individuals from disadvantaged backgrounds. The McNair Program awards discretionary grants to institutions of higher education for projects designed to provide disadvantaged college students with effective preparation for doctoral study.

Background:

The Federal TRIO programs, including the McNair Program, represent a national commitment to education for all students regardless of race, ethnic background, disability status, or economic circumstances. The Department of Education (Department) has a strong interest in ensuring that groups traditionally underrepresented in postsecondary education, such as low-income students, first-generation college students, students who are English learners, students with disabilities, homeless students, students who are in foster care, and other disconnected students, receive the support necessary to assist them in successfully pursuing doctoral degrees.

The Department views the McNair Program as a critical component of its efforts to improve postsecondary outcomes for students who have been traditionally underrepresented in postsecondary education and graduate school by providing disadvantaged college students with effective preparation for doctoral study, and improving the quality of student outcomes so

that more students are well prepared for graduate school and careers.

To strategically align the McNair Program with overarching national strategies for increasing the number of students pursuing and completing degrees in the Science, Technology, Engineering, and Mathematics (STEM) fields, this notice includes a competitive preference priority intended to encourage applicants to propose activities that support this comprehensive goal, consistent with a logic model (as defined in this notice).

The inclusion of this competitive preference priority will encourage applicants to increase the number of individuals in the McNair Program's target population that have access to STEM programs at the postsecondary level and are prepared for graduate study 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.

Consistent with 34 CFR 75.210, the Secretary will use the selection criteria outlined in 34 CFR 647.21 to evaluate the applications submitted for new grants under this program. In addition, consistent with the Department's increasing emphasis on promoting evidence-based practices through our grant

competitions, the Secretary will evaluate applications on the extent to which the components and anticipated outcomes of the proposed project are supported by a logic model that meets the evidence standard of "strong theory" (as defined in this notice). We encourage applicants to read carefully the selection criteria for this program in 34 CFR 647.21 and listed in the application package. Resources to assist applicants in creating a logic model can be found here:

[http://ies.ed.gov/ncee/edlabs/regions/pacific/pdf/REL\\_2014007.pdf](http://ies.ed.gov/ncee/edlabs/regions/pacific/pdf/REL_2014007.pdf)  
.

Priority: This notice contains one competitive preference priority. The competitive preference priority is from the notice of final supplemental priorities and definitions for discretionary grant programs, published in the Federal Register on December 10, 2014 (79 FR 73425) (Supplemental Priorities). Applicants must include in the one-page abstract submitted with the application a statement indicating whether they addressed the competitive preference priority. The priority must also be listed on the McNair Program Profile Sheet.

Competitive Preference Priority: For FY 2017 and any subsequent year in which we make awards from the list of unfunded applications from this competition, this priority is a competitive preference priority. Under 34 CFR 75.105(c)(2)(i), we will award up to five additional points to an application

depending on the extent to which the application meets this priority.

This priority is:

Competitive Preference Priority--Promoting Science, Technology, Engineering, and Mathematics (STEM) Education (up to 5 points).

Projects that are designed to improve student achievement or other related outcomes by increasing the number of individuals from groups that have been historically 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 study and careers in STEM. (up to 5 points)

Note: The definition of "student achievement" from the Secretary's Supplemental Priorities does not apply here because that definition applies only to elementary and secondary grades and subjects that are covered by the Elementary and Secondary Education Act of 1965, as amended. For the purposes of this program, "other related outcomes" could include end-of-course grades, or improvement in research or laboratory skills, among other outcomes.

Definitions:

The definition of the term "groups underrepresented in graduate education" is from the McNair Program regulations, 34

CFR 647.7(b). The definitions of the terms “logic model” and “strong theory” are from 34 CFR 77.1.

Groups underrepresented in graduate education include 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).

Logic model (also referred to as theory of action) means a well-specified conceptual framework that identifies key components of the proposed process, product, strategy, or practice (i.e., the active “ingredients” that are hypothesized to be critical to achieving the relevant outcomes) and describes the relationships among the key components and outcomes, theoretically and operationally.

Strong theory means a rationale for the proposed process, product, strategy, or practice that includes a logic model.

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 75 (except for 75.215 through 75.221), 77, 79, 82, 84, 86, 97, 98 and 99. (b) The Office of Management and Budget Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) in 2 CFR



part 180, as adopted and amended as regulations of the Department in 2 CFR part 3485. (c) The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR part 200, as adopted and amended as regulations of the Department in 2 CFR part 3474. (d) The regulations for this program in 34 CFR part 645.

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: The Administration has requested \$900,000,000 for the Federal TRIO Programs for FY 2017, of which we intend to use an estimated \$40,000,000 for McNair awards. The actual level of funding, if any, depends on final congressional action. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2018 and subsequent fiscal years from the list of unfunded applications from this competition.

Estimated Range of Awards: \$226,600 to \$378,783.

Estimated Average Size of Awards: \$243,589.

Maximum Award:

Pursuant to 34 CFR 647.32(a), we will reject any application that proposes a budget exceeding the applicable maximum amount listed

here for a single budget period of 12 months. We will also reject any application from a new applicant that proposes a budget to serve fewer than 25 participants or, for applicants that are current grantees, any application with a proposed budget to serve fewer than the number of participants the applicant was approved to serve in FY 2016.

For an applicant not currently receiving a McNair Program grant, the maximum award is \$226,600 to serve a minimum of 25 eligible participants, based upon a per participant cost of no more than \$9,064.

For an applicant currently receiving a McNair Program grant and applying to serve a different campus, the maximum award is \$226,600 to serve a minimum of 25 eligible participants, based upon a per participant cost of no more than \$9,064.

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 2016 (i.e., 2016-17). This funding will serve at least the same number of participants that was approved for the current project in FY 2016 (i.e., 2016-17).

Estimated Number of Awards: 164.

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 may request a copy of the application package from: Carmen Gordon, McNair Program, U.S. Department of Education, 400 Maryland Avenue, SW., room 5C111, Washington, DC 20202. Telephone: (202) 453-7311 or by email: [Carmen.Gordon@ed.gov](mailto:Carmen.Gordon@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 and form of an application, together with the forms you must submit, are in the application package for this program.

Page Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers will use to evaluate your application. You must limit the application narrative, which includes the budget narrative, to no more than 60 pages using the following standards:

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

- Each page on which there is text or graphics will be counted as one full page.

- Double space (no more than three lines per vertical inch) all text in the application narrative, including charts, tables,

figures, and graphs. Titles, headings, footnotes, quotations, references, and captions may be single spaced.

- Use a font size that is either 12 point or larger, or no smaller than 10 pitch (character per inch).

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

The page limit does not apply to Part I, the Application for Federal Assistance Face Sheet (SF 424); Part II, the Budget Information Summary form (ED Form 524); Part III, the McNair Program Profile; Part III, the one-page Project Abstract narrative; and Part IV, the Assurances and Certifications. The page limit also does not apply to a table of contents, which you should include in the application narrative. 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.

Any application addressing the competitive preference priority may include up to four additional pages for the priority. These additional pages must be used to discuss how the application meets the competitive preference priority. The additional pages allotted to address the competitive preference

priority cannot be used for or transferred to the project narrative or any other section of the application.

Partial pages will count as a full page toward the page limit. For the purpose of determining compliance with the page limit, each page containing text will be counted as one full page.

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 60 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 Other Submission Requirements in section IV 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 program contact person listed under For Further Information Contact in section VII in this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

Deadline for Intergovernmental Review: [INSERT DATE 120 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 System for Award Management:

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 System for Award Management (SAM), the Government's primary registrant database;

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

d. Maintain an active SAM 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 at the following Web site: <http://fedgov.dnb.com/webform>. A DUNS number can be created within one to two business days.

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 two to five weeks for your TIN to become active.

The SAM registration process can take approximately seven business days, but may take upwards of several weeks, depending on the completeness and accuracy of the data you enter into the SAM database. Therefore, if you think you want to apply for Federal financial assistance under a program administered by the Department, please allow sufficient time to obtain and register



your DUNS number and TIN. We strongly recommend that you register early.

Note: Once your SAM registration is active, it may take 24 to 48 hours before you can access the information in, and submit an application through, Grants.gov.

If you are currently registered with SAM, 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 registration annually. This may take three or more business days.

Information about SAM is available at [www.SAM.gov](http://www.SAM.gov). To further assist you with obtaining and registering your DUNS number and TIN in SAM or updating your existing SAM account, we have prepared a SAM.gov Tip Sheet, which you can find at: [www2.ed.gov/fund/grant/apply/sam-faqs.html](http://www2.ed.gov/fund/grant/apply/sam-faqs.html).

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/web/grants/register.html](http://www.grants.gov/web/grants/register.html).

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 email 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 no later than two weeks before the application deadline date. 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 [www.G5.gov](http://www.G5.gov). In addition, for specific guidance and procedures for submitting an application through Grants.gov, please refer to the Grants.gov Web site at: [www.grants.gov/web/grants/applicants/apply-for-grants.html](http://www.grants.gov/web/grants/applicants/apply-for-grants.html).

- 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: 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 read-only, non-modifiable Portable Document Format (PDF). Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-modifiable PDF (e.g., Word, Excel, WordPerfect, etc.) or submit a password-protected file, we will not review that material. Please note that this could result in your application not being considered for funding because the material in question--for example, the application narrative--is critical to a meaningful review of your proposal. For that reason it is important to allow yourself adequate time to upload all material as PDF files. The Department will not convert material from other formats to PDF.

- 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. Grants.gov will also notify you automatically by email if your application met all the Grants.gov validation requirements or if there were any errors (such as submission of your application by someone other than a registered Authorized Organization Representative, or inclusion of an attachment with a

file name that contains special characters). You will be given an opportunity to correct any errors and resubmit, but you must still meet the deadline for submission of applications.

Once your application is successfully validated by Grants.gov, the Department will retrieve your application from Grants.gov and send you an email with a unique PR/Award number for your application.

These emails do not mean that your application is without any disqualifying errors. While your application may have been successfully validated by Grants.gov, it must also meet the Department's application requirements as specified in this notice and in the application instructions. Disqualifying errors could include, for instance, failure to upload attachments in a read-only, non-modifiable PDF; failure to submit a required part of the application; or failure to meet applicant eligibility requirements. It is your responsibility to ensure that your submitted application has met all of the Department's requirements.

- 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 program contact 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 the problem affected your ability to submit your application by 4:30:00 p.m., Washington, DC time, on the application deadline date. We will contact you after we determine whether your application will be accepted.

Note: The extensions to which we refer in this section apply only to the unavailability of, or technical problems with,

the Grants.gov system. We will not grant you an extension if you failed to fully register to submit your application to Grants.gov before the application deadline date and time or if the technical problem you experienced is unrelated to the Grants.gov system.

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

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

and

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

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



Address and mail or fax your statement to: Katie Blanding, U.S. Department of Education, 400 Maryland Avenue, SW., room 5E105, Washington, DC 20202. FAX: (202) 260-7464.

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

b. Submission of Paper Applications by Mail.

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

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.

We will not consider applications postmarked after the deadline date.

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 7039, 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 competition total 110 points and are from 34 CFR 647.21 and 34.CFR 75.210:

(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.

(g) Quality of project design (5 points). The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project,

the Secretary considers the extent to which the proposed project is supported by strong theory (as defined in this notice).

Review and Selection Process: We remind potential applicants that in reviewing applications in any discretionary grant competition, the Secretary may consider, under 34 CFR 75.217(d)(3), the past performance of the applicant in carrying out a previous award, such as the applicant's use of funds, achievement of project objectives, and compliance with grant conditions. The Secretary may also consider whether the applicant failed to submit a timely performance report or submitted a report of unacceptable quality.

In addition, in making a competitive grant award, the Secretary also requires various assurances including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department of Education (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

For this competition, a panel of non-Federal reviewers will review each application in accordance with the selection criteria in 34 CFR 647.21 and the competitive preference priority. The individual scores of the reviewers will be added and the sum divided by the number of reviewers to determine the peer review score received in the review process. Additionally, in accordance with 34 CFR 647.22, the Secretary will award prior



experience points to applicants that conducted a McNair Program project during budget periods 2013-14, 2014-15, and 2015-16, based on their documented experience. Prior experience points, if any, will be added to the application's average reader score to determine the total score for each application.

If there are insufficient funds for all applications with the same total scores, the Secretary will choose among the tied applications so as to serve geographic areas and eligible populations that have been underserved by the McNair Program.

3. Risk Assessment and Special Conditions: Consistent with 2 CFR 200.205, before awarding grants under this competition the Department conducts a review of the risks posed by applicants. Under 2 CFR 3474.10, the Secretary may impose special conditions and, in appropriate circumstances, high-risk 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 2 CFR part 200, subpart D; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

4. Integrity and Performance System: If you are selected under this competition to receive an award that over the course of the project period may exceed the simplified acquisition threshold (currently \$150,000), under 2 CFR 200.205(a)(2) we must make a judgment about your integrity, business ethics, and record

of performance under Federal awards--that is, the risk posed by you as an applicant--before we make an award. In doing so, we must consider any information about you that is in the integrity and performance system (currently referred to as the Federal Awardee Performance and Integrity Information System (FAPIIS)), accessible through SAM. You may review and comment on any information about your institution that a Federal agency previously entered and that is currently in FAPIIS.

Please note that, if the total value of your currently active grants, cooperative agreements, and procurement contracts from the Federal Government exceeds \$10,000,000, the reporting requirements in 2 CFR part 200, Appendix XII, require you to report certain integrity information to FAPIIS semiannually. Please review the requirements in 2 CFR part 200, Appendix XII, if this grant plus all the other Federal funds you receive exceed \$10,000,000.

## 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); or we may send you an email containing a link to access an electronic version of your 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 multiyear 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).

(c) Under 34 CFR 75.250(b), the Secretary may provide a grantee with additional funding for data collection analysis and reporting. In this case the Secretary establishes a data collection period.

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 under 34 CFR 75.253, the Secretary considers, among other things: whether a grantee has made substantial progress in achieving the goals and objectives of the project; whether the grantee has expended funds in a manner that is consistent with its approved application and budget; and, if the Secretary has established performance management requirements, the performance targets in the grantee's approved application.

In making a continuation grant, the Secretary also considers whether the grantee is operating in compliance with the assurances in its approved application, including those applicable to

Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

#### VII. Agency Contact

For Further Information Contact: Carmen Gordon, U.S. Department of Education, 400 Maryland Avenue, SW., room 5C111, Washington, DC 20202. Telephone: (202) 453-7311 or by email: Carmen.Gordon@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 computer disc) on request to the program contact person 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 all other documents of this Department published in the Federal Register, in text or 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 feature at this site, you can limit your search to documents published by the Department.

Dated:

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Lynn B. Mahaffie,  
Deputy Assistant Secretary for  
Policy, Planning and Innovation,  
Delegated the Duties of the  
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 Publishing Office.

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## McNAIR PROGRAM REGULATIONS

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

**<http://www2.ed.gov/programs/triomcnair/index.html>**.

The final McNair Program regulations are provided below:

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

***PART 647- MCNAIR PROGRAM***

## **Subpart A—General**

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

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

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

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

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

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

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

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

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

## ***Subpart A—General***

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

The Ronald E. McNair Postbaccalaureate Achievement Program—referred to in these regulations as the McNair program—awards grants to institutions of higher education for projects designed



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

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

**§ 647.2 Who is eligible for a grant?**

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

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

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

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

- (a)(1) Is a citizen or national of the United States; or
  - (2) Is a permanent resident of the United States; or
  - (3) Is in the United States for other than a temporary purpose and provides evidence from the Immigration and Naturalization Service of his or her intent to become a permanent resident; or
  - (4) Is a permanent resident of Guam, the Northern Mariana Islands, or the Trust Territory of the Pacific Islands; or
  - (5) Is a resident of one of the Freely Associated States.
- (b) Is currently enrolled in a degree program at an institution of higher education that participates in the student financial assistance programs authorized under Title IV of the HEA.
- (c) Is—
- (1) A low-income individual who is a first-generation college student;
  - (2) A member of a group that is underrepresented in graduate education; or
  - (3) A member of a group that is not listed in §647.7 if the group is underrepresented in certain academic disciplines as documented by standard statistical references or other national survey data

submitted to and accepted by the Secretary on a case-by-case basis.

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

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

**§ 647.4 *What activities and services does a project provide?***

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

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

(2) Summer internships.

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

(4) Tutoring.

(5) Academic counseling.

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

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

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

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

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

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

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

[75 FR 65794, Oct. 26, 2010]

**§ 647.5 *How long is a project period?***

A project period under the McNair program is five years.

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

[75 FR 65794, Oct. 26, 2010]

**§ 647.6 *What regulations apply?***

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

(b) The regulations in this part 647.

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

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

**§ 647.7 *What definitions apply?***

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

Applicant

Application

Budget

Budget Period

EDGAR

Equipment

Facilities

Fiscal Year

Grant

Grantee

Project

Project Period

Public

Secretary

Supplies

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

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

- (1) Is geographically apart from the main campus of the institution;
- (2) Is permanent in nature; and
- (3) Offers courses in educational programs leading to a degree, certificate, or other recognized educational credential.

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

- (1) Is separate and distinct from any other population that the entity has applied for a grant to serve; or
- (2) While sharing some of the same needs as another population that the eligible entity has applied for a grant to serve, has distinct needs for specialized services.

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

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

- (3) Cost planning for postsecondary or postbaccalaureate education (e.g., spending, saving, personal budgeting);
- (4) College cost of attendance ( e.g., public vs. private, tuition vs. fees, personal costs);
- (5) Financial assistance ( e.g., searches, application processes, and differences between private and government loans, assistanceships); and
- (6) Assistance in completing the Free Application for Federal Student Aid (FAFSA).

*First-generation college student* means—

- (1) A student neither of whose natural or adoptive parents received a baccalaureate degree; or
- (2) A student who, prior to the age of 18, regularly resided with and received support from only one parent, and whose supporting parent did not receive a baccalaureate degree.
- (3) An individual who, prior to the age of 18, did not regularly reside with or receive support from a natural or an adoptive parent.

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

- (1) Provides instruction in one or more programs leading to a doctoral degree;
- (2) Maintains specialized library collections;
- (3) Employs scholars engaged in research that relates to the subject areas of the center; and
- (4) Provides outreach and consultative services on a national, regional or local basis.

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

*Groups underrepresented in graduate education.* The following ethnic and racial groups are considered underrepresented in graduate education: Black (non-Hispanic), Hispanic, American Indian, Alaskan Native (as defined in section 7306 of the

Elementary and Secondary Education Act of 1965, as amended (ESEA)), Native Hawaiians (as defined in section 7207 of the ESEA), and Native American Pacific Islanders (as defined in section 320 of the HEA).

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

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

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

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

*Target population* means the universe from which McNair participants will be selected. The universe may be expressed in terms of geography, type of institution, academic discipline, type of disadvantage, type of underrepresentation, or any other qualifying descriptor that would enable an applicant to more precisely identify the kinds of eligible project participants they wish to serve.

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

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

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

#### ***§ 647.10 How many applications may an eligible applicant submit?***

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

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

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

[75 FR 65795, Oct. 26, 2010]

**§ 647.11 What assurances must an applicant submit?**

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

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

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

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

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

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

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

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

**Subpart C—How Does the Secretary Make a Grant?**

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

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

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

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

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

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

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

(iv) The Secretary evaluates the PE of an applicant for each of the three project years that the Secretary designates in the Federal Register notice inviting applications and the other published application materials for the competition.

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

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

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

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



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

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

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

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

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

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

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

(b) *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.

(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.

(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 25, 2016 until Further Notice)

<b>Persons in Family/Household</b>	<b>48 Contiguous States, D.C., and Outlying Jurisdictions</b>	<b>Alaska</b>	<b>Hawaii</b>
<b>1</b>	\$17,820	\$22,260	\$20,505
<b>2</b>	\$24,030	\$30,030	\$27,645
<b>3</b>	\$30,240	\$37,800	\$34,785
<b>4</b>	\$36,450	\$45,570	\$41,925
<b>5</b>	\$42,660	\$53,340	\$49,065
<b>6</b>	\$48,870	\$61,110	\$56,205
<b>7</b>	\$55,095	\$68,880	\$63,345
<b>8</b>	\$61,335	\$76,680	\$70,515

For family units with more than eight members, add the following amount for each additional family member: \$6,240 for the 48 contiguous states, the District of Columbia, and outlying jurisdictions; \$7,800 for Alaska; and \$7,170 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 on January 25, 2016.

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

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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:

[https://www.whitehouse.gov/omb/grants\\_spoc](https://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# 84.217A, 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 2017: \$40,000,000  
\$35,380,000 for 143 new awards and \$4,620,000 for 21 non-competing continuation awards
- Estimated Range of Awards: \$ 226,600 - \$378,783 per year
- Estimated Average Size of Awards: \$243,589
- Estimated Number of New Awards: 143
- 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:

[https://www.whitehouse.gov/omb/grants\\_spoc](https://www.whitehouse.gov/omb/grants_spoc).

### **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 priority and selection criteria. Each reviewer will prepare a written evaluation of the information presented in the project narrative section of the application and assign points for the competitive preference priority addressed in a separate section of the application submission and for each selection criterion.



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 – Successful FY 2017 Applicants**

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: 2018-19, 2019-20 and 2020-21. 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 or e-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 2017 new grant award, you will be required to submit annual performance reports during the five-year funding cycle using the Education Department's **web-based data collection application system**. This **web-based** system collects data about funded projects to enable program specialists to determine if a grantee is making substantial progress toward meeting approved project objectives **as well as to calculate projects' prior experience points**.

## **15. Contact Information.**

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

**Program Specialist: Carmen Gordon**

Address: Federal TRIO Programs  
U.S. Department of Education

400 Maryland Avenue, Room 5C111  
Washington, D.C. 20202  
Telephone: (202) 453-7311  
Fax: (202) 260-7464  
E-mail Address: carmen.gordon@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  
E-mail Address: support@grants.gov

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**MCNAIR PROGRAM PROFILE**

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**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 2012-2017) 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 (12) (13) (14) (15) \_\_\_\_\_

Application designated to receive prior experience: Yes \_\_\_ No \_\_\_

Application addresses the Competitive Preference Priority (check below):

**Note: Please be advised, as provided in the Notice, the maximum competitive preference points an application can receive under this competition is 5.**

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

**Promoting Science, Technology, Engineering, and Mathematics (STEM) Education.** (5 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.

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 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 2017-18 McNair Program academic year is roughly August/September 2017 through August 2018.

**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, **that** 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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## MCNAIR 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.

\_\_\_\_\_  
Authorized Certifying Official's Signature  
Official

\_\_\_\_\_  
Printed Name of Authorized Certifying

\_\_\_\_\_  
Title of Authorized Certifying Official  
Institution/Organization

\_\_\_\_\_  
Name of Applicant

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

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

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

### **Prior Experience for Currently Funded Grantees**

#### **Prior Experience Objectives and Calculations for McNair Projects Operating in Project Years 2013-14, 2014-15 and 2015-16**

For the FY 2017 competition for grants from the McNair Program, the Department calculates prior experience points from data submitted in annual performance reports (APRs) for 2013-14, 2014-15 and 2015-16. Achievement rates for each PE criterion are 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 2012 grant competition.

In cases in which an applicant proposes to split a grant funded in FY 2012 into multiple proposals in the FY 2017 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. Please note the following:

- A McNair project funded in 2003 and continuously funded through FY2012 may earn up to a total of 15 points.
- A McNair project first funded in 2007, 2009, or 2012 may earn up to a total of 13 points. These grantees are not eligible to earn PE points for the doctoral degree attainment because they were not funded in the year the cohorts were established.
- 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 calculation of PE points for the three (3) years under consideration is based on:

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

A project's approved objectives; and

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

### **Program Objectives**

- Number of participants the project was funded to serve (3 points)
- Percent of McNair participants who will complete research or scholarly activities that will directly impact their educational progression each McNair Program academic year. (3 points)



- Percent of bachelor's degree recipients who will enroll in a postbaccalaureate program by the fall term of the academic year immediately following completion of that degree. (3 points)
- Percent of first-year graduate students who will continue to be enrolled in graduate school at the beginning of the fall term of the next academic year. (4 points)
- Percent of McNair Program participants who will attain a doctoral degree within ten (10) years of the attainment of the bachelor's degree. (2 points)

### **Funded Number**

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.

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 Objectives**

PE points are awarded to eligible projects that met or exceeded their approved objective for completing research or other scholarly activities. For a given assessment year, a project needed to have served students in the target population (i.e., students that participated in research or other scholarly activities).

The calculation rule for the “**percent of participants who completed research or other scholarly activities**” is as follows:

- The **denominator** is an unduplicated count of the number of students that participated in Research, Other Scholarly, or McNair Internships and is derived from:
  - Field #32 (Research) options 1 or 2, **OR**
  - Field #33 (Other Scholarly Activities) options 1 or 2, **OR**
  - Field #34 (McNair Internships) options 1 or 2.

*The denominator represents all those students that participated in research, other scholarly activities, or McNair internships, regardless of whether they completed the activities or not. Thus, all students served during the assessment year who participated in*

*research, other scholarly activities, or McNair internships were included in the denominator, but only once.*

- The **numerator** is an unduplicated count of the number of students who participated in and completed all components of the *research, other scholarly activities, or McNair internships* and is derived from:
  - Field #32 (Research) option 2, **OR**
  - Field #33 (Other Scholarly Activities) option 2, **OR**
  - Field #34 (McNair Internships) option 2

*The numerator represents all those students that completed their research, other scholarly activities, or McNair internships. Thus, all students served during the assessment year who completed research, other scholarly activities, or McNair internships were included in the numerator, but only once.*

### **Postbaccalaureate enrollment**

PE points are awarded to eligible projects that met or exceeded their approved objective for post-baccalaureate program—graduate school enrollment. For a given assessment year, a project needed to have served students in the target population (i.e., participants who attained a bachelor's degree during the assessment year).

The calculation rule for the “**post-baccalaureate program—graduate school enrollment rate**” is as follows:

- The **denominator** is the number of participants who attained a bachelor's degree during the assessment year and is derived from:
  - Field #38, (Graduate School Enrollment Status) option 1, 2, and 3.
- The **numerator** is the number of participants who attained a bachelor's degree during the assessment year and enrolled in a post-baccalaureate program by the following fall term and is derived from:
  - Field #38, (Graduate School Enrollment Status) option 1

### **Postbaccalaureate Continued Enrollment**

PE points are awarded to eligible projects that met or exceeded their approved objective for post-baccalaureate program persistence. For a given

assessment year, a project needed to have served participants in the target population (i.e., students who were *First Year Graduate Students*).

The calculation rule for the “**post-baccalaureate program—continued enrollment in graduate school rate**” is as follows:

- The **denominator** is the number of participants who were first-year graduate students during the assessment year and is derived from:
  - Field #39, (First-Year Graduate Student Persistence Status) option 1, 2, and 3.
- The **numerator** is the number of participants who were first-year graduate students during the assessment year and were still enrolled in a post-baccalaureate degree program by the following fall term and is derived from:
  - Field #39, (First-Year Graduate Student Persistence Status) option 1

### **Doctoral degree attainment**

PE points are awarded to eligible projects that met or exceeded their approved objective for the doctoral degree attainment. To receive PE points for a given assessment year, a project needed to have (1) served participants in the year in which the cohort for the doctoral degree attainment was established (e.g., 2003-04 cohort for the 2013-14 PE assessment year), and (2) been continuously funded for the duration of the FY2012 funding cycle.

The calculation rule for the “**doctoral degree attainment rate**” is as follows:

- The **denominator** is the number of participants who attained a bachelor’s degree in the applicable cohort (e.g., 2003-04 for the 2013-14 assessment year) and is derived from:
    - Field #29 (Graduating Cohort Year of Bachelor’s Degree) option 5.
- Minus**
- Field #22 (Participant Status) option 4

**IF**

- Field #44 (Highest Graduate Degree Earned) not equal to options 2, 3, or 4.
- The **numerator** is the number of program participants in the graduating cohort year of the bachelor's degree (e.g., 2003-04) that attained a doctoral degree *within* ten years and is derived from those in the denominator where:
  - Field #44 (Highest Graduate Degree Earned) option 2, 3, and 4

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**INSTRUCTIONS FOR COMPLETING THE APPLICATION PACKAGE**

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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 Project 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 2017 McNair competition is 60 pages. However, those applicants addressing the competitive preference priority may include up to four additional pages) in a separate section of the application submission to discuss how the application meets the competitive preference priority. 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 60 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 60-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, the McNair Program Assurances page and the competitive preference priority narrative. **No other appendices or attachments should be included as they will be counted as part of the 60-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)

Disclosure of Lobbying Activities (SF-LLL)



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## INSTRUCTIONS FOR PROJECT NARRATIVE – SELECTION CRITERIA

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

**The *Project Narrative* is to be attached to the Project Narrative Attachment Form 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 **60** 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 **60**-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. Need (34 CFR 647.21(a)) (16 points)
2. Objectives (34 CFR 647.21(b)) ( 9 points)
3. Plan of Operation (34 CFR 647.21(c)) (44 points)
4. Quality of Key Personnel (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)  |
| 7. | <u>Quality of Project Design (Logic Model)</u>                | (5 points)  |

Total Maximum Score for Selection Criteria	<b>105 points</b>
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Competitive Preference Priority	(5 points)
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Total Maximum Score for Selection Criteria and Competitive Preference Priority	<b>110 points</b>
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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 Project Narrative will include the discussion of the selection criteria. The total page limit for the project narrative portion of the application for the FY 2017 McNair competition is **60** pages. However, those addressing the competitive preference priority may include up to four additional pages in a separate section of the application submission to discuss how the application meets the competitive preference priority.

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 Project 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 five standardized objectives as listed on the McNair Program Profile form. On the Profile form, you must fill-in the blanks indicating the percentage level of achievement for each of these five objectives. **These objectives cannot be rewritten, restated or reworded.**

In the Project 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 Project 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 Project Narrative (Part III), for the first 12-month budget period only, AND (3) a budget narrative, as part of the Project 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 - Project 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 2017-2018 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 2016, the third 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 \$226,600 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.

**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. In addition, the plan should indicate who is responsible for making sure that information is available in a timely manner and is influencing the ongoing management of the project. Applicants are encouraged to devote an appropriate level of resources to project evaluation. The use of an outside evaluator is not required.

Applicants are encouraged to think carefully about evaluation approaches and seek cost-effective evaluation strategies. Applicants are also encouraged to explain how they will work with appropriate resources to develop strategies for using State longitudinal data systems or other third-party verified data to track the extent to which students enroll in graduate education. Finally, applicants are encouraged to examine and report on unanticipated outcomes, as well as effective strategies (which can be services, bundles of services, or specific ways of implementing allowable services) that increase acceptance and enrollment in a graduate program, continued enrollment in a graduate program, and the attainment of a doctoral degree by students.

**Quality of Project Design:** Consistent with the Department's increasing emphasis in recent years on promoting evidence-based practices, the Secretary will evaluate applications on the extent to which the proposed project is supported by a logic model that meets the evidence standard of "strong theory." A logic model (also referred to as theory of action) means a well-specified conceptual framework that identifies key components of the proposed process and describes the relationships among the key components and outcomes, theoretically and operationally (as defined in the Notice). Please see the Notice for additional information on how to address this criterion.

## COMPETITIVE PREFERENCE PRIORITY FOR FY 2017

To more strategically align McNair with overarching reform strategies for postsecondary completion and graduate school enrollment, the Department is announcing a competitive preference priority for this competition. This priority is from the Department's notice of final supplemental priorities and definitions for discretionary grant programs, published in the Federal Register on December 15, 2014 (79 FR 73425).

**Competitive Preference Priority: Promoting Science, Technology, Engineering, and Mathematics (STEM) Education (5 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 will encourage applicants to focus on participants who are pursuing graduate study and careers in STEM and are 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.

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

### **What is GPRA?**

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

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

As required by GPRA, the Department of Education has prepared a strategic plan for 2014-2018. 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: Postsecondary Education, Career and Technical Education, and Adult Education. Increase college access, affordability, quality, and completion by improving postsecondary education and lifelong learning opportunities for youths and adults.

Goal 2: Elementary and Secondary Education. Improve the elementary and secondary education system's ability to consistently deliver excellent instruction aligned with rigorous academic standards while providing effective support services to close achievement and opportunity gaps, and ensure all students graduate high school college- and career-ready.

Goal 3: Early Learning. Improve the health, social-emotional, and cognitive outcomes for all children from birth through 3<sup>rd</sup> grade, so that all children, particularly those with high needs, are on track for graduating from high school college- and career-ready.

Goal 4: Equity. Increase educational opportunities for underserved students and reduce discrimination so that all students are well-positioned to succeed.

Goal 5: Continuous Improvement of the U.S. Education System. Enhance the education system's ability to continuously improve through better and more widespread use of data, research and evaluation, evidence, transparency, innovation, and technology.

Goal 6: U.S. Department of Education Capacity. Improve the organizational capacities of the Department to implement this strategic plan.

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

The performance indicators for the McNair Program are part of the Department's plan for meeting Goal 1. 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.

## 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 *Application Narrative* (limited to **60 pages**).

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 *Application Narrative*.

The Department is requesting that you complete the Budget Information – Non-Construction Programs (ED Form 524) for ONLY the 2017-18 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 Priority for FY 2017.**

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 McNair Program. Among the costs that may be supported with grant funds are:

1. **Personnel:** On line 1 (ED Form 524), enter only the project personnel salaries and wages. [Fees and expenses for consultants should be included on line 8.] The budget should include the total commitment of time and the total salary to be charged to the project for each key staff member. You should provide a breakdown of project personnel that includes: the position titles; the percent of time and number of months committed to the project for each key staff member; the salary for each key staff member; and the total salary costs to be charged to the grant.

2. Fringe Benefits: On line 2 (ED Form 524), enter the amount of fringe benefits. The institution or agency's normal fringe benefit contribution may be charged to the program. Leave this blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect costs. In the budget, include an explanation and appropriate justification if the institution or agency's normal fringe benefit contribution exceeds 20 percent of salaries.
  
3. Travel: On line 3 (ED Form 524), provide the costs for project personnel. [Consultants' travel should be included on line 8.] In the budget, you should detail the proposed travel costs: for each trip explain the purpose and objective of the travel and provide the number of persons traveling. Transportation costs should not exceed tourist class airfare. For automobile mileage, the established institution or agency rate should be used. Reimbursement is allowed for taxicab, bus, train, or limousine transportation. Per diem at the established institution or agency rate is permitted when an individual is away from home overnight on official project business (see Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Programs- §200.474). 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 or agency policies.

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

All grants awarded under the McNair Program (84.047A) are designated as training grants. The Education Department General Administrative Regulations (EDGAR) limit reimbursement to grantees for indirect costs they incur under training grants to the grantee’s actual indirect costs as determined by the grantee’s negotiated indirect cost agreement or a maximum of 8 percent of a modified total direct cost base, **whichever is less**. (NOTE: This limitation does not apply to State agencies, or local governments, or federally recognized Indian tribal governments. [§75.562(c) (2)])

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 field 18g on the application face sheet (SF 424) and on the detailed budget narrative in Part III.

## **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)
- GEPA Statement

## INSTRUCTIONS FOR THE SF-24

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: 40px;">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 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</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 number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.</p>		
6.	<p><b>Date Received by State:</b> Leave this field blank. This date will be assigned by the state, if applicable.</p>		
7.	<p><b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the state, if</p>		

	applicable.																
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		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.														
	<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.)														
	<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.																
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.																
	<table border="0"> <tr> <td>A. State Government</td> <td>M. Nonprofit</td> </tr> <tr> <td>B. County Government</td> <td>N. Private Institution of Higher Education</td> </tr> <tr> <td>C. City or Township Government</td> <td>O. Individual</td> </tr> <tr> <td>D. Special District Government</td> <td>P. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td>E. Regional Organization</td> <td>Q. Small Business</td> </tr> <tr> <td>F. U.S. Territory or Possession</td> <td>R. Hispanic-serving Institution</td> </tr> <tr> <td>G. Independent School District</td> <td></td> </tr> </table>	A. State Government	M. Nonprofit	B. County Government	N. Private Institution of Higher Education	C. City or Township Government	O. Individual	D. Special District Government	P. For-Profit Organization (Other than Small Business)	E. Regional Organization	Q. Small Business	F. U.S. Territory or Possession	R. Hispanic-serving Institution	G. Independent School District			
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	<p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p>	<p>S. Historically Black Colleges and Universities (HBCUs)</p> <p>T. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>U. Alaska Native and Native Hawaiian Serving Institutions</p> <p>V. Non-US Entity</p> <p>W. Other (specify)</p>		
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**[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).]

## INSTRUCTIONS FOR U.S. DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR THE SF-424

**1. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application. 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/search.aspx?styp=bsc>)** 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.**

**Public Burden Statement:**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 20 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. The obligation to respond to this collection is required to obtain or retain benefit (20 USC 3474 General Education Provisions Act). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1894-0007. Note: Please do not return the completed ED SF 424 Supplemental Form to this address.





## DEFINITIONS FOR U.S. DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR THE SF-424

### Definitions:

#### Novice Applicant (See 34 CFR 75.225)

For discretionary grant programs, 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. 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 **directly or indirectly** linked to that individual), 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. ***If an educational practice is being introduced to the site and is not widely used for similar populations, it is not covered by this exemption.***

(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. ***[This exemption applies only to retrospective studies using data collected before the initiation of the research.]***

(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. ***[The standards of this exemption are rarely met because it was designed to apply only to specific research conducted by the Social Security Administration and some Federal welfare benefits 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.b. of the U.S. Department of Education Supplemental Information for the SF 424, the applicant must attach a human subjects "exempt research" or "nonexempt research" narrative to the U.S. Department of Education Supplemental Information for the SF-424 form. 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.b. and designated exemption numbers(s), attach the "exempt research" narrative to the U.S. Department of Education Supplemental Information for the SF-424. 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.b. you must attach the "nonexempt research" narrative to the U.S. Department of Education Supplemental Information for the SF-424. 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 Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4331, telephone: (202) 245-8090, 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 SF-424 in the upper right corner of the form (if applicable).

# INSTRUCTIONS 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

### 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 COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

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

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

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

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

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



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## **NOTICE TO ALL APPLICANTS**

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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.

(4) An applicant that proposes a project to increase school safety might describe the special efforts it will take to address concern of lesbian, gay, bisexual, and transgender students, and efforts to reach out to and involve the families of LGBT students

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. Public reporting burden for this collection of information is estimated to average 1.5 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 (Public Law 103-382. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1894-0005.**

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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 - *Application Narrative*- The total page limit for the application narrative portion of the application for the FY 2017 McNair competition is **60 pages**. However, those addressing the competitive preference priority may include up to four additional pages in a separate section of the application submission to discuss how the application meets the priority. Attach the *Application Narrative* document to the Project Narrative Attachment Form in the Grants.gov application.

Part III - Other Attachments - *McNair Program Profile*  
*McNair Program Assurances*  
*Competitive Preference Priority Narrative*

Attach each of these documents to the Other Attachments Form in the Grants.gov application.

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 **60 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)

**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 number. Public reporting burden for this collection of information is estimated to average 40 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 (Title IV, Part A, Subpart 2 Section 402A of the Higher Education Act of 1965, as amended (HEA) and 34 CFR part 645 McNair Program for Federal TRIO Programs). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to [regulations.gov](https://www.regulations.gov) during the public comment period for this collection of information. If you have specific questions about the form, instrument or survey, please contact Student Service, U.S. Department of Education, 400 Maryland Avenue, SW, Room 5C111, Washington, DC 20202. Telephone: (202) 453-7311 or by e-mail: [TRIO@ed.gov](mailto:TRIO@ed.gov).