

**U.S. DEPARTMENT OF EDUCATION**  
Office of Postsecondary Education  
Washington, DC 20202



**Fiscal Year 2019**  
**APPLICATION FOR GRANTS**  
**UNDER THE**  
**STRENGTHENING INSTITUTIONS**  
**PROGRAM**  
**CFDA # 84.031A**

**Form Approved**  
**OMB No. 1840-0114, Expiration Date: XX/XX/XXXX**  
**CLOSING DATE: XXX, XX, 2019**

## Table of Contents

Table of Contents.....	1
Dear Applicant Letter.....	2
Competition Highlights.....	4
Grants.gov Submission Procedures and Tips for Applicants.....	9
Notice Inviting Applications.....	13
Application Transmittal Instructions.....	37
Authorizing Legislation.....	38
Intergovernmental Review of Federal Programs.....	39
General Education Provisions Act (GEPA) Section 427.....	40
Government Performance and Results Act (GPRA).....	41
Instructions for Completing the Application.....	43
Project Narrative Instructions.....	45
Instructions for Standard Forms.....	58
Supplemental Information and Instructions.....	69
84.031A Strengthening Institutions Program Profile.....	70
Application Checklist.....	72
Paperwork Burden Statement.....	73



**UNITED STATES DEPARTMENT OF EDUCATION**  
**OFFICE OF POSTSECONDARY EDUCATION**

Dear Applicant:

Thank you for your interest in applying for a new grant under the fiscal year (FY) 2019 Title III Part A, Strengthening Institutions Program (SIP) grant competition (Catalog of Federal Domestic Assistance [CFDA] number 84.031A). This letter highlights specific elements in the SIP competition application package. As you formulate your application, please review these requirements and carefully and thoroughly review the entire application package.

In order to receive a grant under the Title III, Part A program, an institution of higher education (IHE) must have been deemed an “eligible institution.” The Notice Inviting Applications (Notice) announcing the FY 2019 process for designation of eligible institutions, and inviting applications for a waiver of eligibility requirements, was published in the Federal Register on January 29, 2019.

The FY 2019 grant competition under the standard CFDA number, 84.031A, has two Competitive Preference Priorities (CPP) and an Invitational Priority (IP). Applicants need not address these priorities; however, there are additional points associated with the CPPs.

In FY 2019, SIP will award both Individual Development Grants and Cooperative Arrangement Development Grants.

Applications for FY 2019 grants under the SIP Program must be submitted electronically using Grants.gov at: <http://www.grants.gov>. At least two weeks before the deadline date an applicant who is unable to submit using Grants.gov must submit a written request to waive the electronic submission requirement. In order to submit a paper application, an applicant must have received approval for a non-electronic submission. Additional information about Grants.gov submission requirements can be found in the Competition Highlights, the Notice published in the Federal Register, and the transmittal instructions which are included in this application package.

If you have any questions or require additional information, please contact Nalini Lamba-Nieves at [nalini.lamba-nieves@ed.gov](mailto:nalini.lamba-nieves@ed.gov) or by telephone at 202-453-7953 or contact Jymece Seward at [jymece.seward@ed.gov](mailto:jymece.seward@ed.gov) or by telephone at 202-453-6138.

The Notice published in the Federal Register is the official document. You should not rely upon any information that is inconsistent with the guidance contained within the official document.

For an overview of significant competition elements, we encourage applicants to review the application package “Competition Highlights” section.

We appreciate your interest in the Strengthening Institutions Program and look forward to receiving your application.

Sincerely,

Diane Auer Jones  
Principal Deputy Under Secretary  
Delegated to Perform the Duties of Under Secretary and  
Assistant Secretary for the Office of Postsecondary Education

## Competition Highlights

### New in 2019:

- One competition, 84.031A.
- Both Individual Development Grants (Individual) and Cooperative Arrangement Development Grants (Coops) will be awarded in this competition.
- The language in the Quality of the Project Design (logic model) criterion has been updated. The criterion is again included in the selection criteria, worth 10 points.
- There are two Competitive Preference Priorities (CPPs):
  - 1 -- Fostering Flexible and Affordable Paths to Obtaining Knowledge and Skills (4 points).
  - 2 -- Fostering Knowledge and Promoting the Development of Skills that Prepare Students to be Informed, Thoughtful, and Productive Individuals and Citizens (2 points).
- There is an Invitational Priority (IP):
  1. Spurring Investment in Opportunity Zones (0 points).
- Maximum total possible points: 106.
- Double space **all text** in the application, including text in charts, tables, figures and graphs.
- Application Submission Instructions are now in a separate Federal Register Notice, Common Instructions for Applicants to Department of Education Discretionary Grant Programs, which can be accessed here: <https://www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf>.
- The deadline to submit applications in Grants.gov is now 11:59:59 pm, Eastern Time on the closing date.

### Grants.gov:

1. Strengthening Institutions Program (SIP) grant applications for FY 2019 must be submitted electronically through Grants.gov at: <http://www.grants.gov>.
2. Please note that the Grants.gov site is different from the Department's e-Application system used in past competitions.
3. We urge you to consider the following three important administrative factors when applying for this grant program:
  - i. Register at the Grants.gov website early. The registration procedures may require anywhere from one week to several weeks, since Grants.gov registration includes having a System for Award Management (SAM) registration.
  - ii. Consider submitting your application 2-3 days prior to the closing date. The time it takes to upload an application will vary depending on your application and the speed of your

Internet connection. The application submission process must be complete prior to the deadline for transmittal of applications.

- iii. Remember to provide the DUNS number that was used when your organization registered with SAM, formerly the Central Contractor Registry (CCR). **Applicants who are unable to submit an application via Grants.gov by the application deadline, because their SAM registration is not active, will not be considered for funding.**
4. Grants.gov does not allow applicants to “un-submit” or delete 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. If the Department receives duplicate applications, we will accept and process the application with the latest “date/time received” validation.
5. Please note that you must submit your application by 11:59:59 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.
6. It is recommended that Grants.gov attachments be in PDF format. PDFs cannot be password protected. Word documents will be accepted; however, consider uploading PDFs, as opening Word documents in the Department’s G5 grant system may be difficult.

**Eligibility:**

1. Applicants who are not deemed eligible institutions will not have their applications reviewed.
2. The Department has recently instituted the Eligibility Matrix (EM) process. With the EM, the Department now uses applicants’ Integrated Postsecondary Education Data System (IPEDS) data to determine eligibility. Applicants who are deemed not eligible may submit waiver requests to have their eligibility re-reviewed. The Federal Register Notice announcing the opening of the eligibility and waiver request period was published January 29, 2019. Waiver decisions were posted on April 1, 2019.
3. Your institution's application for a FY 2019 Title III, SIP grant **MUST** be in the same name that appears in the FY 2019 Eligibility Matrix, or it will be deemed not eligible to be read.

**SIP, Other Title III, Part A Programs, and Title V:**

1. There is a statutory limitation that prohibits institutions from having simultaneous Title V and Title III Part A grants (Section 505 of the Higher Education Act of 1965, as amended). If your institution has a 84.031S, Hispanic-Serving Institutions Program (HSI) or a 84.031M, Promoting Postbaccalaureate Opportunities for Hispanic Americans Program (PPOHA) Title V grant, it is not eligible to receive a Title III Part A grant.
2. Similarly, if your institution has another Title III, Part A grant, it cannot receive a Title III, Part A SIP grant. Other Title III, Part A programs are:

Alaska Native – Native Hawaiian Program	84.031N & 84.031W
---	-------------------

(ANNH)	
Asian American Native American Pacific Islander-Serving Institutions Program (AANAPISI)	84.031L
Native American-Serving Non-Tribal Institutions Program (NASNTI)	84.031X
Tribally Controlled Colleges and Universities Program (TCCU)	84.031T

**Logic Models:**

1. Once again, this year there is an additional criterion where applicants demonstrate a rationale in a logic model, worth 10 points. The criterion has been recently updated, so please review the revised language carefully.
2. Think of a logic model as a visual representation of the assumptions and theory of actions of your program. When logical relationships are built on theory and evidence, you can explore outputs, outcomes, and impact. These logical relationships are built into the program or service and you can more effectively evaluate the program and assess the outcomes and impact.
3. You can find information on logic models at:  
<https://ies.ed.gov/ncee/edlabs/regions/pacific/elm.asp>,  
[https://ies.ed.gov/ncee/edlabs/regions/pacific/pdf/REL\\_2014025.pdf](https://ies.ed.gov/ncee/edlabs/regions/pacific/pdf/REL_2014025.pdf),  
[https://ies.ed.gov/ncee/edlabs/regions/northeast/pdf/REL\\_2015057.pdf](https://ies.ed.gov/ncee/edlabs/regions/northeast/pdf/REL_2015057.pdf) or,  
<https://www.wkkf.org/resource-directory/resource/2006/02/wk-kellogg-foundation-logic-model-development-guide>.

**Allowable Activities & Program Regulations:**

1. Authorized grant activities for SIP are listed in Title III, Part A, Section 311 of the Higher Education Act, as amended (HEA); however, Section 301 of the Higher Education Opportunity Act of 2008 (HEOA) modified the authorized grant activities for SIP. Please review the original grant activities and these modifications prior to preparing your SIP application.
2. Applicants should also review the program regulations (34 CFR 607.10 and 607.30) for guidance on which activities and costs are allowable. For example, you may not use your grant funds to:
  - Recruit students;
  - Provide scholarships (or any kind of aid) for students;
  - Carry out activities that are operational rather than developmental;
  - Carry out student activities such as entertainment, cultural or social enrichment programs, student publications, social clubs or associations;
  - Pay for organized fund raising; and
  - Cover indirect costs.

- For further guidance, applicants should also review the Uniform Guidance (2 CFR 200—Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards).

**Recommended Page Limits & Points:**

**Individual Development Grants:**

<b>Application Section</b>	<b>Recommended max pages</b>	<b>Where to attach in Grants.gov</b>	<b>Maximum points</b>
Selection Criteria (Individual)	50	Project Narrative Attachment Form	100
Invitational Priority	2	Project Narrative Attachment Form	0
Competitive Preference Priority 1	3	Project Narrative Attachment Form	4
Competitive Preference Priority 2	2	Project Narrative Attachment Form	2
<b>Recommended maximum pages:</b>	<b>57</b>	<b>Maximum possible points:</b>	<b>106</b>

**Cooperative Arrangement Development Grants:**

<b>Application Section</b>	<b>Recommended max pages</b>	<b>Where to attach in Grants.gov</b>	<b>Maximum points</b>
Selection Criteria (Coop)	65	Project Narrative Attachment Form	100
Invitational Priority	2	Project Narrative Attachment Form	0
Competitive Preference Priority 1	3	Project Narrative Attachment Form	4
Competitive Preference Priority 2	2	Project Narrative Attachment Form	2
<b>Recommended maximum pages:</b>	<b>72</b>	<b>Maximum possible points:</b>	<b>106</b>

- Please do not include resumes, letters of support and/or any other items not specifically requested in the application. For key personnel, describe the experience and qualifications of the candidates in the narrative.

**Program Profile and Abstract:**

- All applicants must submit a SIP Profile Form, which contains the tie-breaker information. If you do not submit this form and there is a tie-breaker situation, your institution will **not** be considered in the tie-breaker.
- Applicants are asked to carefully read question #4 on the Program Profile Form and, if applicable, to check the box or place an X next to the box certifying that they will comply



with the statutory requirement and program assurances regarding endowments cited in the program regulations.

3. All applicants must provide an abstract limited to one single-spaced page. The abstract should be uploaded as a PDF file. Complete instructions for submitting the abstract are included in the Instructions for Completing the Application Package.
4. Information on SIP is accessible at the Department's Web site at:  
<http://www2.ed.gov/programs/idedtitle3a/index.html>.

# Grants.gov Submission Procedures and Tips for Applicants

\*\*\*Updated 02/21/2019\*\*\*

## 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.

#### **Browser Support**

The latest versions of Microsoft Internet Explorer (IE), Mozilla Firefox, Google Chrome, and Apple Safari are supported for use with Grants.gov. However, these web browsers undergo frequent changes and updates, so we recommend you have the latest version when using Grants.gov. Legacy versions of these web browsers may be functional, but you may experience issues.

For additional information or updates, please see the Grants.gov Browser information in the Applicant FAQs: <http://www.grants.gov/web/grants/applicants/applicant-faqs.html#browser>.

#### **ATTENTION – Workspace, Adobe Forms and PDF Files**

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different web forms within an application. For each funding opportunity announcement (FOA), you can create individual instances of a workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities, refer to: <https://www.grants.gov/web/grants/applicants/workspace-overview.html>.

- 1) **Create a Workspace:** Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
- 2) **Complete a Workspace:** Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.
  - a. **Adobe Reader:** If you decide not to apply by filling out web forms, you can download individual PDF forms in Workspace. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at: <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>.

b. Mandatory Fields in Forms: In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.

c. Complete SF-424 Fields First: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS Number. Once it is completed, the information will transfer to the other forms.

- 3) Submit a Workspace: An application may be submitted through Workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.
- 4) Track a Workspace Submission: After successfully submitting a workspace application, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

For additional training resources, including video tutorials, refer to <https://www.grants.gov/web/grants/applicants/applicant-training.html>.

### Helpful Reminders

- 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.]

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 11:59:59 p.m. Eastern 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. 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, log in to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 11:59:59 p.m. Eastern 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 11:59:59 p.m. Eastern 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/encountering-error-messages.html>. For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Software Tip Sheet at: <http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.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.

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

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov) or access the Grants.gov Self-Service Knowledge Base web portal at: <https://grants-portal.psc.gov/Welcome.aspx?pt=Grants>.

If electronic submission is required, you must submit an electronic application before 11:59:59 p.m. Eastern Time, 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. 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. (See the Federal Register notice for detailed instructions.)

### **Helpful Hints When Working with Grants.gov**

Please go to <http://www.grants.gov/web/grants/support.html> for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Applicant FAQs found at this Grants.gov link: <http://www.grants.gov/web/grants/applicants/applicant-faqs.html>, as well as additional

information on Workspace at <https://www.grants.gov/web/grants/applicants/applicant-faqs.html#workspace>.

### Dial-Up Internet Connections

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

### Attaching Files – Additional Tips

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

- When you submit your application electronically, you must upload any narrative sections and all other attachments to your application as files in either Portable Document Format (PDF) or Microsoft Word. Although applicants have the option of uploading any narrative sections and all other attachments to their application in either PDF or Microsoft Word, we **recommend** applicants submit all documents as read-only flattened PDFs, meaning any fillable PDF files must be saved and submitted as non-fillable PDF files and not as interactive or fillable PDF files, to better ensure applications are processed in a more timely, accurate, and efficient manner.
- Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
- When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded file names must be fewer than 50 characters, and, in general, applicants should not use any special characters. However, Grants.gov does allow for the following UTF-8 characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.
- 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 with all attachments is less than 5 MB. Therefore, you may want to check the total size of your package before submission.

## Notice Inviting Applications

4000-01-U

DEPARTMENT OF EDUCATION

Applications for New Awards; Strengthening Institutions Program

AGENCY: Office of Postsecondary Education, Department of Education.

ACTION: Notice.

SUMMARY: The Department of Education (Department) is issuing a notice inviting applications for new awards for fiscal year (FY) 2019 for the Strengthening Institutions Program (SIP), Catalog of Federal Domestic Assistance (CFDA) number 84.031A. This notice relates to the approved information collection under OMB control number 1840-0114.

DATES:

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

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

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

ADDRESSES: For the addresses for obtaining and submitting an application, please refer to our Common Instructions for Applicants to Department of Education Discretionary Grant

Programs, published in the *Federal Register* on February 13, 2019 (84 FR 3768), and available at [www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf](http://www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf).

FOR FURTHER INFORMATION CONTACT: Nalini Lamba-Nieves, U.S. Department of Education, 400 Maryland Avenue, SW, room 250-34, Washington, DC 20202-4260. Telephone: (202) 453-7953. Email: Nalini.Lamba.Nieves@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.

SUPPLEMENTARY INFORMATION:

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The Strengthening Institutions Program (SIP) provides grants to eligible institutions of higher education (IHEs) to help them become self-sufficient and expand their capacity to serve low-income students by providing funds to improve and strengthen the institution's academic quality, institutional management, and fiscal stability.

Priorities: This notice contains two competitive preference priorities and one invitational priority. The competitive preference priorities are from the Secretary's [Final Supplemental Priorities and Definitions for Discretionary Grant Programs](#) (83

FR 9096) (Supplemental Priorities), which were published in the *Federal Register* on March 2, 2018.

Competitive Preference Priorities: For FY 2019 and any subsequent year in which we make awards from the list of unfunded applications from this competition, these priorities are competitive preference priorities. Under 34 CFR 75.105(c)(2)(i), we award up to an additional six points to an application that meets these priorities.

These priorities are:

Competitive Preference Priority 1 -- Fostering Flexible and Affordable Paths to Obtaining Knowledge and Skills (4 points).

Projects that are designed to address providing work-based learning experiences (such as internships, apprenticeships, and fellowships) that align with in-demand industry sectors or occupations (as defined in section 3(23) of the Workforce Innovation and Opportunity Act of 2014).

Competitive Preference Priority 2 -- Fostering Knowledge and Promoting the Development of Skills that Prepare Students to be Informed, Thoughtful, and Productive Individuals and Citizens (2 points).

Projects that are designed to address supporting instruction in personal financial literacy, knowledge of markets and economics, knowledge of higher education financing and repayment (e.g., college savings and student loans), or other skills aimed



at building personal financial understanding and responsibility.

Invitational Priority: For FY 2019 and any subsequent year in which we make awards from the list of unfunded applications from this competition, this priority is an invitational priority. Under 34 CFR 75.105(c)(1) we do not give an application that meets this invitational priority a competitive or absolute preference over other applications.

This priority is:

Invitational Priority -- Spurring Investment in Opportunity Zones.

Under this priority, an applicant may address one or both of the following priority areas:

(1) Propose to serve children or students who reside, or attend elementary or secondary schools or institutions of higher education, in a qualified opportunity zone as designated by the Secretary of the Treasury under section [1400Z-1](#) of the Internal Revenue Code, as amended by the Tax Cuts and Jobs Act (Pub. L. 115-97). In addressing this priority, an applicant must provide the census tract number of the qualified opportunity zone for which it proposes to serve children or students. A list of qualified opportunity zones, with census tract numbers, is available at [www.cdfifund.gov/Pages/Opportunity-Zones.aspx](http://www.cdfifund.gov/Pages/Opportunity-Zones.aspx).

(2) Provide evidence in its application that it has received or will receive financial assistance from a qualified

opportunity fund under section [1400Z-2](#) of the Internal Revenue Code, as amended by the Tax Cuts and Jobs Act, for a purpose directly related to its proposed project. In addressing this priority, an applicant must identify the qualified opportunity fund from which it has received or will receive financial assistance.

Definitions: These definitions apply to the priorities and the selection criteria for this competition and are from section 3(23) of the Workforce Innovation and Opportunity Act of 2014 and from 34 CFR 77.1.

Demonstrates a rationale means a key project component included in the project's logic model is informed by research or evaluation findings that suggest the project component is likely to improve relevant outcomes.

In-demand industry sector or occupation means--

(a) In General.— (i) An industry sector that has a substantial current or potential impact (including through jobs that lead to economic self-sufficiency and opportunities for advancement) on the State, regional, or local economy, as appropriate, and that contributes to the growth or stability of other supporting businesses, or the growth of other industry sectors; or

(ii) An occupation that currently has or is projected to have a number of positions (including positions that lead to

economic self-sufficiency and opportunities for advancement) in an industry sector so as to have a significant impact on the State, regional, or local economy, as appropriate.

(B) Determination. The determination of whether an industry sector or occupation is in-demand under this paragraph shall be made by the State board or local board, as appropriate, using State and regional business and labor market projections, including the use of labor market information.

Logic model (also referred to as theory of action) means a framework that identifies key project components of the proposed project (i.e., the active “ingredients” that are hypothesized to be critical to achieving the relevant outcomes) and describes the theoretical and operational relationships among the key project components and relevant outcomes.

Note: In developing logic models, applicants may want to use resources such as the Regional Educational Laboratory Program’s (REL Pacific) Education Logic Model Application, available at

<https://ies.ed.gov/ncee/edlabs/regions/pacific/elm.asp>,

to help design their logic models. Other sources include:

[https://ies.ed.gov/ncee/edlabs/regions/pacific/pdf/REL\\_2014025.pdf](https://ies.ed.gov/ncee/edlabs/regions/pacific/pdf/REL_2014025.pdf)

[f](#),

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

[f](#), and

[https://ies.ed.gov/ncee/edlabs/regions/northeast/pdf/REL\\_2015057.pdf](https://ies.ed.gov/ncee/edlabs/regions/northeast/pdf/REL_2015057.pdf).

Project component means an activity, strategy, intervention, process, product, practice, or policy included in a project. Evidence may pertain to an individual project component or to a combination of project components (e.g., training teachers on instructional practices for English learners and follow-on coaching for these teachers).

Relevant outcome means the student outcome(s) or other outcome(s) the key project component is designed to improve, consistent with the specific goals of the program.

Program Authority: 20 U.S.C. 1057-1059d (title III, part A, of the Higher Education Act of 1965, as amended (HEA)).

Note: In 2008, the HEA was amended by the Higher Education Opportunity Act of 2008 (HEOA), Pub. L. 110-315. The HEOA made a number of technical and substantive revisions to SIP. Please note that the regulations for SIP in 34 CFR part 607 have not been updated to reflect these statutory changes.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 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 607. (e) The Supplemental Priorities.

## II. Award Information

Type of Award: Discretionary grants. Five-year Individual Development Grants and Cooperative Arrangement Development Grants will be awarded in FY 2019.

Estimated Available Funds: Approximately \$26,300,000 is available for new awards in the program competition.

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

### Individual Development Grants:

Estimated Range of Awards: \$400,000-\$450,000 per year.

Estimated Average Size of Awards: \$425,000 per year.

Maximum Award: We will not make an award exceeding \$450,000 for a single budget period of 12 months.

Estimated Number of Awards: 31.

### Cooperative Arrangement Development Grants:

Estimated Range of Awards: \$500,000-\$550,000 per year.

Estimated Average Size of Awards: \$525,000 per year.

Maximum Award: We will not make an award exceeding \$550,000 for a single budget period of 12 months.

Estimated Number of Awards: 25.

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

Project Period: Up to 60 months.

### III. Eligibility Information

1. Eligible Applicants: This program is authorized by title III, part A, of the HEA. To qualify as an eligible institution under any title III, part A program, an institution must--

(a) Be accredited or preaccredited by a nationally recognized accrediting agency or association that the Secretary has determined to be a reliable authority as to the quality of education or training offered;

(b) Be legally authorized by the State in which it is located to be a junior or community college or to provide an educational program for which it awards a bachelor's degree;

(c) Be designated as an "eligible institution" by demonstrating that it: (1) has an enrollment of needy students as described in 34 CFR 607.3; and (2) has low average educational and general expenditures per full-time equivalent (FTE) undergraduate student as described in 34 CFR 607.4.

Note: The notice announcing the FY 2019 process for designation of eligible institutions, and inviting applications for waiver of eligibility requirements, was published in the *Federal Register* on January 29, 2019 (84 FR 451). Only institutions that the Department determines are eligible, or are granted a waiver under the process described in that notice, may apply for a grant in this program.

Relationship between the Title III, Part A Programs and the Developing Hispanic-Serving Institutions (HSI) Program

A grantee under the HSI program, which is authorized under title V of the HEA, may not receive a grant under any HEA, title III, part A program. The title III, part A programs are: SIP; the Tribally Controlled Colleges and Universities program; the Alaska Native and Native Hawaiian-Serving Institutions program; the Asian American and Native American Pacific Islander-Serving Institutions program; and the Native American-Serving Nontribal Institutions program. Furthermore, a current HSI program grantee may not give up its HSI grant to receive a grant under SIP or any title III, Part A program as described in 34 CFR 607.2(g)(1).

An eligible HSI that is not a current grantee under the HSI program may apply for a FY 2019 grant under all title III, part A programs for which it is eligible, as well as receive consideration for a grant under the HSI program. However, a

successful applicant may receive only one grant as described in 34 CFR 607.2(g)(1).

2. a. Cost Sharing or Matching: This program does not require cost sharing or matching unless the grantee uses a portion of its grant for establishing or improving an endowment fund. If a grantee uses a portion of its grant for endowment fund purposes, it must match those grant funds with non-Federal funds (20 U.S.C. 1057(d)-(2)).

b. Supplement-Not-Supplant: This program involves supplement-not-supplant funding requirements. Grant funds must be used so that they supplement and, to the extent practical, increase the funds that would otherwise be available for the activities to be carried out under the grant and in no case supplant those funds (34 CFR 607.30(b)).

#### IV. Application and Submission Information

1. Application Submission Instructions: Applicants are required to follow the Common Instructions for Applicants to Department of Education Discretionary Grant Programs, published in the *Federal Register* on February 13, 2019 (84 FR 3768), and available at [www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf](http://www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf), which contain requirements and information on how to submit an application.

2. 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.

3. Funding Restrictions: We specify unallowable costs in 34 CFR 607.10(c). We reference additional regulations outlining funding restrictions in the Applicable Regulations section of this notice.

4. Recommended Page Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. We recommend that you (1) limit the application narrative to no more than 50 pages for Individual Development Grants and no more than 65 pages for Cooperative Arrangement Development Grants and (2) use the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.

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

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

- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.

The recommended page limit does not apply to Part I, the cover sheet; Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; or the one-page abstract and the bibliography. However, the recommended page limit does apply to all of the application narrative.

Note: The Budget Information-Non-Construction Programs Form (ED 524) Sections A-C are not the same as the narrative response to the Budget section of the selection criteria.

#### V. Application Review Information

1. Selection Criteria: The selection criteria for this program are from 34 CFR 607.22(a) through (g), and from 34 CFR 75.210. Applicants should address each of the following selection criteria separately for each proposed activity. The selection criteria are worth a total of 100 points; the maximum score for each criterion is noted in parentheses.

(a) Quality of the Applicant's Comprehensive Development Plan. (Maximum 20 Points) The extent to which--

(1) The strengths, weaknesses, and significant problems of the institution's academic programs, institutional management, and fiscal stability are clearly and comprehensively analyzed and result from a process that involved major constituencies of the institution;

(2) The goals for the institution's academic programs, institutional management, and fiscal stability are realistic and based on comprehensive analysis;

(3) The objectives stated in the plan are measurable, related to institutional goals, and, if achieved, will contribute to the growth and self-sufficiency of the institution; and

(4) The plan clearly and comprehensively describes the methods and resources the institution will use to institutionalize practice and improvements developed under the proposed project, including, in particular, how operational costs for personnel, maintenance, and upgrades of equipment will be paid with institutional resources.

(b) Quality of the Project Design. (Maximum 10 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 demonstrates a rationale (as defined in this notice).

(c) Quality of Activity Objectives. (Maximum 15 Points)

The extent to which the objectives for each activity are--

(1) Realistic and defined in terms of measurable results; and

(2) Directly related to the problems to be solved and to the goals of the comprehensive development plan.

(d) Quality of Implementation Strategy. (Maximum 15 Points) The extent to which--

(1) The implementation strategy for each activity is comprehensive;

(2) The rationale for the implementation strategy for each activity is clearly described and is supported by the results of relevant studies or projects; and

(3) The timetable for each activity is realistic and likely to be attained.

(e) Quality of Key Personnel. (Maximum 8 Points) The extent to which--

(1) The past experience and training of key professional personnel are directly related to the stated activity objectives; and

(2) The time commitment of key personnel is realistic.

(f) Quality of Project Management Plan. (Maximum 10 Points) The extent to which--

(1) Procedures for managing the project are likely to ensure efficient and effective project implementation; and

(2) The project coordinator and activity directors have sufficient authority to conduct the project effectively, including access to the president or chief executive officer.

(g) Quality of Evaluation Plan. (Maximum 15 Points) The extent to which--

(1) The data elements and the data collection procedures are clearly described and appropriate to measure the attainment of activity objectives and to measure the success of the project in achieving the goals of the comprehensive development plan; and

(2) The data analysis procedures are clearly described and are likely to produce formative and summative results on attaining activity objectives and measuring the success of the project on achieving the goals of the comprehensive development plan.

(h) Budget. (Maximum 7 Points) The extent to which the proposed costs are necessary and reasonable in relation to the project's objectives and scope.

2. 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 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 (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

A panel of three non-Federal reviewers will review and score each application in accordance with the selection criteria listed in this notice from 34 CFR 607.22(a) through (g) and 34 CFR 75.210. A rank order funding slate will be made from this review. Awards will be made in rank order according to the average score received from the peer review and from the two competitive preference priorities.

Tie-breaker for Development Grants. In tie-breaking situations for development grants, in accordance with 20 U.S.C. 1057(b), we award one additional point to an application from an IHE that has an endowment fund of which the current market value, per FTE enrolled student, is less than the average current market value of the endowment funds, per FTE enrolled student, at comparable type institutions that offer similar instruction. We award one additional point to an application from an IHE that has expenditures for library materials per FTE enrolled student that are less than the average expenditure for library materials per FTE enrolled student at similar type institutions. We also add one additional point to an application from an IHE that proposes to carry out one or more of the following activities--

(1) Faculty development;

- (2) Funds and administrative management;
- (3) Development and improvement of academic programs;
- (4) Acquisition of equipment for use in strengthening management and academic programs;
- (5) Joint use of facilities such as libraries and laboratories; and
- (6) Student services, including services that will assist in the education of special populations.

For the purpose of these funding considerations, we use 2017-2018 data.

If a tie remains after applying the tie-breaker mechanism above, priority will be given to applicants that have the lowest endowment values per FTE enrolled student.

3. Risk Assessment and Specific Conditions: Consistent with 2 CFR 200.205, before awarding grants under this program the Department conducts a review of the risks posed by applicants. Under 2 CFR 3474.10, the Secretary may impose specific 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 \$250,000), 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 the System for Award Management. You may review and comment on any information about yourself 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. Open Licensing Requirements: Unless an exception applies, if you are awarded a grant under this competition, you will be required to openly license to the public grant deliverables created in whole, or in part, with Department grant funds. When the deliverable consists of modifications to pre-existing works, the license extends only to those modifications that can be separately identified and only to the extent that open licensing is permitted under the terms of any licenses or

other legal restrictions on the use of pre-existing works. Additionally, a grantee or subgrantee that is awarded competitive grant funds must have a plan to disseminate these public grant deliverables. This dissemination plan can be developed and submitted after your application has been reviewed and selected for funding. For additional information on the open licensing requirements please refer to 2 CFR 3474.20.

4. 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).

5. Performance Measures: The Secretary has established the following key performance measures for assessing the effectiveness of SIP:

(a) The percentage change, over the five-year period, of the number of full-time degree-seeking undergraduates enrolled at SIP institutions. Note that this is a long-term measure that will be used to periodically gauge performance.

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

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

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

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

6. 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 measurement requirements, the performance targets in the grantee's approved application.

In making a continuation award, 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. Other Information

Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) on request to one of the persons listed under FOR FURTHER INFORMATION CONTACT.

Electronic Access to This Document: The official version of this document is the document published in the *Federal Register*. You may access the official edition of the *Federal Register* and the Code of Federal Regulations via the Federal Digital System at [www.govinfo.gov](http://www.govinfo.gov). 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 Portable Document Format (PDF). To use PDF you must have Adobe Acrobat Reader, which is available free at the 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:

---

Diane Auer Jones,  
*Principal Deputy Under Secretary,  
Delegated to Perform the Duties of Under Secretary  
and Assistant Secretary for the Office of  
Postsecondary Education.*

## Application Transmittal Instructions

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

### **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 11:59:59 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 NIA that was published in the Federal Register or visit <http://www.grants.gov>.

### **Other Submission Instructions:**

For detailed instructions on applications sent by mail or delivery, please review the Common Instructions for Applicants to Department of Education Discretionary Grant Programs Notice, published in the Federal Register on February 13, 2019 (84 FR 3768), and available at: <https://www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf>.

### **Late Applications**

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

## Authorizing Legislation

### Legislation:

- [Higher Education Act of 1965, as amended; Strengthening Institutions; Title III, Part A, §1057-§1059b; CFDA 84.031A](#)
- [Higher Education Opportunity Act of 2008 §301-§302](#)

### Regulations:

- [34 CFR Part 607.1-607.31](#)

### Government-wide Guidance:

- [Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards \(2 CFR 200\).](#)

## Intergovernmental Review of Federal Programs

### Executive Order 12372

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

The process for doing this requires grant applicants to contact State Single Points of Contact for information on how this works. Multi-state applicants should follow procedures specific to each state. Further information about the State Single Point of Contact process and a list of names by State can be found at:

<https://www.whitehouse.gov/wp-content/uploads/2017/11/SPOC-Feb.-2018.pdf>.

For State 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 #84.031A/F, U.S. Department of Education, 400 Maryland Avenue, SW, Room 7E200, 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 4:30:00 p.m. (Eastern Standard Time) on the closing date indicated in this notice.

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



## General Education Provisions Act (GEPA) Section 427

Section 427 of GEPA requires all applicants for new awards to include in their applications a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally-assisted programs for students, teachers, and other program beneficiaries with special needs. The provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: *gender, race, national origin, color, disability, or age*.

A general statement of an applicant's nondiscriminatory hiring policy is not sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers.

**NOTE: Applicants for new awards must include information in their applications to address this provision in order to receive funding under this program.**

# Government Performance and Results Act (GPRA)

## What is GPRA?

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

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

As required by GPRA, the Department of Education has prepared a strategic plan for 2018-2022. 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:** *Support state and local efforts to improve learning outcomes for all P-12 students in every community.*

**Goal 2:** *Expand postsecondary educational opportunities, improve outcomes to foster economic opportunity and promote an informed, thoughtful and productive citizenry.*

**Goal 3:** *Strengthen the quality, accessibility and use of education data through better management, increased privacy protections and transparency.*

**Goal 4:** *Reform the effectiveness, efficiency and accountability of the Department.*

## What are the Performance Indicators for SIP?

The performance indicators for Title III, Part A, SIP are part of the Department's plan for meeting Goal 2:

**Goal 2:** *Expand postsecondary educational opportunities, improve outcomes to foster economic opportunity and promote an informed, thoughtful and productive citizenry.*

1. The number of full-time degree-seeking undergraduates enrolled at SIP institutions. Note that this is a long-term measure, which will be used periodically to gauge performance, beginning in FY 2009.
2. The percentage of first-time, full-time degree-seeking undergraduate students at 4-year SIP institutions who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same SIP institution.

3. The percentage of first-time, full-time degree-seeking undergraduate students at 2-year SIP institutions who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same SIP institution.
4. The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year SIP institutions graduating within six years of enrollment.
5. The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 2-year SIP institutions graduating within three years of enrollment.
6. The cost per successful program outcome: federal cost per undergraduate and graduate degree at SIP institutions.

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

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

The most recent version of this program's annual performance report can be viewed at <https://hepis.ed.gov/ISAPR/>.

## Instructions for Completing the Application

The SIP application consists of the following four parts. These parts are organized in the same manner that the submitted application should be organized. Remember to upload all forms and sections and follow carefully the Grants.gov application instructions. Note: **All attachments should be PDF files.** The parts are as follows:

- Part I:**        **424 Forms**
- Application for Federal Assistance (SF 424)
  - Department of Education Supplemental Information form for SF 424

- Part II:**        **U.S. Department of Education Budget Summary Forms**
- ED 524 (Section A and Section B)

The “**U.S. Department of Education Budget Information for Non-Construction Programs**” is where applicants provide budget information for Section A – Budget Summary U.S. Department of Education Funds and Section B – Budget Summary Non-Federal Funds. Applicants should include costs for all project years.

- Part III:**        **Department of Education Abstract Form**
- Include a one-page abstract as a PDF file.

**Project Narrative Attachment Form**

- Project Narrative Attachment Form
  - Individual Grants: Upload the 50-page response to the selection criteria (project narrative)
  - Cooperative Grants: Upload the 65-page response to the selection criteria (project narrative)
- Program Profile

- Part IV:**        **Assurances and Certifications**
- GEPA Section 427 requirement
  - Assurances for Non-Construction Programs (SF 424B)
  - Lobbying Form (ED Form 80.0013)
  - Disclosure of Lobbying Activities (SF-LLL)

**ED Abstract Form:** Attach your one-page project abstract that will provide an overview of the proposed project.

**Project Narrative Attachment Form:** The project narrative should include the narrative responses to the selection criteria that will be used to evaluate your application submitted for this competition. Please include a Table of Contents as the first page of the application narrative. You should limit the application narrative to no more than 50 pages for Individual Development Grants and 65 pages for Cooperative Arrangement Development Grants. The project narrative pages should be consecutively numbered.

**Program Profile:** Included in this application is a SIP Program Profile. You must complete this profile and attach it to Part III, Project Narrative Attachment Form, in Grants.gov.

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

## Project Narrative Instructions

**The project narrative shall be attached to the “Project Narrative Attachment Form” in Grants.gov.**

Before preparing the Project Narrative, applicants should review the program statute, program regulations, Federal Register Notice, and Dear Applicant Letter for specific guidance and requirements.

The Secretary evaluates an application according to the program specific criteria in 34 CFR 607.22 and 34 CFR 75.210. The Project Narrative should provide in detail the responses to each selection criterion. The maximum possible score for each category of selection criterion is indicated in parenthesis. For ease of reading by the reviewers, applicants should follow the sequence of the criteria as provided below. Applications should be written in a concise and clear manner. You should limit the section of the narrative that addresses the selection criteria to no more than 50 pages for Individual Development Grants or 65 pages for Cooperative Arrangement Development Grants.

**Applicants should address each of the following SIP selection criteria:**

<b>Criterion</b>	<b>Points value</b>
Quality of Comprehensive Development Plan	20
Quality of Project Design	10
Quality of Activity Objectives	15
Quality of Implementation Strategy	15
Quality of Key Personnel	8
Quality of Project Management Plan	10
Quality of Evaluation Plan	15
Quality of Budget	7
<b>Total Maximum Points</b>	<b>0</b>

SIP grants are institutional grants. They are designed to strengthen the institution so it can better serve its students. Therefore, the activities you propose should achieve long-term change at the institution. This is why there is a selection criterion that specifically asks about how the particular implementation of the selected activities was chosen—whether based on existing literature or a successful project at a similar institution (Quality of Implementation Strategy).

In this FY 2019 competition, the Department is requesting that applicants submit a logic model that displays the rationale for the chosen activities. To create a logic model for a SIP grant, we recommend you examine the data regarding the strengths and weaknesses of your organization, in order to identify the problem to be solved. Once the problem(s) is (are) identified, the next step is to establish the desired outcome/outcomes—the long-term change that is expected to result. Knowing what is effective (strengths), what is less effective (weaknesses) and what you want to achieve (long term outcome), you can now determine what you will do (activity/activities) to reach your long-term outcome (after 5 years of SIP funding) and your yearly outcomes. Though there is no need to attach a study for the FY 2019 competition, the activity chosen should be validated by existing studies that have explored that particular method.

The goal is the same, long term outcomes to strengthen the institution, the difference is the method—an attached study is not required.

The following guidance may assist you in addressing the questions that will be used to evaluate your responses to the selection criteria:

**(a) Quality of Comprehensive Development Plan** (Maximum: 20 points)

**(1) The strengths, weaknesses, and significant problems of the institution’s academic programs, institutional management, and fiscal stability are clearly and comprehensively analyzed and result from a process that involved major constituencies of the institution.**

**Content:** Separately describe and analyze your institution's strengths, weaknesses, and significant problems in the following three areas as they relate to each proposed activity:

1. Academic programs,
2. Institutional management, and
3. Fiscal stability.

We are considering “weaknesses” and “significant problems” to be one and the same. Use the grant funds to address some of these weaknesses and problems. Here are some guidelines for stating the problems:

- State what is “too high” or what is “too low.” For example, “the percentage of freshmen students who fail four courses is too high.” When you state the problem this way, the objectives become obvious. Such as, “to decrease, from 42 percent to 22 percent, the percentage of freshmen students who fail four courses.”
- Avoid problem statements that declare the problem as "the lack of " or "the need for" the very solution you are proposing for funding. Such as, “the problem with our academic programs is a lack of or need for student services outside the classroom. Thus, we propose an activity to establish those student services." This type of statement usually contains circular reasoning.
- Provide summaries of or excerpts from recent data, reports, evaluations or studies that demonstrate that you have objectively and thoroughly analyzed your institution’s main problems.
- Describe the process you used to formulate the above information.
- Provide evidence of the extent and nature of the faculty, staff, students, community, industry, and other major constituents' involvement in this process. You may rely on previously written information, such as a self-study for accreditation, as long as your process for developing the information involved the major constituencies' representatives and reflects your institution's current situation.

**(2) The goals for the institution’s academic programs, institutional management, and fiscal stability are realistic and based on comprehensive analysis.**

**Content:** Based on a comprehensive analysis of your institution's strengths, weaknesses, and significant problems, separately state the institutional goals as they relate to each proposed activity you plan to address using Title III, Part A Strengthening Institutions Program funds. These will be the overall goals you expect from the successful implementation of the

activity/activities. These goals should include the GPRA measures established for SIP, which can be found on page 42 of this booklet. Broadly, the SIP GPRA measures can be classified under enrollment, retention, graduation and program costs.

**(3) The objectives stated in the plan are measurable, related to institutional goals, and if achieved, will contribute to the growth and self-sufficiency of the institution.**

**Content:** Focusing only on the overall (5-year), institutional outcomes/objectives that are specifically related to your proposed Title III, Part A Strengthening Institutions Program activities, separately provide measurable objectives for how you will reach each of the goals you discussed in #2. Achieving the objectives outlined should contribute to the growth and self-sufficiency of the institution. For example, by revamping the curriculum (academic stability) to include technology and other pedagogical best practices, the goal is to increase the retention of first-year students by 40% by 9/30/20XX. These outcomes/objectives are directly related to the individual activity objectives, but they are not the same. These are the cumulative result of each activity's objectives. To continue with the above example, yearly objectives will show shorter increases in retention of first-year students—5% in year one, 10% in year two, 20% in year three, 30% in year four and 40% in year five.

**Describe in measurable terms how objectives are related to the goals of the institution. The description should include details on the following:**

Specific Tasks

Institutionalize personnel, programs, and services.

Methods Involved

Operational funding budgeted and allocated to sustain improvements.

Tangible Results

Program, services, and personnel fully institutionalized.

**(4) The plan clearly and comprehensively describes the methods and resources the institution will use to institutionalize practices and improvements developed under the proposed project, including, in particular, how operational costs for personnel, maintenance, and upgrades of equipment will be paid with institutional resources.**

**Content:** In this section, separately describe the following for each proposed activity:

The methods your institution will use to integrate practices and improvements developed into its operations and, if appropriate, continue them after the grant ends. For example, provide specifics on how your institution will obtain approval from appropriate internal and/or external governance authorities to conduct new or revised curricula and use new intervention strategies. What will the time period be for these actions?

Provide the resources you will need to institutionalize newly developed practices and improvements and, most importantly, how you will fund them. In particular, discuss how your institution will fund operational costs such as personnel, maintenance, and upgraded equipment. For example, one way to ensure that positions continue after the grant ends is for your institution to pay a percentage of the salary during the grant and increase that percentage during years two, three, four, and five.



Your response should be clear, specific, and realistic. It is **not** realistic to solely depend on revenue from the expected increase in retention or enrollment (long-term outcome) to fund the institutionalization of the activity/activities. Should these increases not materialize, how will the institution continue to implement successful activities?

**(b) Quality of the Project Design.** (Maximum 10 Points)

**(1) The Secretary considers the extent to which the proposed project demonstrates a rationale (as defined in the Notice Inviting Applications).**

Demonstrates a rationale means a key project component included in the project's logic model is informed by research or evaluation findings that suggest the project component is likely to improve relevant outcomes.

Logic model (also referred to as theory of action) means a framework that identifies key project components of the proposed project (i.e., the active “ingredients” that are hypothesized to be critical to achieving the relevant outcomes) and describes the theoretical and operational relationships among the key project components and relevant outcomes.

Project component means an activity, strategy, intervention, process, product, practice, or policy included in a project. Evidence may pertain to an individual project component or to a combination of project components (e.g., training teachers on instructional practices for English learners and follow-on coaching for these teachers).

Relevant outcome means the student outcome(s) or other outcome(s) the key project component is designed to improve, consistent with the specific goals of the program.

**Content:** A logic model shows the reasoning of your project, what resources you have, how you will implement them and what you expect to change as a result of those actions. In your logic model, include the main institutional objectives that you outline in your CDP (increase retention, graduation, etc.), as part of your long-term outcomes. The connections between the resources, individual activities and outputs should show how they all “feed” into achieving the overall goals of the CDP (and the program—the GPRA indicators on page 41).

As defined above, the logic model is analogous to the theory of action/theory of change. Theory of change shows the ideas (activities) that are expected to lead to change (outcomes). Theory of action details how the theory of change is delivered/implemented. A logic model encompasses both. This means that ***your logic model and your Implementation Strategy are in direct relationship to each other.*** The goals and activities in the logic model should also be listed in the implementation strategy table and vice-versa.

A logic model does not have to be only one page; it can be longer. We encourage applicants to provide a thorough and detailed logic model. Nevertheless, you may not be able to include every component of the inputs, activities, outputs and outcomes of your proposed project. These complete, detailed steps needed for the thorough grant execution should be entirely represented in your Implementation Strategy section of the application.

When creating a logic model, it is usually best to start with your end in mind. What is your overall goal (outcomes = CDP and GPRA goals)? Build your logic model by reverse

engineering. How are you going to achieve these goals (activities)? What are the tangible measures that will indicate you are on the right path (outputs)?

In general,

- ❖ Inputs are fixed characteristics that serve as resources or barriers for organizational or student change.
- ❖ Activities are the intended development, implementation, or restructuring of projects, programs, and services.
- ❖ Outputs are evidence that the intended activities are being implemented (participation rates or numbers served).
- ❖ Outcomes are student or organizational changes in attitudes, behaviors, knowledge, skills, status, or levels of functioning.
  - Short-term outcomes reflect yearly/bi-yearly changes.
  - Long-term outcomes are the changes you will see after 5 years of grant implementation.
- ❖ Impacts are what you hope happens to your students or organization as a result of the long-term outcomes. These include changes you expect to see after institutionalizing the grant activities, which should include the GPRA performance indicators.

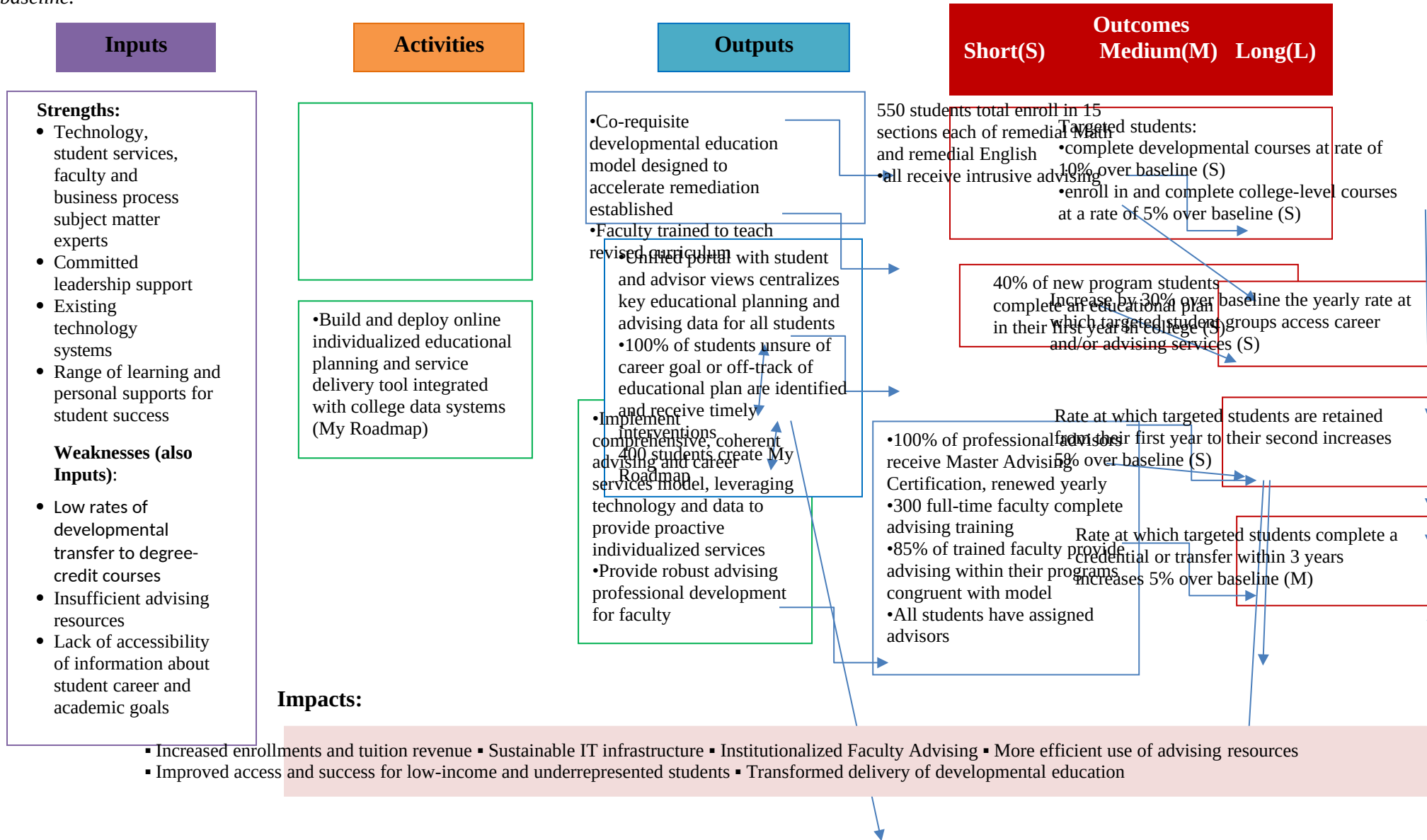
Do not just include a logic model. There should be a narrative section (can be a table) that details the logic model and its relationship to the implementation strategy.

To develop your logic models, you may want to use resources such as the Pacific Education Laboratory's Education Logic Model Application (<https://ies.ed.gov/ncee/edlabs/regions/pacific/elm.asp>). The three examples provided in the site all show the interrelationship between all the components of the logic model.

We have also included a sample logic model below, to assist you as you develop your project-specific logic model.

# Logic Model

**Overall Outcome/Goal:** To increase developmental education completion by 40%; student persistence by 5%; graduation by 5% and transfer rates by 5% over the baseline.



<b>Key Assumptions and Supporting Research</b>	
<b>ASSUMPTION</b>	<b>SUPPORTING RESEARCH</b>
An important factor contributing to poor completion and progression is the length of time needed to complete remedial sequences	Hodara & Jaggars, 2014
Strategies that accelerate remediation lead to improved completion and progression to college-level courses	Weisburst et al, 2017; Hodara & Jaggars, 2014
Students without defined education or career goals persist and complete credentials at lower rates	Karp, 2013
Not following a coherent educational program or frequently changing programs leads to students paying for credits they can't use and lengthens time to completion	Bailey et al, 2015; Wang, 2017
Intrusive, developmental advising is effective	Karp et al, 2016
Strategies that help students navigate complex college processes and program requirements lead to improved progression to degree and transfer	Karp et al, 2016
Appropriately used technology can extend the reach and impact of college advising services	Kalamkarian & Karp, 2015

## Impact

What do you hope happens to your students or organization?

**(c) Quality of Activity Objectives** (Maximum: 15 Points)

**(1) The extent to which the objectives for each activity are realistic and defined in terms of measurable results.**

**Content:** State your yearly objectives, separately for each individual activity, which are measurable and realistic (not too high, not too low). Connect each objective to the problem or weakness it should address, as you described in the CDP. In addition:

- o DO NOT create process objectives such as: "To establish a college-wide committee," whose measurement is: "We formed a committee." Identify processes or tasks under the Implementation Strategy as discussed next.
- o DO NOT begin your objective with words such as "to provide," "to develop," or "to establish." This heightens the likelihood you may be describing a process or task rather than an outcome objective.
- o DO use words such as "to increase by" or "to decrease by" since you are more likely to be describing a genuine, outcome objective. However, please add a measurable target by which you will increase or decrease your proposed action and a date by which you expect the increase or decrease to be completed.
- o DO provide a realistic number of objectives and performance indicators for each proposed activity and for each year you are requesting funds for that activity.

For example:

Objective:

- By the end of year 2 (9/30/20XX) 30% of all incoming freshmen will have a college pathway plan established.

Some Possible Performance Indicators:

- o Train an additional 15 faculty members on advising methods by October 30, 20XX.
- o By October 1<sup>st</sup>, schedule advising appointments for 60% of incoming freshmen.
- o Send electronic reminders to all scheduled students (60% of incoming freshmen) regarding their upcoming appointments.

**(2) The extent to which the objectives for each activity are directly related to the problems to be solved and to the goals of the comprehensive development plan.**

**Content:** Separately describe how meeting the objectives of each proposed activity will address a problem identified in the CDP and affect your institution's ability to address its goals for its academic programs, institutional management, or fiscal stability.

If you need funds for more than one activity, you may propose different start and end dates and vary the duration of each. For example, you may need only three years to develop a new curriculum but five years to develop a new management information system. Any proposed activity should address a critical problem that the CDP describes as hindering institutional growth and self-sufficiency.

If you propose to use up to 20% for endowment investing, do not write an activity narrative regarding this use of endowment investing, as we do not consider it an activity in the usual sense.

**(d) Quality of Implementation Strategy** (Maximum: 15 Points)

**(1) The extent to which the implementation strategy for each activity is comprehensive.**

**(2) The extent to which the rationale for the implementation strategy for each activity is clearly described and is supported by the results of relevant studies or projects.**

**Content:** For each proposed activity, explain why you chose a specific method for implementing that activity. Indicate the relevant studies that you reviewed and experts that you consulted. In this section, **expand on the selected study that guided your project and logic model.** While you are not required to use a study cleared by the What Works Clearinghouse (WWC), as in recent years, keep in mind that a study is not an article in a magazine or newspaper. Studies are peer-reviewed and generally appear in journals or books.

**(3) The timetable for each activity is realistic and likely to be attained.**

- Chart an implementation strategy to meet your objectives for each year you are requesting funds and for each activity. Make sure the implementation strategy is detailed and expands on the submitted logic model.
- Use time frames that are realistic for completing a task. Chart each of the five years using the budget period of October 1 to September 30.
- Describe in a comprehensive, sequential and clear manner who will do what and how they will do it to meet the objectives of each activity.
- Identify, by title, the primary participants who will carry out the tasks to meet the objectives. Describe how the personnel will perform the tasks and the results you expect from them.

**(e) Quality of Key Personnel** (Maximum: 8 Points)

**(1) The extent to which the experience and training of key professional personnel are directly related to the stated activity objectives.**

**(2) The extent to which the time commitment of key personnel is realistic.**

**Content:** For each proposed activity, list, by title and name (if available) which positions are being proposed to manage the Title III grant and describe the qualifications you require of that position and the amount of time each person will allot to the proposed activity. **This information should be included for all staff that are key for the successful implementation of the grant, not only the project director or the activity director, regardless of whether they are paid by the grant or by the institution.** For example, in a project that requires significant software and IT hardware updates, the institution's IT manager's experience and training are relevant and should be included.

If you want to use a consultant, explain why a consultant is more advantageous than using the institution's personnel.

**(f) Quality of Project Management Plan** (Maximum: 10 Points)

**(1) The extent to which procedures for managing the project are likely to ensure efficient and effective project implementation.**

**(2) The extent to which project coordinator and activity directors have sufficient authority to conduct the project effectively, including access to the president or chief executive officer.**

For the project director/coordinator, activity director and other key positions, provide the following:

- Under “Quality of Key Personnel,” be sure to include the director’s/coordinator’s required qualifications (education, experience, training) and the specific duties of the position. Directly relate the duties to the stated purposes and objectives of the project.
- Indicate how much time the Title III, Part A, director/coordinator and other key staff will commit to the project. Make the time commitment realistic, not too high nor too low, relative to the tasks the individual will perform.

Note: Your Title III, Part A director’s/coordinator’s time commitment to a project may vary considerably from that in another project or another institution’s project. One project focused on developing a management information system, for example, may have a director/coordinator who is the director of technology in the ordinary hierarchy of the college. He or she may allot 10 percent time to coordinate the project for which the college will pay. On the other hand, a new director/coordinator of a faculty development project may be an instructional developer with a 50 percent time or 100 percent time commitment paid for with Title III, Part A, funds. Carefully think through the management structure and time commitment that will work best at your institution and specify the reasons for your choice.

- Describe the procedures the project director/coordinator will use to manage and monitor the project’s progress such as how information will be provided to key administrators so they can integrate project activities with related, on-going institutional activities.
- Describe the project director’s/coordinator’s administrative authority over the activity director(s) who is normally responsible for accomplishing a specific activity’s objectives. Also, describe the administrative authority of the activity director(s) over subordinates.
- Chart the lines of authority of the project director/coordinator to key institutional decision makers, including the president.

**(g) Quality of Evaluation Plan** (Maximum: 15 Points)

**(1) The extent to which the data elements and the data collection procedures are clearly described and appropriate to measure the attainment of activity objectives and to measure the success of the project in achieving the goals of the comprehensive development plan.**



**Content:** For each proposed activity, describe the data collection procedures the institution will use to identify the data elements, objectives, and goals identified in the CDP. Include measure attainment of each proposed activity. Include procedures for analyzing and using both formative and summative data.

The overall impact indicator, the goals and the objectives in the implementation of this grant have been identified. How will they be measured? What elements need to be measured? How will information on those elements be collected? How often? Who's going to do it? Will it be an internal evaluator (an institutional staff member) or an external one? What are the benefits of the chosen measures? When will the evaluator begin work?

**(2) The extent to which the data analysis procedures are clearly described and are likely to produce formative and summative results on attaining activity objectives and measuring the success of the project on achieving the goals of the comprehensive development plan.**

**Content:** For each proposed activity, describe in detail the project's evaluation plan, including who, what, when and how. Define the baseline indicators of progress that you will use. Once the above data are established, how will they be analyzed to show what the yearly (formative) and the 5-year (summative) results are? Will the analysis lead to obtaining formative and summative results, ones that are clearly linked to the activity objectives and the CDP goals?

The detailed evaluation plan should:

- Produce a valid assessment of your implementation strategies;
- Result in annual, quantifiable evidence of the extent to which you attained your objectives for each activity and your goals for which funding is requested;
- Include the data elements and collection procedures that you will use; and
- Describe procedures for analyzing and using both formative and summative data.

All applicants must submit a plan to conduct a project evaluation as part of their grant activities. The planned evaluation should be systematic in assessing the worth of a project and useful in guiding project objectives and focus primarily on determining the outcomes and impacts of the project relative to those objectives. The evaluation should also serve to strengthen the management of the project and lead to better knowledge of what works in producing the desired outcomes.

An individual or organization, independent of the project team (and all of its partners), but not necessarily external to the grantee institution, should execute the project evaluation plan. This independent evaluator should assist in the initial preparation of the evaluation plan and be willing to work alongside the project team throughout the duration of the project. The evaluator should possess good evaluation skills commonly found among practitioners of the American Evaluation Association.

The project director and team should be committed to gathering the best evaluation data possible for formative and summative purposes. Projects should collect baseline data before the project starts as a basis for measuring progress.

A summary of the evaluation report must be included in the final performance report submitted by the project to the Department of Education. The report, which also includes fiscal and management performance information, is due within 90 days after expiration of the award. The evaluation report should be included as an appendix to the final performance report as well as available upon request. (Please see 34 CFR §607.24 for information on how project performance may affect future funding).

For the Title III, Strengthening Institutions Program, the evaluation plan should produce a valid assessment of the implementation strategies. It should also result in annual, quantifiable evidence of the attainment of objectives for each activity and of the goals in the CDP.

**(h) Quality of Budget** (Maximum: 7 Points)

**The extent to which the proposed costs are necessary and reasonable in relation to the project's objectives and scope.**

**Content:** Review the program regulations (34 CFR 607.10 and 607.30) for guidance on which activities and costs are allowable. For example, you may not use your grant funds to:

- Recruit students;
- Carry out activities that are operational rather than developmental;
- Carry out student activities such as entertainment, cultural or social enrichment programs, student publications, social clubs or associations;
- Pay for organized fund raising; and
- Cover indirect costs.

Prepare a separate, detailed, budget narrative **for each proposed activity for each year** you are requesting grant funds. Demonstrate and justify that all costs are reasonable in today's market and necessary to accomplish your activity objectives. Please pay particular attention in your justification to those (per item) costs exceeding \$25,000, excluding salaries and fringe benefits. For each activity, provide itemized costs (in dollars), and a narrative justification to support your request for:

- Personnel,
- Fringe Benefits,
- Travel,
- Equipment,
- Supplies,
- Contractual,
- Construction,
- Other, and
- Total.

You must provide details so we can determine if the costs are allowable, necessary and reasonable.

**NOTE: The Title III, Strengthening Institutions Program, CFDA 84.031A, does not reimburse grantees for indirect costs they incur in carrying out a project funded under this program. Therefore, applicants should not show any dollar amounts for indirect costs on either line 10 of the application budget form (ED 524) or in their budget narrative. Applicants should also be aware that un-reimbursed indirect costs under grants of this program may not be charged as direct cost items in the same award, used to satisfy matching or cost-sharing requirements, or charged to another Federal award.**

Do not include a budget narrative (as a separate activity) for endowment investing.

**Note:** Check the combined total for the proposed activity budgets and compare it to the total on the ED 524. The totals must match.

**U.S. Department of Education Budget Information Non-Construction Programs (Section A - Budget Summary U.S. Department of Education Funds and Section B - Budget Summary Non-Federal Funds (ED 524 form)).**

First, carefully read the instructions contained in this document. Then, using the Department of Education Budget Information for Non-Construction Programs (ED524) form, prepare a budget for the entire project that totals all the costs for each year of the grant. If you choose to use up to 20 percent of each year's grant funds to establish or increase your institution's endowment fund through endowment investing, enter the amount of your contribution in the summary budget on the "other" line. If you have additional items for the other category, separate the endowment contribution from the other items and make two entries for "other." Endowment monies should be listed first.

## Instructions for Standard Forms

- o Instructions for the SF-424
- o Instructions for Department of Education Supplemental Information for SF 424
- o Definitions for Department of Education Supplemental Information for SF 424
- o Instructions for ED 524
- o General Education Provisions Act (GEPA)
- o Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

### **Other Information and Guidance:**

- o Supplemental Information and Instructions

## INSTRUCTIONS FOR THE SF-424

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

Item	Entry:	Item:	Entry:
1.	<b>Type of Submission:</b> (Required) Select one type of submission in accordance with agency instructions. • Pre-application • Application • 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.	10.	<b>Name of Federal Agency:</b> (Required) Enter the name of the federal agency from which assistance is being requested with this application.
		11.	<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.
2.	<b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions.  • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • 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.  A. Increase Award                      D. Decrease Duration B. Decrease Award                      E. Other (specify) C. Increase Duration	12.	<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.
		13.	<b>Competition Identification Number/Title:</b> Enter the competition identification number and title of the competition under which assistance is requested, if applicable.
		14.	<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.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<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.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or the applicant’s control number if applicable.		
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the federal agency, if any.	16.	<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 programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.
5b.	<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.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the state, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the state, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		
	<b>a. Legal Name:</b> (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.

	<p><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.</p>	18.	<p><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.</p>		
	<p><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>.</p>	19.	<p><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.</p>		
	<p><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).</p>	20.	<p><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.</p>		
	<p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.</p> <p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.</p>	21.	<p><b>Authorized Representative:</b> To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)</p>		
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <ul style="list-style-type: none"> <li>A. State Government</li> <li>B. County Government</li> <li>C. City or Township Government</li> <li>D. Special District Government</li> <li>E. Regional Organization</li> <li>F. U.S. Territory or Possession</li> <li>G. Independent School District</li> <li>H. Public/State Controlled Institution of Higher Education</li> <li>I. Indian/Native American Tribal Government (Federally Recognized)</li> <li>J. Indian/Native American Tribal Government (Other than Federally Recognized)</li> <li>K. Indian/Native American Tribally Designated Organization</li> <li>L. Public/Indian Housing Authority</li> </ul> </td> <td style="width: 50%; vertical-align: top;"> <ul style="list-style-type: none"> <li>M. Nonprofit</li> <li>N. Private Institution of Higher Education</li> <li>O. Individual</li> <li>P. For-Profit Organization (Other than Small Business)</li> <li>Q. Small Business</li> <li>R. Hispanic-serving Institution</li> <li>S. Historically Black Colleges and Universities (HBCUs)</li> <li>T. Tribally Controlled Colleges and Universities (TCCUs)</li> <li>U. Alaska Native and Native Hawaiian Serving Institutions</li> <li>V. Non-US Entity</li> </ul> </td> </tr> </table>	<ul style="list-style-type: none"> <li>A. State Government</li> <li>B. County Government</li> <li>C. City or Township Government</li> <li>D. Special District Government</li> <li>E. Regional Organization</li> <li>F. U.S. Territory or Possession</li> <li>G. Independent School District</li> <li>H. Public/State Controlled Institution of Higher Education</li> <li>I. Indian/Native American Tribal Government (Federally Recognized)</li> <li>J. Indian/Native American Tribal Government (Other than Federally Recognized)</li> <li>K. Indian/Native American Tribally Designated Organization</li> <li>L. Public/Indian Housing Authority</li> </ul>	<ul style="list-style-type: none"> <li>M. Nonprofit</li> <li>N. Private Institution of Higher Education</li> <li>O. Individual</li> <li>P. For-Profit Organization (Other than Small Business)</li> <li>Q. Small Business</li> <li>R. Hispanic-serving Institution</li> <li>S. Historically Black Colleges and Universities (HBCUs)</li> <li>T. Tribally Controlled Colleges and Universities (TCCUs)</li> <li>U. Alaska Native and Native Hawaiian Serving Institutions</li> <li>V. Non-US Entity</li> </ul>		
<ul style="list-style-type: none"> <li>A. State Government</li> <li>B. County Government</li> <li>C. City or Township Government</li> <li>D. Special District Government</li> <li>E. Regional Organization</li> <li>F. U.S. Territory or Possession</li> <li>G. Independent School District</li> <li>H. Public/State Controlled Institution of Higher Education</li> <li>I. Indian/Native American Tribal Government (Federally Recognized)</li> <li>J. Indian/Native American Tribal Government (Other than Federally Recognized)</li> <li>K. Indian/Native American Tribally Designated Organization</li> <li>L. Public/Indian Housing Authority</li> </ul>	<ul style="list-style-type: none"> <li>M. Nonprofit</li> <li>N. Private Institution of Higher Education</li> <li>O. Individual</li> <li>P. For-Profit Organization (Other than Small Business)</li> <li>Q. Small Business</li> <li>R. Hispanic-serving Institution</li> <li>S. Historically Black Colleges and Universities (HBCUs)</li> <li>T. Tribally Controlled Colleges and Universities (TCCUs)</li> <li>U. Alaska Native and Native Hawaiian Serving Institutions</li> <li>V. Non-US Entity</li> </ul>				

		W. Other (specify)		
--	--	-----------------------	--	--

**[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  
DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR 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.

**2. Novice Applicant.** Check “Yes” or “No” only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank.**

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

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

**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.

**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 Department of Education Supplemental Information for SF 424.”)

**3a. 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. Insert 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 Department of Education Supplemental Information for SF 424.”

**3a. 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 page entitled “Definitions for Department of Education Supplemental Information for SF 424

**3a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (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. 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.

**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.

**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 1894-0007. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12<sup>th</sup> Street, S.W. Room 7076, Washington, D.C. 20202-4260.*



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

**Definitions:**

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

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

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

**PROTECTION OF HUMAN SUBJECTS IN RESEARCH**

**I. Definitions and Exemptions**

**A. Definitions.**

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

**—Research**

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

**—Human Subject**

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person’s environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

**B. Exemptions.**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

## INSTRUCTIONS FOR ED 524

### General Instructions

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

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

#### Section A - Budget Summary U.S. Department of Education Funds

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

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

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

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

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

Indirect Cost Information: If you are requesting reimbursement for indirect costs on line 10, this

information is to be completed by your Business Office.

(1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government.

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

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

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

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

(3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

#### Section B - Budget Summary Non-Federal Funds

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

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

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

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

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

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

if attached.

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the

breakdown of the specific expenses attributable to each sub-project or activity.

2. For non-Federal funds or resources listed in Section B that are used to meet a cost-sharing or matching requirement or provided as a voluntary cost-sharing or matching commitment, you must include:

- a. The specific costs or contributions by budget category;
- b. The source of the costs or contributions; and
- c. In the case of third-party in-kind contributions, a description of how the value was determined for the donated or contributed goods or services.

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

3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate"

programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

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

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

5. Provide other explanations or comments you deem necessary.

#### **Paperwork Burden Statement**

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

## NOTICE TO ALL APPLICANTS

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

### To Whom Does This Provision Apply?

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

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

### What Does This Provision Require?

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

be discussed in connection with related topics in the application.

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

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

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

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

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

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

(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.



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

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

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

---

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



## Supplemental Information and Instructions

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

Applicants must copy and paste this page into a separate document, or recreate the page exactly as it appears. Then, complete the page, save it to your computer and attach it to the “Project Narrative Attachment Form,” in Grants.gov, as a .PDF document. Do not modify or amend the contents of the form in any way.

**Page Limits:** The project narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. We have established recommended page limits for Individual Development Grant applications. You should limit the section of the narrative that addresses the selection criteria to no more than 50 pages. For Cooperative Arrangement Development Grant applications, the recommended page limit is 65 pages.

The page limit does not apply to Part I, the Application for Federal Assistance (SF 424); the Department of Education Supplemental Information form (SF 424); Part II, Budget Information—Non-Construction Programs (ED Form 524); Part IV, the assurances and certifications; or the one-page project abstract. However, the page limit does apply to all of the project narrative section (Part III), including the budget narrative of the selection criteria. You must include your complete response to the selection criteria in the project narrative.

**Formatting Recommendations:** A “page” is 8.5” x 11”, on one side only, with 1-inch margins at the top, bottom, and both sides. Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, captions and all text in charts, tables, and graphs. Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. Use font size 12 or larger and no smaller than 10 pitch (characters per inch).

## 84.031A Strengthening Institutions Program Profile

**INSTRUCTIONS:** *ALL applicants must complete these pages. The completed pages must be attached to the “Project Narrative Attachment Form” in the application package in the Grants.gov system (as a .PDF document). DO NOT MODIFY OR AMEND THESE PAGES.*

OPE ID # \_\_\_\_\_

**1. INSTITUTION (Legal Name):**

\_\_\_\_\_

**2. Are you applying as a Branch Campus?**       YES     NO

**3. ADDRESS (Applicants must indicate the address where the project will be located):**

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

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

**4. ENDOWMENT FUND ASSURANCE:**

**By checking this box (or placing an “X” beside it),** an applicant certifies that the institution of higher education proposes to use up to twenty percent (20%) of the Strengthening Institutions Program yearly grant award, made under the authority of Title III, Part A of the Higher Education Act of 1965, as amended, to establish or increase the institution’s endowment fund. The institution agrees to abide by the Department of Education’s regulations governing the Endowment Challenge Grant program, 34 CFR Part 628, the program statute, and the program regulations, 34 CFR Part 607. The institution further agrees to raise the required matching funds.

**5. COOPERATIVE ARRANGEMENT FOR PARTICIPATING INSTITUTIONS:** The applicant institution must provide for each participating institution: *the institution name, DUNS number, location (city and state).*

Institution Name	DUNS Number	City	State

**6. TIE-BREAKER INFORMATION:**

If the selection process ends in a tie and funds are not sufficient to fund all institutions, we will use the information provided here to determine who will receive a grant. In accordance with Section 607.23(b), the Secretary will award up to three (3) additional points based on the information provided here.

TOTAL 2017-2018 FULL-TIME EQUIVALENT (FTE) STUDENTS= \_\_\_\_\_

A. Total market value of endowment fund at the end of 2017-2018      \$ \_\_\_\_\_

B. Total expenditures for library materials during 2017-2018      \$ \_\_\_\_\_

C. Check activities applicant proposes to carry out in application:

- a. Faculty development \_\_\_\_\_
- b. Funds and administrative management \_\_\_\_\_
- c. Development and improvement of academic programs \_\_\_\_\_
- d. Acquisition of equipment for use in strengthening management and academic programs \_\_\_\_\_
- e. Joint use of facilities \_\_\_\_\_
- f. Student services \_\_\_\_\_

**7. APPLICATIONS TO OTHER PROGRAMS:**

If you are applying to another grant program in FY 2019, please indicate below to which program(s) you are applying. Please note that an institution may not have two Title III, Part A grants or a Part A and a Title V grant simultaneously.

Check (if applicable)	Program Name	CFDA #	Title	Part
	Alaska Native – Native Hawaiian Program (ANNH)	84.031N & 84.031W	III	A
	Hispanic-Serving Institutions Program (HSI)	84.031S	V	A
	Promoting Postbaccalaureate Opportunities for Hispanic Americans Program (PPOHA)	84.031M	V	B
No competition in FY 2019	Asian American Native American Pacific Islander-Serving Institutions Program (AANAPISI)	84.031L	III	A
No competition in FY 2019	Native American-Serving Non-Tribal Institutions Program (NASNTI)	84.031X	III	A

## Application Checklist

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

Application for Federal Assistance (SF 424)

Department of Education Supplemental Information for SF 424

Department of Education Budget Information Non-Construction Programs Form (ED 524)

One-Page Program Abstract – Attached to the “ED Abstract Form” in Grants.gov

Project Narrative for the proposed grant – Attached to the “Project Narrative Attachment Form” in Grants.gov

Strengthening Institutions Program Profile – Attached to the “Project Narrative Attachment Form” in Grants.gov

Assurances and Certifications – found in Grants.gov

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

Grants.gov Lobbying Form (ED 80-0013)

Disclosure of Lobbying Activities (SF-LLL)

ED GEPA 427 Form (**Mandatory for this competition**)

## **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 65 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 (authorized by Title III, Part A, Sections 311-315, of the Higher Education Act of 1965, as amended by the HEOA; and governed by the program regulations in 34 CFR Part 607; and the Education Department General Administrative Regulations (EDGAR), Parts 74, 75 (except for §§ 75.215-75.221), 77, 79, 80, 82, 84, 85, 86, 97, 98 and 99). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to [regulations.gov](http://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 Strengthening Institutions Program, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202-8510.