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APPLICATION FOR GRANTS UNDER THE

STUDENT SUPPORT SERVICES PROGRAM
CFDA #: 84.042A

OMB No. 1840-0117, Expiration Date: 08/12/2012
Closing Date: DEC 14, 2009

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U.S. Department Of Education

OFFICE OF POSTSECONDARY EDUCATION

Washington, DC 20202

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FY 2010

APPLICATION FOR GRANTS
UNDER THE STUDENT SUPPORT SERVICES PROGRAM

CFDA NUMBER: 84.042A

FORM APPROVED

OMB No. 1840-0117, Expiration Date: 08/31/2012

DATED MATERIAL – OPEN IMMEDIATELY

CLOSING DATE: DECEMBER 14, 2009

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Dear Applicant:

Thank you for your interest in applying for a grant under the Student Support Services (SSS) Program. The SSS Program provides grants to institutions of higher education to operate projects that provide opportunities for academic development, assists students with basic college requirements, and serves to motivate students toward the successful completion of their postsecondary education. The goal of SSS is to increase the college retention and graduation rates of its participants.

We are requiring that applications for Fiscal Year (FY) 2010 grants under the SSS Program be submitted electronically using e-Application available through the Department of Education's (Department) e-Grants system. An applicant who is unable to submit an application through the e-Grants system must submit a written request for a waiver of the electronic submission requirement at least two weeks before the deadline date. Additional information about e-Grants submission requirements is in the Notice Inviting Applications for New Awards (Notice), published in the Federal Register, and in the transmittal instructions which are included in this package.

As a result of the enactment of the Higher Education Opportunity Act in 2008, the Department conducted negotiated rulemaking to engage the community in discussions on regulatory issues that impact the Federal TRIO Programs and other discretionary grant programs. The negotiated rulemaking phase of the process is now complete and the Department is preparing the Notice of Proposed Rulemaking (NPRM). The NPRM will be published in the Federal Register upon completion and the public will be provided an opportunity to comment on the document. However, the NPRM will not be completed by the closing date of the FY 2010 competition. Therefore, any new requirements for successful applicants will be communicated in the letter announcing the results of the competition. Please note the definitional changes for different campuses and different populations which are detailed in the Notice. We urge you to review the entire application package carefully before preparing and submitting your application.

The Notice published in the Federal Register contains specific information governing all of the requirements for applying. You are reminded that the document published in the Federal Register is the official document and that you should not rely upon any information that is inconsistent with the guidance contained within the official document.

Finally, we would like to share with you the importance of ensuring that your application includes a strong evaluation plan. The peer reviewers will be instructed to look closely at the potential of SSS Program applicants to successfully reach their individual project goals which are driven by the performance indicators for the SSS Program. The evaluation plan should not only include formative and summative measures, but also, address the use of appropriate controls and techniques that provide for independent evaluation. The evaluation plan should shape the development of the project from the beginning of the grant period and provide benchmarks for the monitoring of progress and measurement of that progress throughout the grant award period. You should pay close attention to the information provided in the Instructions for the Project Narrative section of this application regarding the development of your evaluation activity.

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

Sincerely,

/signed/

Alan Schiff
Acting Deputy Assistant Secretary
for Higher Education Programs

COMPETITION HIGHLIGHTS

1. **SSS Program applications must be submitted electronically using e-Application unless you qualify for one of the exceptions to the electronic submission requirement**. The requirements for obtaining an exception to the electronic submission have changed and are included in the Notice. If you think you may need an exception; you are urged to review the requirements promptly.

2. Applications submitted late will not be accepted. 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.

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3. Applicants are required to adhere to the page limit for the Project Narrative portion of the application. You must limit the section of the narrative that addresses the selection criteria to no more than 65 pages.

4. As you develop your application, we ask you to carefully consider the specific content that you will provide in the Objectives section of the application. This part of the application should address the appropriate standardized objectives related to the participants' academic achievements, including retention, academic standing, and graduation/transfer as stated on the SSS Program Profile Sheet.

5. In accordance with the Higher Education Act of 1965, as amended by the Higher Education Opportunity Act of 2008 (HEA), all successful applicants under the FY 2010 SSS competition will receive five-year (60-month) grant awards that will commence September 1, 2010.

6. Consistent with the HEA, applicants may submit multiple SSS program applications to address the needs of different campuses of a single institution or to address the needs of the different populations that have been identified in this application (e.g., students with disabilities; students for whom English is a second language; students entering specific disciplines of study) as appropriate recipients for project services as defined by the program regulations.

7. The HEA **prescribes a list of required services** that each applicant must include in the plan of operation and also provides a list of permissible services that an applicant may include in the plan of operation to the extent that they are viable and serve the needs identified for the student population to be served by the project.

8. All applicants must complete the new SSS Program Profile. The SSS Program Profile contains standardized objectives relative to the program and other information that is needed by the Department as a result of the HEOA. All applicants are required to propose the percentage at which each of the applicable objectives will be met.

In the Project Narrative, you must address each of the appropriate objectives, and explain how the objective is ambitious and attainable. Applicants should use comparative data to show why the proposed percentages are ambitious based on information provided in the Need section of the Project Narrative and attainable based on the information provided in the Plan of Operation and the resources available to the project. Applicants may not modify, amend or delete any of these objectives.

9. All applicants must provide a one-page abstract. Complete instructions for submitting the abstract are included in the Instructions for Completing the Application Package.

10. Information on the SSS Program is accessible at the Department's Web site at: http://www.ed.gov/programs/triostudsupp/index.html.

INTRODUCTION
STUDENT SUPPORT SERVICES PROGRAM

AUTHORIZATION

Title IV, Part A, Subpart 2, Section 402D of the Higher Education Act of 1965, as amended

PROGRAM REGULATIONS

34 CFR part 646 Student Support Services Program

PURPOSE

The Student Support Services program provides opportunities for academic development, assists students with basic college requirements, and serves to motivate students toward the successful completion of their postsecondary education. SSS projects also may provide grant aid to current participants who are receiving Federal Pell Grants. The goal of the SSS Program is to increase the college retention and graduation rates of participants and help students make the transition from one level of higher education to the next.

ELIGIBLE APPLICANTS

The following are eligible to apply for a grant to carry out a SSS Program project:

(a) Institutions of higher education
(b) Combinations of institutions of higher education.

ACTIVITIES FUNDED UNDER THIS PROGRAM

Required Services.--A project assisted under this section shall provide—

(1) academic tutoring, directly or through other services provided by the institution, to enable students to complete postsecondary courses, which may include instruction in reading, writing, study skills, mathematics, science, and other subjects;
(2) advice and assistance in postsecondary course selection;
(3)(A) information on both the full range of Federal student financial aid programs and benefits (including Federal Pell Grant awards and loan forgiveness) and resources for locating public and private scholarships; and
(B) assistance in completing financial aid applications, including the Free Application for Federal Student Aid described in section 483(a);
(4) education or counseling services designed to improve the financial literacy and economic literacy of students, including financial planning for postsecondary education;
(5) activities designed to assist students participating in the project in applying for admission to, and obtaining financial assistance for enrollment in, graduate and professional programs; and
(6) activities designed to assist students enrolled in two-year institutions of higher education in applying for admission to, and obtaining financial assistance f or enrollment in, a four-year program of postsecondary education.

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

(1) individualized counseling for personal, career, and academic matters

(2) provided by assigned counselors;
(3) information, activities, and instruction designed to acquaint students
(4) participating in the project with the range of career options available to the students;
(3) exposure to cultural events and academic programs not usually available to disadvantaged students;
(4) mentoring programs involving faculty or upper class students, or a combination thereof;
(5) securing temporary housing during breaks in the academic year for--
(A) students who are homeless children and youths (as such term is defined in section 725 of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a)) or were formerly homeless children and youths; and
(B) students who are in foster care or are aging out of the foster care system; and
(5) programs and activities as described in subsection (b) or paragraphs (1)
(6) through (4) of this subsection that are specially designed for students who are limited English proficient, students from groups that are traditionally underrepresented in postsecondary education, students with disabilities, students who are homeless children and youths (as such term is defined in section 725 of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a)), students who are in foster care or are aging out of the foster care system, or other disconnected students;

IMPORTANT – PLEASE READ FIRST

U.S. Department of Education

e-Application Submission Procedures and Tips for Applicants

http://e-grants.ed.gov

To facilitate your use of e-Application, this document includes important application preparation and 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. Please read and follow these step-by-step directions to create and submit your application.

ATTENTION

Applicants using the Department of Education's e-Application system will need to register first to access an application package. Forms in an application package are completed on line and narratives are uploaded while logged into the system. Therefore, allow sufficient time to complete your application before the closing date. If you have not used e-Application in the past, you may want to walk through the Demo available on the e-Application homepage. If you encounter difficulties, you may also contact the e-Grants helpdesk on 1-888-336-8930. The following are steps you should follow to successfully complete an application with e-Application.

Step 1 – **Determine** if your program is accepting electronic applications. The Federal Register Notice of each program will indicate whether the program is accepting e-Applications as part of the Department's e-Application program. Here is a link to the Department's Federal Register notices: http://www.ed.gov/news/fedregister/announce/index.html. Additional information on the Department's of Education's grant programs can be found at http://www.ed.gov/about/offices/list/ocfo/grants/grants.html.

Step 2 – **Register in e-Application** to access the application package. If you are a new user, you will need to register to use e-Application. From the e-Grants Portal Page http://e-grants.ed.gov/, click on the continue button and click the register button on the right side of the next page. Select the e-Application module and click the next button. Please provide the requested information. Your e-Grants password will be sent to the e-mail address you provide. Once you receive the e-mail, enter your username and password and click the login button.

If you already have a username and password for e-Grants, use them to login. If you have access to more than one e-Grants module, you will be directed to select which module you wish to enter. Keep in mind that this username and password will be used for all e-Grants modules. In order to update your registration for additional e-Grants modules, click the appropriate tab on the top of the screen and provide the requested information.

Note the following browser compatibility problems. The site is viewed best in Internet Explorer 5. We currently support IE 5, Netscape 6.2, Firefox 2.2 (along with later versions of IE, Netscape and Firefox). Please make sure that you have **Cookies** and **JavaScript** enabled in your browser.

Step 3 - **Add Application Package to your Start Page**. From your Start Page, click on the "Add" button to see the list of application packages. Click on a specific package link on the List of Application Packages to apply. The package will now appear on your Start Page. From this point forward, you will access your unique application from your Start Page (not the Packages Page).

Step 4 - **Begin the Application**. Click on the underlined Application Package Title on your Start Page. This brings you to a page where you will see all of the application's forms and narratives listed as underlined links.

Step 5 - **Fill out Forms**. Enter a form by clicking on the underlined form title in order to enter data. Remember to click the "Save" button at the bottom of the form and check the "Form Completed" box for each form as you complete it.

Step 6 - **Upload File(s) for Narrative Responses**. Click on an underlined narrative form title for the e-Application. Enter the title of the document, and click on the "Browse" button to locate your file. Remember to click the "Save" button after you upload the document and check the "Form Completed" box when you finish uploading your file(s). Please note for file uploads, we accept .doc, .rtf, and .pdf files only. If you are using Word 2007, please save your document in a lower version of Word before uploading into e-Application.

Step 7 - **Verify Information/Print Application**. Verify your information is complete and correct on all required forms and narratives. You have the option to print each form at any time by clicking on the print/view icon

next to the appropriate form. After submission of the forms and narratives, you have the option to print a complete e-Application package in PDF by clicking on the "Request Complete Package in PDF" on the e-Application PR/Award page. A second window will open informing you that your request has been received and that you will be notified via email once it is available. This process can take anywhere from a few minutes to a few hours. Once you receive the email, click on the link in the text of the message and enter your username and password in the new window. This will open the PDF file from which you can view/print the entire package. In addition, a blank complete package in PDF will be accessible from the package page in e-Application.

Step 8 - **Submit your Application**. Only authorized individuals for your organization can submit an application. Please check with your certifying official or sponsored research office before submission. Click on the "Ready to submit" button at the bottom of your application. Enter and verify the Authorizing Representative information. Click the "Submit" button. You will receive an e-mail to confirm that your application was received, and it will include a unique application number. Please print and keep this e-mail for your records. [Reminder: applications must be submitted before 4:30:00 pm, Washington, D.C. time, on the deadline date for applications. e-Application will not accept your application if you try to submit it after 4:30:00 on the deadline date.]

Step 9 - **Fax the signed SF 424 Cover Page (or Program Specific Cover Page)**. Write your unique application number (received in step 8) on the upper right corner of your printed SF 424 Cover Page (or Program Specific Cover Page), and fax it to the Application Control Center (202) 245-6272 within 3 business days of submitting your e-Application.

NOTE: For more detailed information on submitting an e-Application, please see the **User Guide**. In addition, please try practicing with our e-Application Demo site by clicking on the Demo button found on the upper left corner of the e-Application Home Page. Both the User Guide and Demo can be found at http://e-grants.ed.gov.

Other Submission Tips

1) **SUBMIT EARLY – We strongly recommend that you do not wait until the last day to submit your application.** The time it takes to upload the narratives for your application will vary depending on a number of factors including the size of the files and the speed of your Internet connection. If you try to submit your application after 4:30:00 on the deadline date, the e-Application system will not accept it.

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

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

3) 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:

1. Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to a lower version of Word before uploading. Also, do not upload any password protected files to your application.
2. When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend you keep your file names to less than 50 characters. In addition, applicants should avoid including special characters in their file names (for example, %, *, /, etc.) Both of these conditions (lengthy file names and/or special characters including in the file names) could result in difficulties opening and processing a submitted application.
3. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. Please note that each file attachment in e-Application has a file size limitation which is anywhere from 2 to 8 MB and the limitation will be indicated on the individual screen when you upload a file. For reference, however, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the size of your attachments before uploading them into e-Application.

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APPLICATION TRANSMITTAL INSTRUCTIONS

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

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

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

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

Applications Submitted Electronically

You must submit your grant application through the Internet using the software provided on the e-Grants Web site (http://e-grants.ed.gov) by 4:30:00 p.m. (Washington, D.C. time) on or before the deadline date. The regular hours of operation of the e-Grants website are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until midnight Saturday (Washington, DC time). Please note that the system is unavailable on Sundays, and afer 7:00 p.m. on Wednesdays for maintenance (Washington, DC time). Any modifications to these hours are posted on the e-Grants Web site.

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

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

Submission of Paper Applications by Mail:

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

U.S. Department of Education
Application Control Center
Attention: (CFDA Number *84.042*)
LBJ Basement Level 1
400 Maryland Avenue, SW
Washington, DC 20202-4260

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

If you mail your application through the U.S. Postal Service, we do **not** accept either of the following as proof of mailing:
(1) A private metered postmark.

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

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

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

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

U.S. Department of Education
Application Control Center
Attention: (CFDA Number *84.042)*
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.
Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department--
(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and
(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

Notice Extending the Deadline Dates

4000-01-U

DEPARTMENT OF EDUCATION

Student Support Services (SSS) Program

CFDA No. 84.042A

ACTION: Extension; Notice extending the deadline dates.

SUMMARY: We extend the Deadline for Transmittal of Applications and the Deadline for Intergovernmental Review dates in the notice published on October 22, 2009 (74 FR 54554-54558).

SUPPLEMENTARY INFORMATION: On October 22, 2009, we published a notice in the Federal Register (74 FR 54554) inviting applications for new awards for fiscal year (FY) 2010 for the Student Support Services (SSS) Program. The Deadline for Transmittal of Applications date, as published on pages 54554 and 54555, has been extended to December 14, 2009. The Deadline for Intergovernmental Review date, as published on pages 54554 and 54556, has been extended to February 10, 2010.

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

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

Individuals with disabilities can obtain this document in an accessible format (e.g., braille, large print, audiotape, or computer diskette) on request to the program contact person listed under FOR FURTHER INFORMATION CONTACT.

Electronic Access to This Document: You can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

www.ed.gov/news/fedregister

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at: www.gpoaccess.gov/nara/index.html

Delegation of Authority: The Secretary of Education has delegated authority to Daniel T. Madzelan, Director, Forecasting and Policy Analysis for the Office of Postsecondary Education, to perform the functions and duties of the Assistant Secretary for Postsecondary Education.

Dated:

_____signed_____
Daniel T. Madzelan,
Director,
Forecasting and Policy Analysis.

Notice Inviting Applications for New Awards

4000-01-U

DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

Student Support Services (SSS) Program

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

Catalog of Federal Domestic Assistance (CFDA) Number: 84.042A

Dates:

Applications Available: October 22, 2009.

Deadline for Transmittal of Applications: December 7, 2009.

Deadline for Intergovernmental Review: February 2, 2010.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The purpose of the SSS Program is to increase the number of disadvantaged low-income college students, first generation college students, and college students with disabilities in the United States who

successfully complete a program of study at the postsecondary level. The support services provided should increase the retention and graduation rates for these students and facilitate their transfer from two-year to four-year colleges and universities. The support services provided should also foster an institutional climate supportive of the success of students who are limited English proficient, students from groups that are traditionally underrepresented in postsecondary education, students with disabilities, students who are homeless children and youths, students who are in foster care or are aging out of the foster care system, and other disconnected students. Student Support Services should also improve the financial and economic literacy of students.

Program Authority: 20 U.S.C. 1070a-11 and 20 U.S.C. 1070a-14.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 82, 84, 85, 86, 97, 98 and 99. (b) The regulations for this program in 34 CFR part 646.

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

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

Note: The regulations in 34 CFR part 646 apply to this competition except to the extent such regulations conflict with sections 402A and 402D of the Higher Education Act of 1965, as amended by the Higher Education Opportunity Act of 2008 (HEA).

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: The Administration has requested $848,089,000 to fund the Federal TRIO Programs, of which, $268,905,822 has been allocated for

new awards for the SSS Program for FY 2010. The actual level of funding, if any, depends on final congressional action. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for the Federal TRIO Programs.

Estimated Range of Awards: $220,000-$360,000.

Estimated Average Size of Awards: $308,732.

Maximum Award: We will reject any application that proposes a budget exceeding the maximum amount listed for a single budget period of 12 months.

FOR APPLICANTS NOT CURRENTLY RECEIVING A SSS PROGRAM GRANT

Type of Project	Maximum Amount*
Regular SSS Project Serving a Minimum of 140 Student Participants	$220,000
Regular SSS Project Serving a Minimum of 100 Student Participants with Disabilities	$220,000
English as a Second Language (ESL) SSS Project Serving a Minimum of 140 Student Participants	$220,000
Science, Technology, Engineering and Mathematics (STEM) SSS Project Serving a Minimum of 120 Student Participants	$220,000
Health Sciences SSS Project Serving a Minimum of 120 Student Participants	$200,000
Teacher Preparation SSS Project Serving a Minimum of 140 Student Participants	$220,000

*Note: For any project that will serve less than the minimum number of student participants identified, the maximum award amount that may be requested is an amount equal to $1,500 per student participant.

FOR APPLICANTS CURRENTLY RECEIVING A SSS PROGRAM GRANT

The maximum award amount is the greater of:

(a) $220,000 or

(b) An amount equal to 103 percent of the applicant's base grant award amount for FY 2008 or 2009, whichever is greater.

Note 1: In calculating the applicant's base grant award amount for FY 2009, the one-time grant aid supplement awarded in FY 2009 cannot be added to the FY 2009 base grant award amount.

Note 2: For an applicant currently receiving an individual SSS program grant that has merged into another institution of higher education that is also receiving an individual SSS program grant, the maximum award amount for the applicant (the merged institution) is an amount equal to 103 percent of the combined FY 2008 or FY 2009 base grant award amounts for both institutions, whichever is greater

Estimated Number of New Awards: 871.

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

Project Period: Up to 60 months.

III. Eligibility Information

1. Eligible Applicants: Institutions of higher education or combinations of institutions of higher education.

2. Cost Sharing or Matching: Section 402D(d)(4) of the HEA requires that all successful applicants that use SSS Program funds to provide grant aid to students pursuant to section 402D(d)(1) of the HEA must provide matching funds, in cash, from non-Federal funds, in an amount that is not less than 33 percent of the total amount of the SSS Program funds used for this aid. This matching requirement does not apply to a grant recipient that is an institution of higher education eligible to receive funds under Part A or Part B of Title III or under Title V of the HEA.

3. Other: An applicant may submit multiple applications if each separate

Under section 402A(h)(2) of the HEA, the term “different population” means

IV. Application and Submission Information

1. Address to Request Application Package: Deborah Walsh, U.S. Department of Education, 1990 K Street, NW., room 7000, Washington, DC 20006-8510. Telephone: (202) 502-7600 or by e-mail: TRIO@ed.gov.

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

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

2. Content and Form of Application Submission:

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

Page Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the application narrative (Part III) to no more than 65 pages using the following standards:

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

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

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

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

The page limit does not apply to Part I, the Application for Federal Assistance Face Sheet (SF 424); Part II, the budget information summary form (ED Form 524); SSS Program Profile; the one-page Project Abstract narrative; and the assurances and certifications. The page limit also does not apply to a table of contents. If you include any attachments or appendices, these items will be counted as part of Part III, the application narrative, for purposes of the page-limit requirement. You must include your complete response to the selection criteria, which also includes the budget narrative in Part III, the application narrative.

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

3. Submission Dates and Times:

Applications Available: October 22, 2009.

Deadline for Transmittal of Applications: December 7, 2009.

Applications for grants under this program must be submitted electronically using the Electronic Grant Application System (e-Application) accessible through the Department's e-Grants site. For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 6. Other Submission Requirements of this notice.

We do not consider an application that does not comply with the deadline requirements.

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed

under For Further Information Contact of section VII of this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

Deadline for Intergovernmental Review: February 4, 2010.

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

5. Funding Restrictions: We specify unallowable costs in 34 CFR 646.31. We reference additional regulations outlining restrictions in the Applicable Regulations section of this notice.

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

a. Electronic Submission of Applications.

Applications for grants under the Student Support Services Program — CFDA Number 84.042A must be submitted electronically using e-Application, accessible through the Department's e-Grants Web site at: http://e-grants.ed.gov.

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

Requirement.

While completing your electronic application, you will be entering data online that will be saved into a database. You may not e-mail an electronic copy of a grant application to us.

Please note the following:

• You must complete the electronic submission of your grant application by 4:30:00 p.m., Washington, DC time, on the application deadline date. E-Application will not accept an application for this program [competition] after 4:30:00 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.

• The hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until 8:00 p.m. Sunday, Washington, DC time. Please note that, because of maintenance, the system is unavailable between 8:00 p.m. on Sundays and 6:00 a.m. on Mondays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time. Any modifications to these hours are posted on the e-Grants Web site.

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

• You must submit all documents electronically, including all information you typically provide on the following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text),

or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password protected file, we will not review that material.

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

• Prior to submitting your electronic application, you may wish to print a copy of it for your records.

• After you electronically submit your application, you will receive an automatic acknowledgment that will include a PR/Award number (an identifying number unique to your application).

• Within three working days after submitting your electronic application, fax a signed copy of the SF 424 to the Application Control Center after following these steps:

(1) Print SF 424 from e-Application.

(2) The applicant's Authorizing Representative must sign this form.

(3) Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the SF 424.

(4) Fax the signed SF 424 to the Application Control Center at (202) 245-6272.

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

Application Deadline Date Extension in Case of e-Application Unavailability: If you are prevented from electronically submitting your application on the application deadline date because e-Application is unavailable, we will grant you an extension of one business day to enable you to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if--

(1) You are a registered user of e-Application and you have initiated an electronic application for this competition; and

(2) (a) E-Application is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or

(b) E-Application is unavailable for any period of time between 3:30 p.m. and 4:30:00 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgment of any system unavailability, you may contact either (1) the person listed elsewhere in this notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930. If e-Application is unavailable due to technical problems with the system and, therefore, the application deadline is extended, an e-mail will be sent to all registered users who have initiated an e-Application. Extensions referred to in this section apply only to the unavailability of e-Application.

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

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to e-Application;

and

- No later than two weeks before the application deadline date (14 calendar days; or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day

following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevents you from using the Internet to submit your application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

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

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

b. Submission of Paper Applications by Mail.

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

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.042A)
LBJ Basement Level 1
400 Maryland Avenue, SW.
Washington, DC 20202-4260

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

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

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

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

carrier.

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

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

(1) A private metered postmark.

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

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

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

c. Submission of Paper Applications by Hand Delivery.

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

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.042A)
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

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

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

Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and

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

V. Application Review Information

1. Selection Criteria: The selection criteria for this program competition are in 34 CFR 646.21 and are listed in the application package. Note: Under the "Objectives" selection criterion, 34 CFR 646.21 (b), worth eight (8) points, applicants should address the standardized objectives in 34 CFR 646.21(a)(3) related to the participants' academic achievements, including retention, grade point average, graduation, and transfer. Applicants also should note that the graduation objective should be measured by cohorts of students who become SSS Program participants in each year of the project and should be compared to a relevant and valid comparison group. The graduation, certificate, and transfer rates for two-year institutions should be measured over a four-year period and that of four-year institutions should be measured over a six-year period.

2. Review and Selection Process: A panel of non-Federal readers will review each application in accordance with the selection criteria, pursuant to 34 CFR 646.21. The individual scores of the readers will be added and the sum divided by the number of readers to determine the reader score received in the review process. In accordance with 34 CFR 646.22, the Secretary will award prior experience points to applicants that have conducted a SSS Program project within the last three fiscal years, based on their

documented experience. Prior experience points, if any, will be added to the application's averaged reader score to determine the total score for each application. If there are insufficient funds for all applications with the same total scores, the Secretary will choose among the tied applications so as to serve geographical areas that have been underserved by the SSS Program.

VI. Award Administration Information

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

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

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

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

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

4. Performance Measures: The success of the SSS Program will be measured by the rates of SSS Program participants persisting in and completing postsecondary education at the grantee institution. All SSS Program grantees will be required to submit an annual performance report documenting the persistence and degree attainment of their participants. Since students may take different lengths of time to complete their degrees, multiple years of performance report data are needed to determine the degree completion rates of SSS Program participants. The Department of Education will aggregate the data provided in the annual performance reports from all grantees to determine the accomplishment level.

VII. Agency Contacts

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

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

VIII. Other Information

Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or computer diskette) on request to the program contact person listed under For Further Information Contact in section VII of this notice.

Electronic Access to This Document: You can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site: www.ed.gov/news/fedregister.

To use PDF you must have Adobe Acrobat Reader, which is available free at

this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at: www.gpoaccess.gov/nara/index.html.

Delegation of Authority: The Secretary of Education has delegated authority to Daniel T. Madzelan, Director, Forecasting and Policy Analysis for the Office of Postsecondary Education, to perform the functions and duties of the Assistant Secretary for Postsecondary Education.

Dated: October 16, 2009

_____signed_____
Daniel T. Madzelan,
Director,
Forecasting and Policy Analysis.

AUTHORIZING LEGISLATION

TITLE IV, Part A, Subpart 2, Section 402D of the Higher Education Act of 1965, as amended

CHAPTER I-FEDERAL TRIO PROGRAMS

SEC. 402A. [20 U.S.C.I070a-11] PROGRAM AUTHORITY; AUTHORIZATION OF APPROPRIATIONS.

(a) GRANTS AND CONTRACTS AUTHORIZED.-The Secretary shall, in accordance with the provisions of this chapter, carry out a program of making grants and contracts designed to identify qualified individuals from

disadvantaged backgrounds, to prepare them for a program of postsecondary education, to provide support services for such students who are pursuing programs of postsecondary education, to motivate and prepare students for doctoral programs, and to train individuals serving or preparing for service in programs and projects so designed.

(b) RECIPIENTS, DURATION, AND SIZE.

(1) RECIPIENTS.-For the purposes described in subsection (a), the Secretary is authorized, without regard to section 3709 of the Revised Statutes (41 U,S.C. 5), to make grants to, and contracts with, institutions of higher education, public and private agencies and organizations including community-based organizations with experience in serving disadvantaged youth, combinations of such institutions, agencies and organizations, and, as appropriate to the purposes of the program, secondary schools, for planning, developing, or carrying out one or more of the services assisted under this chapter.

(2) DURATION.-Grants or contracts made under this chapter shall be awarded for a period of 5 years, except that

(A) in order to synchronize the awarding of grants for programs under this chapter, the Secretary may, under such terms as are consistent with the purposes of this chapter, provide a one-time, limited extension of the length of such an award;

(B) grants made under section 402G shall be awarded for a period of 2 years; and

(C) grants under section 402H shall be awarded for a period determined by the Secretary.

(3) MINIMUM GRANTs.-Unless the institution or agency requests a smaller amount, an individual grant authorized under this chapter shall be awarded in an amount that is not less than $200,000, except that an individual grant authorized under section 402G shall be awarded in an amount that is not less than $170,000.

(c) PROCEDURES FOR AWARDING GRANTS AND CONTRACTS.

(1) APPLICATION REQUIREMENTS.-An eligible entity that desires to receive a grant or contract under this chapter shall submit an application to the Secretary in such manner and form, and containing such information and assurances, as the Secretary may reasonably require.

(2) CONSIDERATIONS.

(A) PRIOR EXPERIENCE.-In making grants under this chapter, the Secretary shall consider each applicant's prior experience of high quality service delivery, as determined under subsection (f), under the particular program for which funds are sought. The level of consideration given the factor of prior experience shall not vary from the level of consideration given such factor during fiscal years 1994 through 1997, except that grants made under section 402H shall not be given prior experience consideration.

(B) PARTICIPANT NEED.-In making grants under this chapter, the Secretary shall consider the number, percentages, and needs of eligible participants in the area, institution of higher education, or secondary school to be served to aid such participants in preparing for, enrolling in, or succeeding in postsecondary education, as appropriate to the particular program for which the eligible entity is applying.

(3) ORDER OF AWARDS; PROGRAM FRAUD.-{A) Except with respect to grants made under sections 402G and 402H and as provided in subparagraph (B), the Secretary shall award grants and contracts under this chapter in the

order of the scores received by the application for such grant or contract in the peer review process required under paragraph (4) and adjusted for prior experience in accordance with paragraph (2) of this subsection.

(B) The Secretary shall not provide assistance to a program otherwise eligible for assistance under this chapter, if the Secretary has determined that such program has involved the fraudulent use of funds under this chapter.

(4) PEER REVIEW PROCESS.---(A) The Secretary shall ensure that, to the extent practicable, members of groups underrepresented in higher education, including African Americans, Hispanics, Native Americans, Alaska Natives, Asian Americans, and Native American Pacific Islanders (including Native Hawaiians), are represented as readers of applications submitted under this chapter. The Secretary shall also ensure that persons from urban and rural backgrounds are represented as readers.

(B) The Secretary shall ensure that each application submitted under this chapter is read by at least three readers who are not employees of the Federal Government (other than as readers of applications).

(5) NUMBER OF APPLICATIONS FOR GRANTS AND CONTRACTS.-The Secretary shall not limit the number of applications submitted by an entity under any program authorized under this chapter if the additional applications describe programs serving different populations or different campuses.

(6) COORDINATION WITH OTHER PROGRAMS FOR DISADVANTAGED STUDENTS.-The Secretary shall encourage coordination of programs assisted under this chapter with other programs for disadvantaged students operated by the sponsoring institution or agency, regardless of the funding source of such programs. The Secretary shall not limit an entity's eligibility to receive funds under this chapter because such entity sponsors a program similar to the program to be assisted under this chapter, regardless of the funding source of such program. The Secretary shall permit the Director of a program receiving funds under this chapter to administer one or more additional programs for disadvantaged students operated by the sponsoring institution or agency, regardless of the funding sources of such programs. The Secretary shall, as appropriate, require each applicant for funds under the programs authorized by this chapter to identify and make available services under such program, including mentoring, tutoring, and other services provided by such program, to foster care youth (including youth in foster care and youth who have left foster care after reaching age 13) or to homeless children and youths as defined in section 725 of the McKinney-Vento Homeless Assistance Act.

(7) APPLICATION STATUS.-The Secretary shall inform each entity operating programs under this chapter regarding the status of their application for continued funding at least 8 months prior to the expiration of the grant or contract. The Secretary, in the case of an entity that is continuing to operate a successful program under this chapter, shall ensure that the start-up date for a new grant or contract for such program immediately follows the termination of the preceding grant or contract so that no interruption of funding occurs for such successful reapplicants. The Secretary shall inform each entity requesting assistance under this chapter for a new program regarding the status of their application at least 8 months prior to the proposed startup date of such program.

(8) REVIEW AND NOTIFICATION BY THE SECRETARY.

(A) GUIDANCE.-Not later than 180 days after the date of enactment of the Higher Education Opportunity Act, the Secretary shall issue nonregulatory guidance regarding the rights and responsibilities of applicants with respect to the application and evaluation process for programs and projects assisted under this chapter, including applicant access to peer review comments. The guidance shall describe the procedures for the submission, processing, and scoring of applications for grants under this chapter, including

(i) the responsibility of applicants to submit materials in a timely manner and in accordance with the processes established by the Secretary under the authority of the General Education Provisions Act;

(ii) steps the Secretary will take to ensure that the materials submitted by applicants are processed in a proper and timely manner;

(iii) steps the Secretary will take to ensure that prior experience points for high quality service delivery are awarded in an accurate and transparent manner

(iv) steps the Secretary will take to ensure the quality and integrity of the peer review process, including assurances that peer reviewers will consider applications for grants under this chapter in a thorough and complete manner consistent with applicable Federal law; and

(v) steps the Secretary will take to ensure that the final score of an application, including prior experience points for high quality service delivery and points awarded through the peer review process, is determined in an accurate and transparent manner.

(B) UPDATED GUIDANCE.-Not later than 45 days before the date of the commencement of each competition for a grant under this chapter that is held after the expiration of the l80-day period described in subparagraph (A), the Secretary shall update and publish the guidance described in such subparagraph.

(C) REVIEW.

(i) IN GENERAL.-With respect to any competition for a grant under this chapter, an applicant may request a review by the Secretary if the applicant

(l) has evidence of a specific technical, administrative, or scoring error made by the Department, an agent of the Department, or a peer reviewer, with respect to the scoring or processing of a submitted application; and

(II) has otherwise met all of the requirements for submission of the application.

(ii) TECHNICAL OR ADMINISTRATIVE ERROR.-In the case of evidence of a technical or administrative error listed in clause (i)(I), the Secretary shall review such evidence and provide a timely response to the applicant. If the Secretary determines that a technical or administrative error was made by the Department or an agent of the Department, the application of the applicant shall be reconsidered in the peer review process for the applicable grant competition.

(iii) SCORING ERROR.-In the case of evidence of a scoring error listed in clause (i)(I), when the error relates to either prior experience points for high quality service delivery or to the final score of an application, the Secretary shall
(I) review such evidence and provide a timely response to the applicant; and

(II) if the Secretary determines that a scoring error was made by the Department or a peer reviewer, adjust the prior experience points or final score of the application appropriately and quickly, so as not to interfere with the timely awarding of grants for the applicable grant competition.

(iv) ERROR IN PEER REVIEW PROCESS.

(I) REFERRAL TO SECONDARY REVIEW.-In the case of a peer review process error listed in clause (i)(I), if the Secretary determines that points were withheld for criteria not required in Federal statute, regulation, or guidance governing a program assisted under this chapter or the application for a grant for such program, or determines that information pertaining to selection criteria was wrongly determined missing from an application by a peer reviewer, then the Secretary shall refer the application to a secondary review panel.

(II) TIMELY REVIEW; REPLACEMENT SCORE.The secondary review panel described in subclause (I) shall conduct a secondary review in a timely fashion, and the score resulting from the secondary review shall replace the score from the initial peer review.

(III) COMPOSITION OF SECONDARY REVIEW PANEL.-The secondary review panel shall be composed of reviewers each of whom
(aa) did not review the application in the original peer review;
(bb) is a member of the cohort of peer reviewers for the grant program that is the subject of such secondary review; and
(cc) to extent practicable, has conducted peer reviews in not less than two previous competitions for the grant program that is the subject of such secondary review.

(IV) FINAL SCORE.-The final peer review score of an application subject to a secondary review under this clause shall be adjusted appropriately and quickly using the score awarded by the secondary review panel, so as not to interfere with the timely awarding of grants for the applicable grant competition.

(V) QUALIFICATION FOR SECONDARY REVIEW.To qualify for a secondary review under this clause, an applicant shall have evidence of a scoring error and demonstrate that-
(aa) points were withheld for criteria not required in statute, regulation, or guidance governing the Federal TRIO programs or the application for a grant for such programs; or
(bb) information pertaining to selection criteria was wrongly determined to be missing from the application.

(v) FINALITY.

(l) IN GENERAL.-A determination by the Secretary under clause (i), (ii), or (iii) shall not be reviewable by any officer or employee of the Department.

(II) SCORING.-The score awarded by a secondary review panel under clause (iv) shall not be reviewable by any officer or employee of the Department other than the Secretary.

(vi) FUNDING OF APPLICATIONS WITH CERTAIN ADJUSTED SCORES.-To the extent feasible based on the availability of appropriations, the Secretary shall fund applications with scores that are adjusted upward under clauses (ii), (iii), and (iv) to equal or exceed the minimum cut off score for the applicable grant competition.

(d) OUTREACH.

(1) IN GENERAL.-The Secretary shall conduct outreach activities to ensure that entities eligible for assistance under this chapter submit applications proposing programs that serve geographic areas and eligible populations which have been underserved by the programs assisted under this chapter.

(2) NOTICE.-In carrying out the provisions of paragraph (1), the Secretary shall notify the entities described in subsection (b) of the availability of assistance under this subsection not less than 120 days prior to the deadline for submission of applications under this chapter and shall consult national, State, and regional organizations about candidates for notification.

(3) TECHNICAL ASSISTANCE.-The Secretary shall provide technical training to applicants for projects and programs authorized under this chapter. The Secretary shall give priority to serving programs and projects that serve geographic areas and eligible populations which have been underserved by the programs assisted under this chapter. Technical training activities shall include the provision of information on authorizing legislation, goals and objectives of the program, required activities, eligibility requirements, the application process and application deadlines, and assistance in the development of program proposals and the completion of program applications. Such training shall be furnished at conferences, seminars, and workshops to be conducted at not less than 10 sites throughout the United States to ensure that all areas of the United States with large concentrations of eligible participants are served.

(4) SPECIAL RULE.-The Secretary may contract with eligible entities to conduct the outreach activities described in this subsection.

(e) DOCUMENTATION OF STATUS AS A LOW INCOME INDIVIDUAL.-{I) Except in the case of an independent student, as defined in section 480(d), documentation of an individual's status pursuant to subsection (h)(4) shall be made by providing the Secretary with

(A) a signed statement from the individual's parent or legal guardian;

(B) verification from another governmental source;

(C) a signed financial aid application; or

(D) a signed United States or Puerto Rico income tax return.

(2) In the case of an independent student, as defined in section 480(d), documentation of an individual's status pursuant to subsection (h)(4) shall be made by providing the Secretary with

(A) a signed statement from the individual;

(B) verification from another governmental source;

(C) a signed financial aid application; or

(D) a signed United States or Puerto Rico income tax return.

(3) Notwithstanding this subsection and subsection (h)(4), individuals who are foster care youth (including youth in foster care and youth who have left foster care after reaching age 13), or homeless children and youths' as defined in section 725 of the McKinney-Vento Homeless Assistance Act, shall be eligible to participate in programs under sections 402B, 402C, 402D, and 402F.

(f) OUTCOME CRITERIA.

(1) USE FOR PRIOR EXPERIENCE DETERMINATION.-For competitions for grants under this chapter that begin on or after January 1, 2009, the Secretary shall determine an eligible entity's prior experience of high quality service

delivery, as required under subsection (c)(2), based on the outcome criteria described in paragraphs (2) and (3).

(2) DISAGGREGATION OF RELEVANT DATA.-The outcome criteria under this subsection shall be disaggregated by low-income students, first generation college students, and individuals with disabilities, in the schools and institutions of higher education served by the program to be evaluated.

(3) CONTENTS OF OUTCOME CRITERIA.-The outcome criteria under this subsection shall measure, annually and for longer periods, the quality and effectiveness of programs authorized under this chapter and shall include the following:

(A) For programs authorized under section 402B, the extent to which the eligible entity met or exceeded the entity's objectives established in the entity's application for such program regarding

(i) the delivery of service to a total number of students served by the program;

(ii) the continued secondary school enrollment of such students;

(iii) the graduation of such students from secondary school With a regular secondary school diploma in the standard number of years;

(iv) the completion by such students of a rigorous secondary school program of study that will make such students eligible for programs such as the Academic Competitiveness Grants Program;

(v) the enrollment of such students in an institution of higher education; and

(vi) to the extent practicable, the postsecondary education completion of such students.

(B) For programs authorized under section 402C, the extent to which the eligible entity met or exceeded the entity's objectives for such program regarding-

(i) the delivery of service to a total number of students served by the program, as agreed upon by the entity and the Secretary for the period;

(ii) such students' school performance, as measured by the grade point average', or its equivalent;

(iii) such students' academic performance, as measured by standardized tests, including tests required by the students' State;

(iv) the retention in, and graduation from, secondary school of such students;

(v) the completion by such students of a rigorous secondary school program of study that will make such students eligible for programs such as the Academic Competitiveness Grants Program;

(vi) the enrollment of such students in an institution of higher education; and

(vii) to the extent practicable, the postsecondary education completion of such students.

(C) For programs authorized under section 402D

(i) the extent to which the eligible entity met or exceeded the entity's objectives regarding the retention in postsecondary education of the students served by the program;

(ii)(I) in the case of an entity that is an institution of higher education offering a baccalaureate degree, the extent to which the entity met or exceeded the entity's objectives regarding the percentage of such students' completion of the degree programs in which such students were enrolled; or

(II) in the case of an entity that is an institution of higher education that does not offer a baccalaureate degree, the extent to which such students met or exceeded the entity's objectives regarding

(aa) the completion of a degree or certificate by such students; and

(bb) the transfer of such students to institutions of higher education that offer baccalaureate degrees;

(iii) the extent to which the entity met or exceeded the entity's objectives regarding the delivery of service to a total number of students, as agreed upon by the entity and the Secretary for the period; and

(iv) the extent to which the entity met or exceeded the entity's objectives regarding the students served under the program who remain in good academic standing.

(D) For programs authorized under section 402E, the extent to which the entity met or exceeded the entity's objectives for such program regarding

(i) the delivery of service to a total number of students served by the program, as agreed upon by the entity and the Secretary for the period;

(ii) the provision of appropriate scholarly and research activities for the students served by the program;

(iii) the acceptance and enrollment of such students in graduate programs; and

(iv) the continued enrollment of such students in graduate study and the attainment of doctoral degrees by former program participants.

(E) For programs authorized under section 402F, the extent to which the entity met or exceeded the entity's objectives for such program regarding

(i) the enrollment of students without a secondary school diploma or its recognized equivalent, who were served by the program, in programs leading to such diploma or equivalent;

(ii) the enrollment of secondary school graduates who were served by the program in programs of postsecondary education;

(iii) the delivery of service to a total number of students served by the program, as agreed upon by the entity and the Secretary for the period; and

(iv) the provision of assistance to students served by the program in completing financial aid applications and college admission applications.

(4) MEASUREMENT OF PROGRESS.-In order to determine the extent to which each outcome criterion described in paragraph (2) or (3) is met or exceeded, the Secretary shall compare the agreed upon target for the criterion, as established in the eligible entity's application approved by the Secretary, with the results for the criterion, measured as of the last day of the applicable time period for the determination for the outcome criterion.

(g) AUTHORIZATION OF APPROPRIATIONS.-For the purpose of making grants and contracts under this chapter, there are authorized to be appropriated $900,000,000 for fiscal year 2009 and such sums as may be necessary for each of the five succeeding fiscal years. Of the amount appropriated under this chapter, the Secretary may use no more than 1/2 of 1 percent of such amount to obtain additional qualified readers and additional staff to review applications, to increase the level of oversight monitoring, to support impact studies, program assessments and reviews, and to provide technical assistance to potential applicants and current grantees. In expending these funds, the Secretary shall give priority to the additional administrative requirements provided in the Higher Education Amendments of 1992, to outreach activities, and to obtaining additional readers.

(h) DEFINITIONS.-For the purpose of this chapter:

(1) DIFFERENT CAMPUS.-The term "different campus" means a site of an institution of higher education that

(A) is geographically apart from the main campus of the institution;

(B) is permanent in nature; and

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

(2) DIFFERENT POPULATION.-The term "different population" means a group of individuals that an eligible entity desires to serve through an application for a grant under this chapter, and that

(A) is separate and distinct from any other population that the entity has applied for a grant under this chapter to serve; or

(B) while sharing some of the same needs as another population that the eligible entity has applied for a grant under this chapter to serve, has distinct needs for specialized services.

(3) FIRST GENERATION COLLEGE STUDENT.-The term "first generation college student" means

(A) an individual both of whose parents did not complete a baccalaureate degree; or

(B) in the case of any individual who regularly resided with and received support from only one parent, an individual whose only such parent did not complete a baccalaureate degree.

(4) LOW-INCOME INDIVIDUAL.-The term "low-income individual" means an individual from a family whose taxable income for the preceding year did not exceed 150 percent of an amount equal to the poverty level determined by using criteria of poverty established by the Bureau of the Census.

(5) VETERAN ELIGIBILITY.-No veteran shall be deemed ineligible to participate in any program under this chapter by reason of such individual's age who

(A) served on active duty for a period of more than 180 days and was discharged or released there from under conditions other than dishonorable;

(B) served on active duty and was discharged or released there from because of a service connected disability;

(C) was a member of a reserve component of the Armed Forces called to active duty for a period of more than 30 days; or

(D) was a member of a reserve component of the Armed Forces who served on active duty in support of a contingency operation (as that term is defined in section 101(a)(13) of title 10, United States Code) on or after September 11, 200l.

(6) WAIVER.-The Secretary may waive the service requirements in subparagraph (A), (B), or (C) of paragraph (5) if the Secretary determines the application of the service requirements to a veteran will defeat the purpose of a program under this chapter.

SEC. 402D. [20 U.S.C. 1070a-14] STUDENT SUPPORT SERVICES.

(a) PROGRAM AUTHORITY.-The Secretary shall carry out a program to be known as student support services which shall be designed-.

(1) to increase college retention and graduation rates for eligible students;

(2) to increase the transfer rates of eligible students from 2-year to 4-year institutions;

(3) to foster an institutional climate supportive of the success of students who are limited English proficient, students from groups that are traditionally underrepresented in postsecondary education, students with disabilities, students who are homeless children and youths (as such term is defined in section 725 of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a)), students who are in foster care or are aging out of the foster care system, or other disconnected students; and

(4) to improve the financial literacy and economic literacy of students, including

(A) basic personal income, household money management, and financial planning skills; and

(B) basic economic decisionmaking skills.

(b) REQUIRED SERVICES.-A project assisted under this section shall provide-

(1) academic tutoring, directly or through other services provided by the institution, to enable students to complete postsecondary courses, which may include instruction in reading, writing, study skills, mathematics, science, and other subjects;

(2) advice and assistance in postsecondary course selection;

(3)(A) information on both the full range of Federal student financial aid programs and benefits (including Federal Pell Grant awards and loan forgiveness) and resources for locating public and private scholarships; and

(B) assistance in completing financial aid applications, including the Free Application for Federal Student Aid described in section 483(a);

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

(5) activities designed to assist students participating in the project in applying for admission to, and obtaining financial assistance for enrollment in, graduate and professional programs; and

(6) activities designed to assist students enrolled in twoyear institutions of higher education in applying for admission to, and obtaining financial assistance for enrollment in, a fouryear program of postsecondary education.

(c) PERMISSIBLE SERVICES.-A project assisted under this section may provide services such as

(1) individualized counseling for personal, career, and academic matters provided by assigned counselors;

(2) information, activities, and instruction designed to acquaint students participating in the project with the range of career options available to the students;

(3) exposure to cultural events and academic programs not usually available to disadvantaged students;

(4) mentoring programs involving faculty or upper class students, or a combination thereof;

(5) securing temporary housing during breaks in the academic year for

(A) students who are homeless children and youths (as such term is defined in section 725 of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a)) or were formerly homeless children and youths; and

(B) students who are in foster care or are aging out of the foster care system; and

(6) programs and activities as described in subsection (b) or paragraphs

(1) through (4) of this subsection that are specially designed for students who are limited English proficient, students from groups that are traditionally underrepresented in postsecondary education, students with disabilities, students who are homeless children and youths (as such term is defined in section 725 of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a)), students who are in foster care or are aging out of the foster care system, or other disconnected students.

(d) SPECIAL RULE.

(1) USE FOR STUDENT AID.-A recipient of a grant that undertakes any of the permissible services identified in subsection (c) may, in addition, use such funds to provide grant aid to students. A grant provided under this paragraph shall not exceed the maximum appropriated Pell Grant or, be less than the minimum appropriated Pell Grant, for the current academic year. In making grants to students under this subsection, an institution shall ensure that adequate consultation takes place between the student support service program office and the institution's financial aid office.

(2) ELIGIBLE STUDENTS.-For purposes of receiving grant aid under this subsection, eligible students shall be current participants in the student support services program offered by the institution and be

(A) students who are in their first 2 years of postsecondary education and who are receiving Federal Pell Grants under subpart 1; or

(B) students who have completed their first 2 years of postsecondary education and who are receiving Federal Pell Grants under subpart 1 if the institution demonstrates to the satisfaction of the Secretary that

(i) these students are at high risk of dropping out; and

(ii) it will first meet the needs of all its eligible first-and second-year students for services under this paragraph.

(3) DETERMINATION OF NEED.-A grant provided to a student under paragraph (1) shall not be considered in determining that student's need for grant or work assistance under this title, except that in no case shall the total amount

of student financial assistance awarded to a student under this title exceed that student's cost of attendance, as defined in section 472.

(4) MATCHING REQUIRED.-A recipient of a grant who uses such funds for the purpose described in paragraph (1) shall match the funds used for such purpose; in cash, from non-Federal funds, in an amount that is not less than 33 percent of the total amount of funds used for that purpose. This paragraph shall not apply to any grant recipient that is an institution of higher education eligible to receive funds under part A or B of title III or title V.

(5) RESERVATION.-In no event may a recipient use more than 20 percent of the funds received under this section for grant aid.

(6) SUPPLEMENT, NOT SUPPLANT.-Funds received by a grant recipient that are used under this subsection shall be used to supplement, and not supplant, non-Federal funds expended for student support services programs.

(e) REQUIREMENTS FOR APPROVAL OF APPLICATIONS.-In approving applications for projects under this section for any fiscal year, the Secretary shall

(1) require an assurance that not less than two-thirds of the persons participating in the project proposed to be carried out under any application

(A) be individuals with disabilities; or

(B) be low-income individuals who are first generation college students;

(2) require an assurance that the remaining students participating in the project proposed to be carried out under any application be low-income individuals, first generation college students, or individuals with disabilities;

(3) require an assurance that not less than one-third of the individuals with disabilities participating in the project be low-income individuals;

(4) require that there be a determination by the institution, with respect to each participant in such project, that the participant has a need for academic support in order to pursue successfully a program of education beyond secondary school;

(5) require that such participants be enrolled or accepted for enrollment at the institution which is the recipient of the grant or contract; and

(6) consider, in addition to such other criteria as the Secretary may prescribe, the institution's effort, and where applicable past history, in

(A) providing sufficient financial assistance to meet the full financial need of each student in the project; and

(B) maintaining the loan burden of each such student at a manageable level.

STUDENT SUPPORT SERVICES
PROGRAM REGULATIONS

NOTE: The Department of Education is engaged in negotiated rulemaking sessions which may impact these regulations. The final regulations will be communicated to you at a later date.

[Code of Federal Regulations]
[Title 34, Volume 3]
[Revised as of July 1, 2003]
From the U.S. Government Printing Office via GPO Access
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TITLE 34--EDUCATION

DEPARTMENT OF EDUCATION

PART 646--STUDENT SUPPORT SERVICES PROGRAM

Authority: 20 U.S.C. 1070a-11 and 1070a-14, unless otherwise noted.

Source: 61 FR 38537, July 24, 1996, unless otherwise noted.

Subpart A--General

Sec. 646.1 What is the Student Support Services Program?

The Student Support Services Program provides grants for projects designed to--

(a) Increase the retention and graduation rates of eligible students;

(b) Increase the transfer rate of eligible students from two-year to four-year institutions; and

(c) Foster an institutional climate supportive of the success of low-income and first generation college students and individuals with disabilities through services such as those described in Sec. 646.4.

(Authority: 20 U.S.C. 1070a-11 and 1070a-14)

Sec. 646.2 Who is eligible to receive a grant?

An institution of higher education or a combination of institutions of higher education is eligible to receive a grant to carry out a Student Support Services project.

(Authority: 20 U.S.C. 1070a-14)

Sec. 646.3 Who is eligible to participate in a Student Support Services project?

A student is eligible to participate in a Student Support Services project if the student meets all of the following requirements:

(a) Is a citizen or national of the United States or meets the residency requirements for Federal student financial assistance.

(b) Is enrolled at the grantee institution or accepted for enrollment in the next academic term at that institution.

(c) Has a need for academic support, as determined by the grantee, in order to pursue successfully a postsecondary educational program.

(d) Is--

(1) A low-income individual;

(2) A first generation college student; or

(3) An individual with disabilities.

(Authority: 20 U.S.C. 1070a-14)

Sec. 646.4 What activities and services may a project provide?

A Student Support Services project may provide services such as:

(a) Instruction in reading, writing, study skills, mathematics, and other subjects necessary for success beyond secondary school.

(b) Personal counseling.

(c) Academic advice and assistance in course selection.

(d) Tutorial services and counseling and peer counseling.

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

(f) Activities designed to acquaint students participating in the project with the range of career options available.

(g) Activities designed to secure admission and financial assistance for enrollment in graduate and professional programs.

(h) Activities designed to assist students currently enrolled in two-year institutions in securing admission and financial assistance for enrollment in a four-year program of postsecondary education.

(i) Mentoring programs involving faculty or upper class students, or any combination of faculty members and upper class students.

(j) Programs and activities as described in paragraphs (a) through (i) of this section that are specifically designed for students of limited English proficiency.

(k) Other activities designed to meet the purposes of the Student Support Services Program stated in Sec. 646.1.

(Authority: 20 U.S.C. 1070a-14)

Sec. 646.5 How long is a project period?

(a) Except as provided in paragraph (b) of this section, a project period under the Student Support Services Program is four years.

(b) The Secretary approves a project period of five years for applicants that score in the highest ten percent of all

applicants approved for new grants under the criteria in Sec. 646.21.

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

Sec. 646.6 What regulations apply?

The following regulations apply to the Student Support Services Program:
(a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 82, 85 and 86.
(b) The regulations in this part 646.

(Authority: 20 U.S.C. 1070a-11 and 1070a-14)

Sec. 646.7 What definitions apply?

(a) *Definitions in the Act*. The following terms used in this part are defined in sections 402(A)(g), 481, or 1201(a) of the Higher Education Act (HEA) of 1965, as amended:

First generation college student
Institution of higher education
Low-income individual

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

Applicant
Application
Award
Budget
Budget Period
Department
EDGAR
Equipment
Facilities
Fiscal year
Grant
Grant Period
Grantee
Project
Project period
Public
Secretary
Supplies

(c) *Other definitions*. The following definitions also apply to this part:
Academic need with reference to a student means a student whom the grantee determines needs one or more of the

services stated under Sec. 646.4 to succeed in a postsecondary educational program.

Combination of institutions of higher education means two or more institutions of higher education that have entered into a cooperative agreement for the purpose of carrying out a common objective, or an entity designated or created by a group of institutions of higher education for the purpose of carrying out a common objective on their behalf.

Different Campus means an institutional site that is geographically apart from and independent of the main campus of the institution. The Secretary considers a location of an institution to be independent of the main campus if the location--

(1) Is permanent in nature;

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

(3) Has its own faculty and administrative or supervisory organization; and

(4) Has its own budgetary and hiring authority.

Different population of participants means a group of--

(1) Low-income, first-generation college students; or

(2) Disabled students.

Individual with disabilities means a person who has a diagnosed physical or mental impairment that substantially limits that person's ability to participate in the educational experiences and opportunities offered by the grantee institution.

Limited English proficiency with reference to an individual, means a person whose native language is other than English and who has sufficient difficulty speaking, reading, writing, or understanding the English language to deny that individual the opportunity to learn successfully in classrooms in which English is the language of instruction.

Participant means an individual who--

(1) Is determined to be eligible to participate in the project under Sec. 646.3; and

(2) Receives project services that the grantee has determined to be sufficient to increase the individual's chances for success in a postsecondary educational program.

Sufficient financial assistance means the amount of financial aid offered a Student Support Services student, inclusive of Federal, State, local, private, and institutional aid which, together with parent or student contributions, is equal to the cost of attendance as determined by a financial aid officer at the institution.

(Authority: 20 U.S.C. 1070a-11 and 1070a-14)

Subpart B--How Does One Apply for an Award?

Sec. 646.10 How many applications for a Student Support Services award may an eligible applicant submit?

The Secretary accepts more than one application from an eligible applicant so long as each additional application describes a project that serves a different campus, or a different population of participants who cannot readily be served by a single project.

(Authority: 20 U.S.C. 1070a-11 and 1070a-14)

Sec. 646.11 What assurances must an applicant include in an application?

An applicant shall assure in its application that--

(a) At least two-thirds of the students it will serve in its Student Support Services project will be--

(1) Low-income individuals who are first generation college students; or

(2) Individuals with disabilities;

(b) The remaining students it will serve will be low-income individuals, first generation college students, or individuals with disabilities;

(c) Not less than one-third of the individuals with disabilities will be low-- income individuals; and

(d) Each student participating in the project will be offered sufficient financial assistance to meet that student's full financial need.

(Approved by the Office of Management and Budget under control number 1840-0017)

(Authority: 20 U.S.C. 1070a-14)

Subpart C--How Does the Secretary Make a Grant?

Sec. 646.20 How does the Secretary decide which new grants to make?

(a) The Secretary evaluates an application for a new grant as follows:
(1)(i) The Secretary evaluates the application on the basis of the selection criteria in Sec. 646.21.
(ii) The maximum score for all the criteria in Sec. 646.21 is 100 points. The maximum score for each criterion is indicated in parentheses with the criterion.
(2)(i) If an application for a new grant proposes to continue to serve substantially the same population or campus that the applicant is serving under an expiring grant, the Secretary evaluates the applicant's prior experience in delivering services under the expiring grant on the basis of the criteria in Sec. 646.22.
(ii) The maximum score for all the criteria in Sec. 646.22 is 15 points. The maximum score for each criterion is indicated in parentheses with the criterion.
(b) The Secretary makes new grants in rank order on the basis of the applications' total scores under paragraphs (a)(1) and (a)(2) of this section.
(c) If the total scores of two or more applications are the same and there is insufficient money available to fully fund them both after funding the higher-ranked applications, the Secretary chooses among the tied applications so as to serve geographic areas that have been underserved by the Student Support Services Program.
(d) The Secretary does not make grants to applicants that carried out a Federal TRIO program project that involved the fraudulent use of funds.

(Authority: 20 U.S.C. 1070a-11 and 1070a-14)

Sec. 646.21 What selection criteria does the Secretary use to evaluate an application?

The Secretary uses the following criteria to evaluate an application for a new grant:
(a) *Need for the project* (24 points). The Secretary evaluates the need for a Student Support Services project proposed at the applicant institution on the basis of the extent to which the application contains clear evidence of--
(1) (8 points) A high number or percentage, or both, of students enrolled or accepted for enrollment at the applicant institution who meet the eligibility requirements of Sec. 646.3;
(2) (8 points) The academic and other problems that eligible students encounter at the applicant institution; and
(3) (8 points) The differences between eligible Student Support Services students compared to an appropriate group, based on the following indicators:
(i) Retention and graduation rates.
(ii) Grade point averages.
(iii) Graduate and professional school enrollment rates (four-year colleges only).
(iv) Transfer rates from two-year to four-year institutions (two-year colleges only).
(b) *Objectives* (8 points). The Secretary evaluates the quality of the applicant's proposed project objectives on the basis of the extent to which they--
(1) (2 points) Include performance, process and outcome objectives relating to each of the purposes of the Student Support Services Program stated in Sec. 646.1;
(2) (2 points) Address the identified needs of the proposed participants;
(3) (2 points) Are clearly described, specific, and measurable; and
(4) (2 points) Are ambitious but attainable within each budget period and the project period given the project budget and other resources.
(c) *Plan of operation* (30 points). The Secretary evaluates the quality of the applicant's plan of operation on the basis of the following:

(1) (3 points) The plan to inform the institutional community (students, faculty, and staff) of the goals, objectives, and services of the project and the eligibility requirements for participation in the project.

(2) (3 points) The plan to identify, select, and retain project participants with academic need.

(3) (4 points) The plan for assessing each individual participant's need for specific services and monitoring his or her academic progress at the institution to ensure satisfactory academic progress.

(4) (10 points) The plan to provide services that address the goals and objectives of the project.

(5) (10 points) The applicant's plan to ensure proper and efficient administration of the project, including the organizational placement of the project; the time commitment of key project staff; the specific plans for financial management, student records management, and personnel management; and, where appropriate, its plan for coordination with other programs for disadvantaged students.

(d) *Institutional commitment* (16 points). The Secretary evaluates the institutional commitment to the proposed project on the basis of the extent to which the applicant has--

(1) (6 points) Committed facilities, equipment, supplies, personnel, and other resources to supplement the grant and enhance project services;

(2) (6 points) Established administrative and academic policies that enhance participants' retention at the institution and improve their chances of graduating from the institution;

(3) (2 points) Demonstrated a commitment to minimize the dependence on student loans in developing financial aid packages for project participants by committing institutional resources to the extent possible; and

(4) (2 points) Assured the full cooperation and support of the Admissions, Student Aid, Registrar and data collection and analysis components of the institution.

(e) *Quality of personnel* (9 points). To determine the quality of personnel the applicant plans to use, the Secretary looks for information that shows--

(1) (3 points) The qualifications required of the project director, including formal education and training in fields related to the objectives of the project, and experience in designing, managing, or implementing Student Support Services or similar projects;

(2) (3 points) The qualifications required of other personnel to be used in the project, including formal education, training, and work experience in fields related to the objectives of the project; and

(3) (3 points) The quality of the applicant's plan for employing personnel who have succeeded in overcoming barriers similar to those confronting the project's target population.

(f) *Budget* (5 points). The Secretary evaluates the extent to which the project budget is reasonable, cost-effective, and adequate to support the project.

(g) *Evaluation plan* (8 points). The Secretary evaluates the quality of the evaluation plan for the project on the basis of the extent to which--

(1) The applicant's methods for evaluation--

(i) (2 points) Are appropriate to the project and include both quantitative and qualitative evaluation measures; and

(ii) (2 points) Examine in specific and measurable ways, using appropriate baseline data, the success of the project in improving academic achievement, retention and graduation of project participants;
and

(2) (4 points) The applicant intends to use the results of an evaluation to make programmatic changes based upon the results of project evaluation.

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(Authority: 20 U.S.C. 1070a-14)

Sec. 646.22 How does the Secretary evaluate prior experience?

(a) In the case of an application described in Sec. 646.20(a)(2)(i), the Secretary reviews information relating to an applicant's performance under its expiring Student Support Services project. This information may come from performance reports, site visit reports, project evaluation reports, and any other verifiable information submitted by the

applicant.

(b) The Secretary evaluates the applicant's prior experience in achieving the goals of the Student Support Services Program on the basis of the following criteria:

(1) (4 points) The extent to which project participants persisted toward completion of the academic programs in which they were enrolled.

(2) (4 points) The extent to which project participants met academic performance levels required to stay in good academic standing at the grantee institution.

(3) (4 points) (i) For four-year institutions, the extent to which project participants graduated; and

(ii) For two-year institutions, the extent to which project participants either graduated or transferred to four-year institutions.

(4) (3 points) The extent to which the applicant has met the administrative requirements--including recordkeeping, reporting, and financial accountability--under the terms of the previously funded award.

(Approved by the Office of Management and Budget under control number 1840-0017)

(Authority: 20 U.S.C. 1070a-11 and 1070a-14)

Sec. 646.23 How does the Secretary set the amount of a grant?

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

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

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

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

(1) $170,000; or

(2) The amount requested by the applicant.

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

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

Sec. 646.30 What are allowable costs?

The cost principles that apply to the Student Support Services Program are in 34 CFR part 74, subpart Q. Allowable costs include the following if they are reasonably related to the objectives of the project:

(a) Cost of remedial and special classes if--

(1) These classes are not otherwise available at the grantee institution;

(2) Are limited to eligible project participants; and

(3) Project participants are not charged tuition for classes paid for by the project.

(b) Courses in English language instruction for students of limited English proficiency if these classes are limited to eligible project participants and not otherwise available at the grantee institution.

(c) In-service training of project staff.

(d) Activities of an academic or cultural nature, such as field trips, special lectures, and symposiums, that have as their purpose the improvement of the participants' academic progress and personal development.

(e) Transportation of participants and staff to and from approved educational and cultural activities sponsored by the project.

(f) Purchase of computer hardware, computer software, or other equipment to be used for student development, student records and project administration if the applicant demonstrates to the Secretary's satisfaction that the equipment is required to meet the objectives of the project more economically or efficiently.

(g) Professional development travel for staff if directly related to the project's overall purpose and activities, except that these costs may not exceed four percent of total project salaries. The Secretary may adjust this percentage if the applicant demonstrates to the Secretary's satisfaction that a higher percentage is necessary and reasonable.
(h) Project evaluation that is directly related to assessing the project's impact on student achievement and improving the delivery of services.

(Authority: 20 U.S.C. 1070a-14)

Sec. 646.31 What are unallowable costs?

Costs that may not be charged against a grant under the Student Support Services Program include, but are not limited to, the following:
(a) Costs involved in recruiting students for enrollment at the institution.
(b) Tuition, fees, stipends, and other forms of direct financial support for staff or participants.
(c) Research not directly related to the evaluation or improvement of the project.
(d) Construction, renovation, or remodeling of any facilities.

(Authority: 20 U.S.C. 1070a-14)

Sec. 646.32 What other requirements must a grantee meet?

(a) *Eligibility of participants*. (1) A grantee shall determine the eligibility of each participant in the project when the individual is selected to participate. The grantee does not have to revalidate a participant's eligibility after the participant's initial selection.
(2) A grantee shall determine the low-income status of an individual on the basis of the documentation described in section 402A(e) of the Higher Education Act.
(3) A grantee may not serve any individual who is receiving the same services from another Federal TRIO program.
(b) *Recordkeeping.* A grantee shall maintain participant records that show--
(1) The basis for the grantee's determination that each participant is eligible to participate in the project under Sec. 646.3;
(2) The grantee's basis for determining the academic need for each participant;
(3) The services that are provided to each participant; and
(4) The performance and progress of each participant by cohort for the duration of the participant's attendance at the grantee institution.
(c) *Project director*. (1) A grantee shall employ a full-time project director unless paragraph (c)(3) of this section applies.
(2) The grantee shall give the project director sufficient authority to administer the project effectively.
(3) The Secretary waives the requirement in paragraph (c)(1) of this section if the applicant demonstrates that the requirement will hinder coordination--
(i) Among the Federal TRIO programs; or
(ii) Between the programs funded under sections 404A through 410 of the Higher Education Act and similar programs funded through other sources.
(d) *Project coordination*. (1) The Secretary encourages grantees to coordinate project services with other programs for disadvantaged students operated by the grantee institution provided the Student Support Services grant funds are

not used to support activities reasonably available to the general student population
. (2) To the extent practical, the grantee may share staff with programs serving similar populations provided the grantee maintains appropriate records of staff time and effort and does not commingle grant funds.
(3) Costs for special classes and events that would benefit Student Support Services students and participants in other programs for disadvantaged students must be proportionately divided among the benefiting projects.

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

Federal TRIO Programs
2009 Annual Low Income Levels
(Effective January 23, 2009 Until Further Notice)

Size of Family Unit	48 Contiguous States, D.C., and Outlying Jurisdictions	Alaska	Hawaii
1	$16,245	$20,295	$18,690
2	$21,855	$27,315	$25,140
3	$27,465	$34,335	$31,590
4	$33,075	$41,355	$38,040
5	$38,685	$48,375	$44,490
6	$44,295	$55,395	$50,940
7	$49,905	$62,415	$57,390
8	$55,515	$69,435	$63,840

For family units with more than eight members, add the following amount for each additional family member: $5,610 for the 48 contiguous states, the District of Columbia and outlying jurisdictions; $7,020 for Alaska; and $6,450 for Hawaii.
The term "low-income individual" means an individual whose family's taxable income for the preceding year did not exceed 150 percent of the poverty level amount.
The figures shown under family income represent amounts equal to 150 percent of the family income levels established by the Census Bureau for determining poverty status. The poverty guidelines were published by the U.S. Department of Health and Human Services in the Federal Register, Vol. 74, No. 14, January 23, 2009, pp. 4,199-4,201.

INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS
EXECUTIVE ORDER 12372

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

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's

process under Executive Order 12372. A listing of the Single Point of Contact for each State may be viewed at: http://www.whitehouse.gov/omb/grants/spoc.html

SUPPLEMENTAL INFORMATION

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

1. Estimated Funding

- Estimated Available Funds for FY 2010: $271,567,000

- Estimated Range of Awards: $220,000 - $360,000 per year
- Estimated Average Size of Awards: $308,732
- Estimated Number of New Awards: 871

The Department is not bound by these estimates

2. Intergovernmental Review of Federal Programs

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

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

3. Length of New Award

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

4. SSS Program Assurances

All applications must comply with the SSS Program statutory and regulatory requirements. The assurances are included in the application package. By submitting a SSS Program application, an applicant certifies that it has read the assurances and will fully comply with the requirements.

5. SSS Program Profile

All applicants must provide the information requested on this form. The SSS Program Profile form contains standardized objectives. Applicants are required to propose the percentage at which each of the standardized objectives will be attained. On the SSS Profile form, you must fill in the blanks indicating the percentage level of achievement for each of the objectives. An applicant should complete either standardized objective three or four whichever applies to the sector designation of its respective institution. **You may not modify, amend or delete any of these objectives.**

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

6. Evaluation of Applications for Awards

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

All applications for grants under the SSS Program will be evaluated as new submissions according to the selection criteria listed in the program regulations (34 CFR 646.21).

7. Selection Criteria

The selection criteria in 34 CFR Part 646 are used to evaluate applications. The selection criteria and maximum possible points are included in the application package.

8. Applicant Funding

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

9. Prior Experience

In accordance with 34 CFR 646.22, the Secretary will award prior experience points to applicants that have conducted a TRIO SSS Program project during these fiscal years: 2006-07, 2007-08 and 2008-09. Based on the applicant's documented experience set forth in the annual performance reports, up to 15 prior experience points will be added to the application's averaged reader score to determine the total score for each application and the total score will be used in funding decisions as described in the Notice.

10. Selection of Grantees

The Secretary will select an application for funding in rank order, based on the application's total score for the selection criteria plus any prior experience points earned, pursuant to 34 CFR sections 646.20 through 646.22. If there are insufficient funds for all applications with the same total scores, the Secretary will choose among the tied applications so as to serve geographical areas that have been underserved by the SSS Program.

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

11. Expectations of Successful Grantees

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

The Department reserves the right to request modified measurement objectives for those projects that serve "different populations" to measure the progress of the specific subgroup designated in the

project application after the grant award has been made.

12. Notice to Unsuccessful Applicants

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

13. Annual Performance Report Requirements

If you receive a FY 2010 new grant award, you will be required to submit annual performance reports during the five-year funding cycle using the Education Department's on-line function. This on-line system collects data about funded projects to enable program specialists to determine if a grantee is making substantial progress toward meeting approved project objectives.

14. Contact Information.

For Student Support Services Program-related questions and assistance, please contact:

Program Specialist: Deborah Walsh
Address: Federal TRIO Programs
U.S. Department of Education
1990 K Street, N.W., Room 7000
Washington, D.C. 20006-8510
Telephone: (202) 502-7694
Fax: (202) 502-7857
E-mail Address: deborah.walsh@ed.gov

or

Program Specialist: Lavelle Redmond
Address: Federal TRIO Programs
U.S. Department of Education
1990 K Street, N.W., Room 7000
Washington, D.C. 20006-8510
Telephone: (202) 502-7674
Fax: (202) 502-7857
E-mail Address: lavelle.redmond@ed.gov

For e-Grants-related questions and assistance, please contact:

Support Desk: GAPS Hotline (Helpdesk)

Telephone: (888) 336-8930
Hours: Monday – Friday, 7:00 A.M. – 9:00 P.M. Eastern Time

Student Support Services Program Profile

Instructions: **All applicants must complete this form**. The completed form must be attached to the Other Attachments Form in the application package in e-Grants (as either a .doc, .rtf, or .pdf document) in the application. **DO NOT MODIFY OR AMEND THE CONTENTS OR LANGUAGE CONTAINED ON THIS FORM.**

1. Applicants currently funded under the Student Support Services Program (FY 2005-2010) must provide their current grant award number. This can be found in Block 5 of the Grant Award Notification.

New applicants should leave this item blank.

PR/Award Number (Current Grantees Only): P042A (05) (06) (07) (08)____ ____ ____

2. Institution (Legal Name): _____
(If this application is from an institution with multiple campuses, the name of the specific applying campus must be provided on the line above.)

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

Project Address: _____

_____
Street Address, City, State, Zip Code

4. Applicants that propose to serve multiple campuses under a single grant award must provide the names and locations of all campuses/locations that will be involved in this project. Please list each service area site:

Campuses/Locations:

#1 _____
Name
_____
City, County, State and Zip Code +4

#2 _____
Name
_____
City, County, State and Zip Code +4

#3 _____
Name
_____
City, County, State and Zip Code +4

5. All applicants must indicate the type of project they are proposing to conduct. Check only one. There can be no combinations of project types.

_____ Regular

_____ Disabled Only

_____ English as a Second Language (ESL)

_____ Science, Technology, Engineering and Math (STEM)

_____ Teacher Preparation K-12

_____ Health Sciences

(See below for a description of the types of projects that may be applied for under the SSS Program.)

SSS Project Types

These project types are provided to articulate the needs of eligible applicants serving regular, disabled and "different populations" under a separate and distinct application for specialized services. The types of specialized services may include: (1) English as a Second Language (ESL), (2) Science, Technology, Engineering and Math (STEM), (3) Teacher Preparation K-12, and (4) Health Sciences. As noted above, you may only check one line for a single project type to be served for each grant application.

Regular SSS Program projects provide services to low-income, first-generation and disabled students, which may include students from the different populations of students specified below.

Disabled SSS Program projects provide services only to students with disabilities, one third of which must also be low-income students."

English as a Second Language— "ESL" SSS Program projects provide services to low income, first-generation students or individuals with disabilities with a focus on students for whom English is a second language and/or who are of limited English proficiency.

Science, Technology, Engineering and Math (STEM)— "STEM" SSS Program projects provide services to low income, first-generation or individuals with disabilities with a focus on students pursuing disciplines in the following areas as well as other related fields including:

Physical Sciences, Engineering, Life Sciences, Math (e.g., number properties and operations, measurement, geometry, data analysis and probability, and
Algebra, and Technology) including technology literacy, hands on workshops, technological

innovations, scientific research, biotechnology, electronics, communications and health research.

Teacher Preparation K-12—Teacher Preparation K-12 SSS Program projects provide services to low income, first-generation or individuals with disabilities with a focus on students pursuing disciplines in the following areas as well as other related fields:

Test preparation to meet the teaching credential for certification and license; internships to learn effective teaching practices; mentoring to experience on-the-job training; technology to enable integration of technology into classroom instruction; diversity training to meet the needs of students (e.g. students who lack proficiency in English and culturally diverse students); methodology to increase the level of implementation of student performance assessment techniques and implementing state and district curriculum and performance standards; and teaching practices to affect special behavior problems.

Health Sciences—Health Sciences SSS Program projects provide services to low income, first generation students or individuals with disabilities with a focus on students pursuing disciplines in the following areas as well as other related fields:

Allied Heath Technologies and Services; Health Sciences; Hospital Administration; Kinesiology; Nursing; Pharmacy; Public Health; Rehabilitation Services and Counseling; Speech-Language Pathology and Audiology.

6**. Grant Aid to Students**. There is no separate funding for Grant Aid to Students. Providing Grant Aid to Students is not a program requirement for submitting an application under the SSS Program competition. However, successful applicants may use up to 20% of the total budget to cover the cost of grant aid. Applicants that plan to offer grant aid must provide the amount of funds they propose to use for Grant Aid to Students (consistent with the information provided on the proposed grant aid funding and methods for its distribution as discussed in the selection criteria under the Plan of Operation).

Note: Once an applicant has elected to participate in Grant Aid to Students, the Department will expect continued participation for the duration of the grant award cycle.

Grant Aid to Students: $_____

Institutional Match (33% - if required): $_____ Not Applicable ____

SSS Program Profile (*continued)*

If you are not required to match the Grant Aid to Students, please indicate the reason:

Eligible, at the time of the submission date of this application, to receive funds under --

_____Title III-Part A--Strengthening Institutions Program
_____Title III-Part B--Strengthening Historically Black Colleges
_____Title V--Strengthening Hispanic-serving Institutions

7. All applicants must provide the number of students they propose to serve each year.

Total Number of Proposed Student Participants to be served per year: /_____/

A. _____Low-Income and First-Generation
B. _____Low-Income
C. _____First-Generation
D. _____Disabled
E. _____Low-Income and Disabled

(Note: Two-thirds of the participants served in a special focus SSS project must also be low-income, first-generation or disabled students, of whom 1/3 must also be low-income.)

8. ***Program Objectives:***

Please fill in the proposed percent for each objective.
Note: These same objectives must be used in the Part III Project Narrative section of your application and may not be revised in your narrative discussion of proposed objectives or proposed evaluation.

Sector of Grantee Institution: (Check one only)

_____2-year public _____ 2-year private

_____4-year public _____4-year private

A. Persistence Rate: ____% of all participants served by the SSS project will persist from one academic year to the beginning of the next academic year or graduate and/or transfer from a 2-year to a 4-year institution during the academic year.

B. Good Academic Standing Rate: ____% of all enrolled participants served by the SSS project will meet the performance level required to stay in good academic standing at the grantee institution.

SSS Program Profile (*continued)*

C. Graduation and Transfer Rates (2-year institutions only):

1. ____ % of new participants served each year will graduate with an associate's degree or certificate within four (4) years,

AND

2. ____ % of new participants served each year will transfer with an associate's degree or certificate within four (4) years.

D. Graduation Rate (4-year institutions only):

____% of new participants served each year will graduate within six (6) years.

Note: A **new participant** is an individual who was served by the SSS project for the **first time** in the project year under consideration and who meets the definition of a participant as specified in 34 CFR 646.7(c) of the SSS program regulations.

Note: The Department reserves the right to request modified measurement objectives for those projects that serve "different populations" to measure the progress of the specific subgroup designated in the project application after the grant award has been made.

Part IV – Student Support Services Program Assurances

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

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

1. The applicant assures that at least two-thirds (2/3) of the students who will participate in the project will be individuals with disabilities, and/or low-income individuals who are also first-generation college students; and that at least one- third (1/3) of the student participants who are individuals with disabilities also will be low-income individuals.

2. The applicant assures that the remaining students participating in the project will be either low-income individuals, first generation college students, or individuals with disabilities.

3. The person whose signature appears below is authorized to sign this application and to commit the applicant to the above provisions.

4. The applicant assures that students served under the Student Support Services project at this institution shall receive the required services.

_____
Signature of Authorized Certifying Official

_____
Title of Authorized Certifying Official

_____ _____
Applicant Organization Date Signed

Part V -- Prior Experience

Prior Experience Objectives and Calculations For SSS Projects Operating in Project Years 2006-07, 2007-08 and 2008-09

Prior experience is based on the criteria contained in 34 CFR Part 646.22 Prior Experience (PE). PE points will be awarded under the FY 2010 competition to SSS projects that operated during the 2006-07; 2007-08 and 2008-09 program years. All information will be taken from the annual performance report (APR) submission for each project year under consideration.

The SSS PE criteria and point allocations are as follows for each year under consideration:

1.	Persistence	(maximum of 4 points)
2.	Good Academic Standing	(maximum of 4 points)
3.	Graduation/transfer	(maximum of 4 points)
4.	Administrative requirements	(maximum of 3 points)
	Total	**(maximum of 15 points)**

Note: SSS grantees may earn up to a maximum of 15 points for each year assessed. The final PE score is the average of the scores for the three years assessed.

1. **Persistence (maximum 4 points) -** The extent to which project participants persisted toward completion of the academic program in which they were enrolled at the grantee institution.

   Calculation:
   - The denominator is the greater of the actual number served or funded number to be served.
   - The numerator is the number enrolled in the Fall of the next academic year or graduated and/or transferred from a 2-year to a 4-year institution at the end of the reporting period.

2. **Good Academic Standing (maximum 4 points) -** The extent to which project participants met academic performance levels required to stay in good academic standing at the grantee institution.

   Calculation:
   - The denominator is the greater of the actual number served or funded number to be served.
   - The numerator is the number in good academic standing, which is based on the responses in the Academic Standing field.

NOTE: Two rates will be calculated based on whether: (1) the grantee served new summer only participants and (2) the grantee tracked and provided information on academic standing. The greater of the two rates is used to determine prior experience.

3. **Graduation/Transfer Completion** *at grantee institution* **(maximum 4 points)**.

For two-year institutions only: the extent to which project participants graduated and/or transferred to a four-year institution (within three years of first entering the SSS program).

Calculation:
The denominator is the number of new participants *ONLY*. The numerator is the number of participants who graduated with an associate's degree, graduated with an associate's degree and transferred from a 2-year to a 4-year institution, or transferred from a 2-year to a 4-year institution without an associate's degree within three years of first entry into the SSS project.

NOTE: Because grantees often provided conflicting information in the degree code, multiple fields were used depending on the APR year. In addition to using the degree code and Transfer field (for 2005-06 and beyond), to ascertain degree completion and/or transfer, fields containing information related to degree completion and transfer status such as Current Grade Level, End of Year Enrollment, etc., will also be used.

OR

For four-year institutions only: the extent to which project participants graduated (within six-years of first entering the SSS project).

Calculation:
For 4-year institutions the denominator is the number of new participants *ONLY*.

The numerator is the number of participants who graduated with a bachelor's degree or equivalent within six years of first entering the SSS project.

NOTE: Because grantees often provided conflicting information in the degree code, multiple fields were used depending on the APR year. In addition to using the degree code to ascertain degree completion, fields containing information related to degree completion such as Current Grade Level, End of Year Enrollment, etc., will also be used.

4. **Administrative Requirements (maximum 3 points)** - The extent to which the project has met the administrative requirements at the grantee institution. The conditions for the administrative requirements are as follows:

    - The project served the approved funded number of participants (i.e., actual number served must be greater than or equal to the number to be served)

    - At least two-thirds of project participants served were low-income and first- generation students, students with disabilities , and/or students with disabilities who are also low-income, **and**

    - At least one-third of project participants with disabilities were also low-income individuals.

Calculation:

- If the grantee did not serve any disabled students, then the grantee must meet the first two criteria;
- If the grantee served at least one disabled student, then the grantee must meet all three criteria.
- Fields used: Participant Status and Eligibility.

The due date for submitting performance reports for these years is now past. No changes or modifications to the information on file with the Department will be accepted.

Prior Experience for Successful Applicants Under the FY 2010 Competition

Please note that the prior experience assessment for applicants successful under the FY 2010 competition will be based on the outcome criteria outlined in section 402A(f)(3)(c) of the HEA. The new outcome criteria for the SSS Program are captured in the standardized objectives included on the SSS Program Profile.

INSTRUCTIONS FOR COMPLETING THE APPLICATION PACKAGE

The SSS Program application consists of the following four parts:

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

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 will only review the SF 424 and the specific items listed below.

Part II: **ED Form 524**
Department of Education Budget Summary Information on Non-Construction Programs (ED Form 524)

Part III: **Project Narrative**
ED Abstract Attachment
Table of Contents
Budget summary Form (ED Form 524)
SSS Project Narrative Attachment
SSS Program Profile
SSS Assurances
Assurances and Certifications
ED GEPA 427

*** All attachments must be in .DOC, .RTF, or .PDF format. Other types of files will not be accepted.**

The ED Abstract is where you attach the project abstract. This one-page abstract, which may be single-spaced, will not count against the 65-page limit you are allowed for your response to the selection criteria.

The Project Narrative Attachment is where you will attach the ***Part III – Project Narrative*** responses to the selection criteria that will be used to evaluate your submission for this competition. **This section has a strict 65-page limit,** excluding a *Table of Contents and other items specified in the Notice*. **Please see the Notice for detailed information on page limits**. You should include a *Table of Contents* for your application as the first page of this section. The *Table of Contents* will not count against the 65-page limit. **You will also include your budget narrative in this section as a part of the selection criteria, which does count as part of the 65-page limit.**

The Other Attachments is where you will attach the ***Student Support Services Program Profile form and the Student Support Services Assurances***

Part IV: Assurances, Certification, and Survey -

ED GEPA 427 Form

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

Lobbying Form (ED Form 80-0013)

Disclosure of Lobbying Activities (SF-LLL)

Survey Instructions on Ensuring Equal Opportunity for Applicants

INSTRUCTIONS FOR PROJECT NARRATIVE

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

The *Part III -- Project Narrative* is to be attached to the Project Narrative Attachment.

Before preparing the *Part III -- Project Narrative*, applicants should review the "Dear Applicant" letter, Competition Highlights, Notice, program statute, and program regulations for specific guidance and requirements. Note that applications will be evaluated according to the specific selection criteria specified in the Notice and this package.

The Secretary evaluates an application on the basis of the broad selection criteria in 34 CFR 646.21 of the SSS Program regulations as identified in this application (see the Authorizing Legislation and Regulations). The *Part III -- Project Narrative* should provide, in detail, the information that addresses the selection criteria. The maximum possible score for each category of the selection criteria is indicated in parenthesis below.

You must limit the *Part III -- Project Narrative* to 65 pages, double-spaced in 12-point font, and number the pages consecutively. The narrative should be written concisely. Only the required information should be submitted. If appendices or other supplemental materials are included, they will count as part of the 65-page limit. Please refer to the Notice (see Content and Form of Application Submission) for additional application submission requirements.

To facilitate the review of the application, provide responses to each of the following selection criteria in the following order:

1. PROJECT DESIGN

A. Need (34 CFR 646.21(a))	(24 points)
B. Objectives (34 CFR 646.21(b))	(8 points)
C. Plan of Operation (34 CFR 646.21(c))	(30 points)
D. Institutional Commitment (34 CFR 646.21(d))	(16 points)
E. Quality of Personnel (34 CFR 646.21(e))	(9 points)
F. Budget (34 CFR 646.21(f))	(5 points)
G. Evaluation Plan (34 CFR 646.21(g))	(8 points)
Total Maximum Score for Selection Criteria	100 points

Formatting

Double-space all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions; however, you may single space all text in charts, tables, figures and graphs. Applicants may use one of the following fonts: *Times New Roman, Courier, Courier New* or *Arial*, only. Applications submitted in any other font (including *Times Roman* and *Arial Narrow*) will not be accepted. Applicants must use a size 12 font or larger or no smaller than 10 pitch.

Include a *Table of Contents*: it will not be counted against the 65-page limit. Appendices and attachments should not be included, as these items will be counted as part of the 65-page limit.

Applicants are encouraged to include an identifying header or footer that contains the applicant's name and the page numbers. Applicants may use the one-inch (1") margin at either the top or bottom of each page for this

header or footer. The pages must be numbered in consecutive order.

The Project Narrative Attachment is limited to 65 pages. This section will include the discussion of the selection criteria. The page limit does not apply to:

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

The Notice contains specific instructions on page limits.

In the Part III -- Project Narrative, the applicant should address the selection criteria in the above order (A-G) because this is the order in which the Technical Review Form is organized. The Technical Review Form is used by the peer reviewers to evaluate applications.

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

(A) **Need**: In responding to this criterion, you must provide data to define the target population in terms of the academic, financial and other problems encountered by eligible project participants which prevent their completing undergraduate programs. Also, you must provide data to demonstrate that the proposed target population has an academic need for project services and is first generation and low income or individuals with disabilities.

(B) **Objectives:** All applicants must include the three appropriate standardized objectives as listed on the SSS Program Profile form. On the Profile form, you must fill in the blanks indicating the percentage level of achievement for each of these objectives. An applicant should complete the standardized objectives as appropriate to the sector designation of its respective institution. **These objectives may not be rewritten, restated or reworded.**

In the Project Narrative, you must address each of the appropriate objectives, and explain how these objectives are ambitious and attainable. Applicants should use comparative data to show why the proposed percentages are ambitious based on information provided in the Need section of the Project Narrative and attainable based on information provided in the Plan of Operation and the resources available to the project. Applicants may add additional objectives, but are not required to do so. Applicants will not receive additional points or penalties for proposing additional objectives.

(C) **Plan of Operation**: This criterion contains five sub-criteria, and applicants must address all five sub-criteria. The application should provide information on who, what, when and how the project will provide services to meet its goals and objectives. In addition, if you are planning grant aid to students, you should include information on the planned coordination between the project office and the Financial Aid Office or Business Office at your institution to assure correctness in the distribution of monies to eligible project participants.

(D) **Institutional Commitment**: Applicants must address all four sub-criteria. In addressing this criterion, the applicant must provide information on its administrative and academic policies, the commitment of facilities, equipment, personnel and other resources; and the planned cooperation and support of key departments such as Admissions, Registrar, data collection and Student Financial Aid. The applicant must also address the financial plan for carrying out the project, including the applicant's proposed commitment of institutional resources to the SSS participants to minimize the dependence on student loans in developing financial aid packages for project participants by committing institutional resources.

(E) **Quality of Personnel**: Applicants must address all three of the sub-criteria under this criterion. Applicants must identify key personnel and must provide the minimum qualifications for all these key positions. The minimum educational qualifications must include the type of degree required and the acceptable field(s) of study. The type and minimum amount of work-related experience should also be described for each position. In addressing this criterion, you must not provide the qualifications of current staff; you must detail the qualifications required for each position. Please note that if you choose to submit resumes or job descriptions in the application, they will count against the 65 page limit. The "plan to employ personnel who have succeeded in overcoming barriers similar to the target population to be served" must be specific. The inclusion of an equal employment opportunity statement and/or a non-discriminatory employment practices policy alone is not an adequate response to this sub-criterion.

(F) **Budget**: In responding to this criterion, applicants must provide a detailed, itemized budget (Form 524) and a detailed budget narrative for the first-year (2010-2011) budget period only. The budget narrative is a part of the *Project Narrative (Part III)* to be attached under the budget selection criterion (F). Additional budget instructions are cited in the instructions entitled "First Year Budget and Budget Summary Form (ED Form 524) Instructions" on the following pages. (Note: The budget narrative is counted as part of the 65-page limit for Part III.) If applicant includes a non-Federal financial contribution, please indicate in the budget narrative the length of the financial commitment. This section should provide information that shows that the proposed budget will provide the resources necessary to successfully carry out the proposed project. Applicants should demonstrate here how the proposed resources would enable them to carry out the proposed project in the most cost-effective manner possible.

(G) **Evaluation Plan**: A strong evaluation plan should be included and should be used, as appropriate, to shape the development of the project from the beginning of the grant period. The evaluation plan should include benchmarks to monitor progress toward meeting specific project objectives based on the program's performance indicators. The plan should describe the evaluation design, indicating: (1) what types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports and outcomes will be available; and (7) how the applicant will use the information collected through evaluation to monitor progress of the funded project and to provide accountability information about the success of the project. The use of an outside evaluator is not required.

INSTRUCTIONS FOR STANDARD FORMS

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

INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 60 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 (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications 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 items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

-

Item	Entry:
1.	**Type of Submission:** (Required): Select one type of submission in accordance with agency instructions. • Preapplication • Application • Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.
2.	**Type of Application**: (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 B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify)
3.	**Date Received:** Leave this field blank. This date will be assigned by the Federal agency.
4.	**Applicant Identifier**: Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.
5a	**Federal Entity Identifier**: Enter the number assigned to your organization by the Federal Agency, if any.
5b.	**Federal Award Identifier**: For new applications leave blank. 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.	**Date Received by State:** Leave this field blank. This date will be assigned by the State, if applicable.
7.	**State Application Identifier:** Leave this field blank. This identifier will be assigned by the State, if applicable.
8.	**Applicant Information**: Enter the following in accordance with agency instructions: **a. Legal Name**: (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website. **b. Employer/Taxpayer Number (EIN/TIN):** (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,

Item	Entry:
10.	**Name Of Federal Agency**: (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
11.	**Catalog Of Federal Domestic Assistance Number/Title:** 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.
12.	**Funding Opportunity Number/Title:** (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
13.	**Competition Identification Number/Title:** Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
14.	**Areas Affected By Project:** List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
15.	**Descriptive Title of Applicant's Project:** (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 preapplications, attach a summary description of the project.
16.	**Congressional Districts Of**: (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 2-3 characters District Number, e.g., CA-12 for California 12th district, NC-103 for North Carolina's 103rd 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.
17.	**Proposed Project Start and End Dates**: (Required) Enter the proposed start date and end date of the project.
18.	**Estimated Funding:** (Required) Enter the amount

	enter 44-4444444. **c. Organizational DUNS**: (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 the Grants.gov website. **d. Address**: Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US). **e. Organizational Unit:** Enter the name of the primary organizational unit (and department or division, if applicable**)** that will undertake the assistance activity, if applicable. **f. Name and contact information of person to be contacted on matters involving this application**: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.		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.
		19.	**Is Application Subject to Review by State Under Executive Order 12372 Process?** 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
		20.	**Is the Applicant Delinquent on any Federal Debt?** (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. If yes, include an explanation on the continuation sheet.
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions. A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)		21.	**Authorized Representative**: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. 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.)

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.")

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."

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

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 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th 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 research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

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

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

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

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture. II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives If the applicant marked "Yes" for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

A. Exempt Research Narrative.

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

B. Nonexempt Research Narrative.

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

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

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

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

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

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or

professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

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

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

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, DC 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site: http://www.ed.gov/about/offices/list/OCFO/humansub.html

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

INSTRUCTIONS FOR ED 524

General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. Please 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 breakdown 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. (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 or another Federal agency (Other) issued the approved agreement. If you check "Other," specify the name of the Federal 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 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. If applicable to this program, provide the rate and base on which fringe benefits are calculated.

3. 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.

4. 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 **1890-0004**. 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. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

INSTRUCTIONS FOR THE BUDGET SUMMARY AND ITEMIZED LINE ITEM BUDGET

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

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

The budget narrative, for the first 12-month budget period only (2010-2011), is to be included in the *Part III -- Project Narrative* (limited to 65 pages and attached to the Project Narrative Attachment) as part of the Budget selection criterion.

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

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

The Department is requesting that you complete the Budget Information – Non-Construction Programs (ED Form 524) for ONLY the 2010-2011 year. **It is not necessary to provide a budget summary for the total grant award period requested**. The funding level for the first year is stipulated based on the Maximum Award Section of the Notice, and the Department will determine the funding levels for the subsequent years of the grant award.

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

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

2. Fringe Benefits: On line 2 (ED Form 524), enter the amount of fringe benefits. The institution or agency's normal fringe benefit contribution may be charged to the project. Leave this blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect costs. In the budget narrative, include an explanation and appropriate justification if the institution or agency's normal fringe benefit contribution exceeds 20 percent of salaries.

3. Travel: On line 3 (ED Form 524), provide the travel costs for project personnel and student participants. [Consultants' travel should be included on line 8.] In the budget narrative, you should detail the proposed travel costs: for each trip explain the purpose and objective of the travel and provide the number of persons traveling. Transportation costs should not exceed tourist class airfare. For automobile mileage, the established institution rate should be used. Reimbursement is allowed for taxicab, bus, train, or limousine transportation. Per diem at the established institution rate is permitted when an individual is

away from home overnight on official project business (see OMB Circular A-21, J.48.c - Commercial Air Travel). No foreign travel will be authorized under the grant.

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

- Project Director's Travel – Per Year

A. One National Conference;
One Regional Meeting;
One State Meeting; and
B. Travel for participation in one professional staff development training.

- Full-time Professional Staff Travel – Per Year

A. One National, Regional, or State Meeting; and
B. Travel for staff development under the TRIO Training Program.

4. Equipment: On line 4 (ED Form 524), indicate the cost of equipment -- non-expendable personal property, which has a usefulness of greater than one year and an acquisition cost of $5,000 or more per unit. [Consistent with an applicant's policy, a lower dollar amount may be used to define equipment.] In the budget narrative, explain why the requested equipment is necessary to carry out project activities, and include a list of all equipment in the following format: item, quantity, cost per unit, and total cost.

5. Supplies: On line 5 (ED Form 524), include the costs of all tangible personal property that was not included as "equipment" on line 4. In the budget narrative, provide an itemized list of the supplies.

6. Contractual: Not applicable. Leave blank.

7. Construction: Not applicable. Leave blank.

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

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

9. Total Direct Costs: On line 9 (ED Form 524), provide the total direct costs requested – the sum of

lines 1 through 8.

10. Indirect Costs: On line 10 (ED Form 524), provide the amount of indirect costs that you propose to charge against the grant.

    All of the grants awarded under the SSS Program (84.042A) are designated as training grants. The Education Department General Administrative Regulations (EDGAR) limit reimbursement to grantees for indirect costs they incur under training grants to the grantee's actual indirect costs as determined by the grantee's negotiated indirect cost agreement or a maximum of 8 percent of a modified total direct cost base, whichever is less. (NOTE: This limitation does not apply to State agencies, or local governments, or federally recognized Indian tribal governments. [34 CFR 75.562(c) (2)]

    Grantees charging indirect costs to a Department grant are required to have a negotiated rate with their *cognizant agency* (i.e., either the Federal agency from which it has received the most direct funding that is subject to indirect cost support, or a particular agency specifically assigned cognizance by the Office of Management and Budget). Although applicants are not required to submit with their application a copy of their indirect cost agreement to claim the 8 percent rate for funding received in this program, they are required to have documentation available for audit that shows that their negotiated indirect cost rate is at least 8 percent [34 CFR 75.563(d)]. In the event that they receive an award under this program, applicants without a negotiated indirect cost rate with its cognizant agency should seek to identify that agency and contact it to obtain an approved rate as soon as possible after award notification.

    Applicants should be aware that amounts representing the difference between the 8 percent rate and a greater indirect cost rate negotiated with a cognizant agency may **not** be charged to direct cost categories, used to satisfy matching or cost-sharing requirements, or charged to another Federal award. [34 CFR 75.563(c) (3)]

11. Training Stipends: On line 11, include any grant funds that you propose to use for Grant Aid to Students (subject to the limitation of 20% of the total grant) on both sections A and B (ED 524). This amount should also be specified in the budget narrative.

12. Total Costs: On line 12 (ED Form 524), provide the total amount that you are requesting – the sum of lines 9 and 10. Note: This amount should also be the same as that shown as 18g on the application face sheet (SF 424).

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

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

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.

6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

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

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

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

    (b) Enter the full names of the individual(s) performing services, and include full address if different from 10

(a). Enter Last Name, First Name, and Middle Initial (MI).

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

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

SURVEY INSTRUCTIONS ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

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

1. Self-explanatory.

2. Self-identify.

3. Self-identify.

4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.

5. Self-explanatory.

6. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.

    1. Annual budget means the amount of money your organization spends each year on all of its activities.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such information displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0014.** The time required to complete this information collection is estimated to average 5 minutes for the project director per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

APPLICATION CHECKLIST

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

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

☐ Department of Education Supplemental Information for SF 424

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

☐ Part III - *Project Narrative* (65-page limit addressing the selection criteria) – Attach this document to the Project Narrative in the e-Application system.

☐ Other Attachments - *SSS Program Profile*
SSS Program Assurances

☐ ED Abstract - *Abstract (one-page limit) -- Attach this document to the* ED Abstract Attachment. This one-page abstract, which may be single-spaced, will not count against the 65 pages you are allowed for your response to the selection criteria.

☐ Assurances, Certifications, and Survey

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

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.

NOTES:

- **Applicants for new awards must include information in their applications to address this provision in order to receive funding under this program.**
- **Applicants are required to address this provision by attaching a statement to the ED GEPA 427**

GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)

What is GPRA?

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

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

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

Goal 1: Improve student achievement with a focus on bringing all students to grade level in reading and mathematics by 2014, as called for by the No Child Left Behind Act.
Goal 2: Increase the academic achievement of all high school students.
Goal 3: Ensure the accessibility, affordability, and accountability of higher education, and better prepare students and adults for employment and future learning.

What are the performance indicators for the Student Support Services Program?

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

The specific performance indicator for the Student Support Services Program is as follows:

The success of the Student Support Services Program will be measured by the postsecondary persistence and degree completion rates of SSS participants that remain at the grantee institution. All SSS grantees will be required to submit an annual performance report documenting the persistence and degree attainment of their participants. Since, on average, students take four years to complete an Associate's Degree and six years to complete a Bachelor's degree, multiple years of performance report data are needed to determine the degree completion rates of SSS participants. The Department of Education will aggregate the data provided in the annual performance reports from all grantees to determine the accomplishment level.

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

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

The most recent version of this program's annual performance report can be viewed at http://www.ed.gov/about/offices/list/ope/trio/index.html.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such information displays a valid OMB control number. The valid OMB control number

for this information collection is **1840-0117.** The time required to complete this information collection is estimated to average 34 hours for the project director per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of the form, write directly to:** Federal TRIO Programs, U.S. Department of Education, 1990 K Street, N.W., 7th Floor, Washington, D.C. 20006-8510.

Dear Applicant:

Thank you for your interest in applying for a grant under the Student Support Services (SSS) Program. The SSS Program provides grants to institutions of higher education to operate projects that provide opportunities for academic development, assists students with basic college requirements, and serves to motivate students toward the successful completion of their postsecondary education. The goal of SSS is to increase the college retention and graduation rates of its participants.

We are requiring that applications for Fiscal Year (FY) 2010 grants under the SSS Program be submitted electronically using e-Application available through the Department of Education s (Department) e-Grants system. An applicant who is unable to submit an application through the e-Grants system must submit a written request for a waiver of the electronic submission requirement at least two weeks before the deadline date. Additional information about e-Grants submission requirements is in the Notice Inviting Applications for New Awards (Notice), published in the Federal Register, and in the transmittal instructions which are included in this package.

As a result of the enactment of the Higher Education Opportunity Act in 2008, the Department conducted negotiated rulemaking to engage the community in discussions on regulatory issues that impact the Federal TRIO Programs and other discretionary grant programs. The negotiated rulemaking phase of the process is now complete and the Department is preparing the Notice of Proposed Rulemaking (NPRM). The NPRM will be published in the Federal Register upon completion and the public will be provided an opportunity to comment on the document. However, the NPRM will not be completed by the closing date of the FY 2010 competition. Therefore, any new requirements for successful applicants will be communicated in the letter announcing the results of the competition. Please note the definitional changes for different campuses and different populations which are detailed in the Notice. We urge you to review the entire application package carefully before preparing and submitting your application.

The Notice published in the Federal Register contains specific information governing all of the requirements for applying. You are reminded that the document published in the Federal Register is the official document and that you should not rely upon any information that is inconsistent with the guidance contained within the official document.

Finally, we would like to share with you the importance of ensuring that your application includes a strong evaluation plan. The peer reviewers will be instructed to look closely at the potential of SSS Program applicants to successfully reach their individual project goals which are driven by the performance indicators for the SSS Program. The evaluation plan should not only include formative and summative measures, but also, address the use of appropriate controls and techniques that provide for independent evaluation. The evaluation plan should shape the development of the project from the beginning of the grant period and provide benchmarks for the monitoring of progress and measurement of that progress throughout the grant award period. You should pay close attention to the information provided in the Instructions for the Project Narrative section of this application regarding the development of your evaluation activity.

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

Sincerely,

/signed/

Alan Schiff
Acting Deputy Assistant Secretary
for Higher Education Programs

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.	**Type of Submission:** (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.	**Name Of Federal Agency**: (Required) Enter the name of the federal agency from which assistance is being requested with this application.
		11.	**Catalog Of Federal Domestic Assistance Number/Title:** 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.	**Type of Application**: (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.	**Funding Opportunity Number/Title:** (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement. The FON can also be found at http://www.grants.gov/applicants/find_grant_opportunities.jsp.
		13.	**Competition Identification Number/Title:** Enter the competition identification number and title of the competition under which assistance is requested, if applicable.
		14.	**Areas Affected By Project:** 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.	**Date Received:** Leave this field blank. This date will be assigned by the Federal agency.	15.	**Descriptive Title of Applicant's Project:** (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.	**Applicant Identifier:** Enter the entity identifier assigned buy the Federal agency, if any, or the applicant's control number if applicable.		
5a.	**Federal Entity Identifier**: Enter the number assigned to your organization by the federal agency, if any.	16.	**Congressional Districts Of**: 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.	**Federal Award Identifier**: 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.	**Date Received by State:** Leave this field blank. This date will be assigned by the state, if applicable.		
7.	**State Application Identifier:** Leave this field blank. This identifier will be assigned by the state, if applicable.		
8.	**Applicant Information**: Enter the following in accordance with agency instructions:		
	a. Legal Name: (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 www.Grants.gov.	17.	**Proposed Project Start and End Dates**: (Required) Enter the proposed start date and end date of the project.
	b. Employer/Taxpayer Number (EIN/TIN): (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	**Estimated Funding:** (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.
	c. Organizational DUNS: (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 www.Grants.gov.	19.	**Is Application Subject to Review by State Under Executive Order 12372 Process?** (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.
	d. Address: Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).	20.	**Is the Applicant Delinquent on any Federal Debt?** (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.
	e. Organizational Unit: Enter the name of the primary organizational unit, department or division that will undertake the assistance activity. **f. Name and contact information of person to be contacted on matters involving this application:** 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.	21.	**Authorized Representative**: 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.)
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions. A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority M. Nonprofit N. Private Institution of Higher Education O. Individual P. For-Profit Organization (Other than Small Business) Q. Small Business R. Hispanic-serving Institution S. Historically Black Colleges and Universities (HBCUs) T. Tribally Controlled Colleges and Universities (TCCUs) U. Alaska Native and Native Hawaiian Serving Institutions V. Non-US Entity W. Other (specify)		

Instructions for ED 524

General Instructions

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

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

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

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

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

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

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

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

Indirect Cost Information: If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government.
If you checked "no," ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:
(a) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after ED issues a grant award notification; and
(b) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.
(2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED, another Federal agency (Other) or State agency issued the approved agreement. If you check "Other," specify the name of the Federal or other agency that issued the approved agreement.
(3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

Section B - Budget Summary
Non-Federal Funds

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

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

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

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

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

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

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

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

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

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

3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.

4. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

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

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

5. Provide other explanations or comments you deem necessary.

Paperwork Burden Statement

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

INSTRUCTIONS FOR 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

Intergovernmental Review of Federal Programs

This appendix applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A link to the listing containing the Single Point of Contact for each State is located on the e-Application home page.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities 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.###, U.S. Department of Education, 400 Maryland Avenue, SW, Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

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 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application

Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th 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.

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

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site: http://www.ed.gov/about/offices/list/OCFO/humansub.html

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

OMB No.4040-0004 Exp.01/31/2012

Application for Federal Assistance SF-424 Version 02

* 1. Type of Submission	* 2. Type of Application:	* If Revision, select appropriate letter(s):
[ ] Preapplication	[ ] New	
[ ] Application	[ ] Continuation	* Other (Specify)
[ ] Changed/Corrected Application	[ ] Revision	

* 3. Date Received:	4. Applicant Identifier:
Completed upon submission	

5a. Federal Entity Identifier:	* 5b. Federal Award Identifier:

State Use Only:

6. Date Received by State:	7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name:

* b. Employer/Taxpayer Identification Number (EIN/TIN):	* c. Organizational DUNS:

d. Address:

* Street1:

Street2:

* City:

County:

State:

Province:

* Country:

* Zip / Postal Code:

e. Organizational Unit:

Department Name:	Division Name:

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:	* First Name:
Middle Name:	

* Last Name:

Suffix:

Title:

Organizational Affiliation:

* Telephone Number: Fax Number:

* Email:

Application for Federal Assistance SF-424 Version 02

9. Type of Applicant 1: Select Applicant Type:

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

10. Name of Federal Agency:

U.S. Department of Education

11. Catalog of Federal Domestic Assistance Number:

.

CFDA Title:

*** 12. Funding Opportunity Number:**

Title:

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

*** 15. Descriptive Title of Applicant's Project:**

Attach supporting documents as specified in agency instructions.

Attachment:
Title :
File :

Attachment:
Title :
File :

Attachment:
Title :
File :

Application for Federal Assistance SF-424 Version 02

16. Congressional Districts Of:
* a. Applicant: * b. Program/Project:

Attach an additional list of Program/Project Congressional Districts if needed.
Attachment:
Title :
File :

17. Proposed Project:
* a. Start Date: * b. End Date:

18. Estimated Funding ($):

a. Federal	$
b. Applicant	$
c. State	$
d. Local	$
e. Other	$
f. Program Income	$
g. TOTAL	$ 0

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

[ ] a. This application was made available to the State under the Executive Order 12372 Process for review on .
[ ] b. Program is subject to E.O. 12372 but has not been selected by the State for review.
[ ] c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**

[] Yes [] No

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

[] ** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix:	* First Name:
Middle Name:	
* Last Name:	
Suffix:	
Title:	
* Telephone Number:	Fax Number:
* Email:	
* Signature of Authorized Representative:	* Date Signed:

Application for Federal Assistance SF-424 Version 02

*** Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

U.S. DEPARTMENT OF EDUCATION BUDGET INFORMATION NON-CONSTRUCTION PROGRAMS	OMB Control Number: 1894-0008 Expiration Date: 02/28/2011
Name of Institution/Organization:	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION A - BUDGET SUMMARY
U.S. DEPARTMENT OF EDUCATION FUNDS

Budget Categories	Project Year 1(a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	$	$	$	$	$	$
2. Fringe Benefits	$	$	$	$	$	$
3. Travel	$	$	$	$	$	$
4. Equipment	$	$	$	$	$	$
5. Supplies	$	$	$	$	$	$
6. Contractual	$	$	$	$	$	$
7. Construction	$	$	$	$	$	$
8. Other	$	$	$	$	$	$
9. Total Direct Costs (lines 1-8)	$	$	$	$	$	$
10. Indirect Costs*	$	$	$	$	$	$
11. Training Stipends	$	$	$	$	$	$
12. Total Costs (lines 9-11)	$	$	$	$	$	$

***Indirect Cost Information *(To Be Completed by Your Business Office)*:**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? [ ] Yes [ ] No
(2) If yes, please provide the following information:
Period Covered by the Indirect Cost Rate Agreement: From: __/__/____ To: __/__/____ (mm/dd/yyyy)
Approving Federal agency: [ ] ED [ ] Other (please specify): _____ The Indirect Cost Rate is _____%
(3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:
[ ] Is included in your approved Indirect Cost Rate Agreement? or, [ ] Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is _____%

ED Form No. 524

U.S. DEPARTMENT OF EDUCATION BUDGET INFORMATION NON-CONSTRUCTION PROGRAMS	OMB Control Number: 1894-0008 Expiration Date: 02/28/2011
Name of Institution/Organization:	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION B - BUDGET SUMMARY

NON-FEDERAL FUNDS

Budget Categories	Project Year 1(a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	$	$	$	$	$	$
2. Fringe Benefits	$	$	$	$	$	$
3. Travel	$	$	$	$	$	$
4. Equipment	$	$	$	$	$	$
5. Supplies	$	$	$	$	$	$
6. Contractual	$	$	$	$	$	$
7. Construction	$	$	$	$	$	$
8. Other	$	$	$	$	$	$
9. Total Direct Costs (lines 1-8)	$	$	$	$	$	$
10. Indirect Costs	$	$	$	$	$	$
11. Training Stipends	$	$	$	$	$	$
12. Total Costs (lines 9-11)	$	$	$	$	$	$

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Standard Form 424B (Rev.7-97)

Public reporting burden for this collection of information is estimated to average 15 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 (0348-0040), Washington DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. "4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. "1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. '794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. "276a to 276a-7), the Copeland Act (40 U.S.C. '276c and 18 U.S.C. "874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. " 327-333), regarding labor standards for federally assisted construction sub-agreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. "1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. "7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. "1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance

of 1975, as amended (42 U.S.C. " 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) " 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. " 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. ' 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. "1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. '470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. "469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. "2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. "4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Signature of Authorized Certifying Representative:
Name of Authorized Certifying Representative:
Title:
Date Submitted:

Approved by OMB 0348-0046 Exp.

Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

1. Type of Federal Action: [ ] Contract [ ] Grant [ ] Cooperative Agreement [ ] Loan [ ] Loan Guarantee [ ] Loan Insurance	**2. Status of Federal Action:** [ ] Bid/Offer/Application [ ] Initial Award [ ] Post-Award	**3. Report Type:** [ ] Initial Filing [ ] Material Change **For Material Change only:** Year: Quarter: Date of Last Report:
4. Name and Address of Reporting Entity: [ ] Prime [ ] Subawardee Tier, if known: Name: Address: City: State: Zip Code + 4: - **Congressional District, if known:**	**5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:** Name: Address: City: State: Zip Code + 4: - **Congressional District,** if known:	
6. Federal Department/Agency:	**7. Federal Program Name/Description:** CFDA Number, if applicable:	
8. Federal Action Number, if known:	**9. Award Amount,** if known: $	
10. a. Name of Lobbying Registrant (if individual, last name, first name, MI): Address: City: State: Zip Code + 4: -	**b. Individuals Performing Services** (including address if different from No. 10a) (last name, first name, MI): Address: City: State: Zip Code + 4: -	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.	Name: Title: Applicant: Date:	
Federal Use Only:		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements.

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person 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 the awarding of any Federal contract, the making of any Federal grant, the making of any Federal Loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person 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 this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance.

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee or any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

APPLICANT'S ORGANIZATION		
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE		
Prefix:	First Name:	Middle Name:
Last Name:		Suffix:
Title:		
Signature: _____	Date: 10/28/2009	

ED 80-0013 03/04

Section 427 of GEPA

NOTICE TO ALL APPLICANTS

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

To Whom Does This Provision Apply?

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

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

What Does This Provision Require?

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

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

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

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

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

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

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

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

Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1894-0005**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202-4537.

Applicants should use this section to address the GEPA provision.

OMB No.1894-0007 Exp.05/31/2011

SUPPLEMENTAL INFORMATION
REQUIRED FOR
DEPARTMENT OF EDUCATION GRANTS

1. Project Director:

Prefix: * First Name: Middle Name: * Last Name: Suffix:

Address:

* Street1:

Street2:

* City:

County:

* State: * Zip / Postal Code: * Country: **USA**

* Phone Number (give area code) Fax Number (give area code)

Email Address:

2. Applicant Experience

Novice Applicant [] Yes [] No [] Not applicable

3. Human Subjects Research

Are any research activities involving human subjects planned at any time during the proposed project period?

[] Yes [] No

Are ALL the research activities proposed designated to be exempt from the regulations?

[] Yes Provide Exemption(s) #:

[] No Provide Assurance #, if available:

Please attach an explanation Narrative:

Attachment:
Title :
File :

Project Narrative

Abstract - upload 1 page abstract

Project Narrative

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OMB No.1894-0010 Exp.05/31/2012

SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

Purpose: The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information provided on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

Instructions for Submitting the Survey: If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

Applicant's(Organization)Name:
Applicant's DUNS Number:
Federal Program: **CFDA Number:** .

1. Has the applicant ever received a grant or contract from the Federal government?
[] Yes [] No

2. Is the applicant a faith-based organization?
[] Yes [] No

3. Is the applicant a secular organization?
[] Yes [] No

4. Does the applicant have 501(c)(3) status?
[] Yes [] No

5. Is the applicant a local affiliate of a national organization?
[] Yes [] No

6. How many full-time equivalent employees does the applicant have? *(Check only one box).*

[] 3 or Fewer [] 15-50
[] 4-5 [] 51-100
[] 6-14 [] over 100

7. What is the size of the applicant's annual budget? *(Check only one box.)*

[] Less Than $150,000
[] $150,000 - $299,999
[] $300,000 - $499,999
[] $500,000 - $999,999
[] $1,000,000 - $4,999,999
[] $5,000,000 or more