Title III, Part A Pre-application Technical Assistance Session Agenda

• Strengthening Institutions Program Background
• Priorities—Competitive Preference
• Types of Grants
• Allowable and Unallowable Activities
• Selection Criteria
• GPRA Measures
• Application Process
• Submission/Grants.gov
• Questions & Answers Session

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Title III, Part A
Strengthening Institutions Program (SIP)

• SIP provides grants to eligible institutions of higher education (IHEs).

Helps them:
• become self-sufficient
• expand capacity to serve low-income students
• improve and strengthen the institution’s academic quality, institutional management and fiscal stability.

• Important Dates
  --Designation of Eligibility: March 4—April 16, 2021
  --SIP Application Announced: May 14, 2021
  --Closing Date: July 13, 2021 (11:59 pm Washington, DC Time)
  --Peer Review: August 9-30, 2021 (estimated)

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SIP FY 2021 Competition At A Glance

• No 84.031F.

• Cooperative Arrangement Development Grants (Coops) will be awarded in FY 2021.

• Two Competitive Preference Priorities (max. 8 points).

• Changes to point values of certain criteria.

• Maximum possible points: 108.

• Maximum recommended pages: 50—Individual, 65—Coops.

• Maximum award amount: $450,000 (Ind.); $550,000 (Coop).

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### Which Institutions are Eligible to Apply?

- An eligible institution of higher education.
- An institution of higher education that does **not** currently have another Title III, Part A, a Title III, Part B (HBCU) or a Title V (HSI) grant.

<table>
<thead>
<tr>
<th>If you have...you are eligible to apply</th>
<th>If you have...you are NOT eligible to apply</th>
</tr>
</thead>
<tbody>
<tr>
<td>Title V, Part B—PPOHA 84.031M</td>
<td>Title III, Part A—SIP 84.031A or 84.031F</td>
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<tr>
<td>PBI Competitive—84.382A</td>
<td>HBCU—84.031B</td>
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<tr>
<td>PBI Master’s—84.382D</td>
<td>HSI—84.031S</td>
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<td>AANAPISI Part F—84.382B</td>
<td>AANAPISI Part A—84.031L</td>
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<td>NASNTI Part F—84.382C</td>
<td>NASNTI Part A—84.031X</td>
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<tr>
<td>ANNH Part F—84.031R, 84.031V</td>
<td>ANNH Part A—84.031N or 84.031W</td>
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<tr>
<td>MSEIP—84.120A</td>
<td>PBI Formula—84.031P</td>
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</table>

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Which Institutions are Eligible to Apply? Cont.

• Caveat: if your Title V grant ends this September, you may apply for a Title III, Part A grant.

• Two-year wait-out period—Per Section 313(d) of the Higher Education Act of 1965, as amended:
  • (d) Wait-Out Period.—Each eligible institution that received a grant under this part for a 5-year period shall not be eligible to receive an additional grant under this part until 2 years after the date on which the 5-year grant period terminates.
    o If your grant ended 9/30/2020 or ends 9/30/2021, you will be able to re-apply in 2023, for the grant year that begins on 10/01/2023.

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Strengthening Institutions Program

Type of Grant Awards

**Individual Development Grants**
- Estimated Range of Awards: $400,000-$450,000
- Estimated Number of Awards: 28
- Page limit (rec.): 50 pages

**Cooperative Arrangement Development Grants**
- Estimated Range of Awards: $500,000-$550,000
- Estimated Number of Awards: 10
- Page limit (rec.): 65 pages

Both Individual and Cooperative Arrangement Development Grants are five years in duration.

Institutions can be awarded an individual grant and a cooperative grant in the same fiscal year.

The Department is not bound by any estimates in the Notice Inviting Applications (NIA).

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Cooperative Arrangement
Development Grant

- A Cooperative grant is when two or more institutions work together to solve common problem.
- The lead institution must be an eligible institution and is the fiscal agent for the group.
- When does a Cooperative grant make sense?
  - Solid evidence shows that a particular problem would best be solved between two or more institutions rather than one.
  - The partners would benefit equitably and both partners have a clear rationale and a well-defined role.
  - The arrangement would enhance the effectiveness and impact of the activities.
  - The project would reduce costs by eliminating duplication.

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Cooperative Arrangement Grants: Common Problems

- Increased probability of flaws in the project design.
- Expressing common problems & solutions in the proposal.
- Communication & management.
- Sharing resources and information (data).
- Clarifying expectations.
- Multi-institution coordination and cooperation.

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Competitive Preference Priority 1

Tutoring, Counseling, and Student Service Programs (up to 5 points).

Projects designed to provide tutoring, counseling, and student service programs designed to improve academic success, including innovative, customized, instruction courses designed to help retain students and move the students rapidly into core courses and through program completion, which may include remedial education and English language instruction.

• Applicants have an extra 3 pages to address CPP # 1.

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Competitive Preference Priority 2

Fostering Flexible and Affordable Paths to Obtaining Knowledge and Skills (up to 3 points)

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

• Applicants have an extra 2 pages to address CPP # 2.
Priorities

• For all priorities: applicants must attach a narrative identifying the specific component in the proposed project and how it meets the CPP(s).

• Reviewers will assess and score priorities. Points awarded depend on how well each priority was addressed.

• The narrative(s) should be attached to Project Narrative Attachment Form in Grants.gov.

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• The tables below illustrate the additional points and pages you have depending on which priority you address.

### Individual Development Grants (50 pages):

<table>
<thead>
<tr>
<th>Priority Addressed</th>
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### Cooperative Arrangement Development Grants (65 pages):

<table>
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1. Formatting—text in tables, charts, graphs, titles, headings, footnotes, captions, etc. **CAN be single spaced.**

2. Recommended maximum page limit for Coops who address both priorities is 70, not 72.
DEVELOPMENT GRANTS

• CRITERIA
• CHALLENGES
• GOALS
• WORKING TOWARD GOALS

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GPRA Performance Measures

- **GPRA**—Government Performance and Results Act.
- Measures the effectiveness of federal programs.
- **For SIP the long-term measures are:**
  - Percentage change, over the five-year period, of full-time degree-seeking undergraduates enrolled at SIP institutions.
  - Percentage of first-time, full-time degree-seeking undergraduate students at 4- or 2-year SIP institutions who persist from their first year.
  - Percentage of first-time, full-time degree-seeking undergraduates at 4-year institutions that graduate within six years of enrollment or, for 2-year institutions, that graduate within three years of enrollment.
  - The cost per successful program outcome: federal cost per undergraduate and graduate degree at SIP institutions.

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<table>
<thead>
<tr>
<th>Criterion</th>
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<td>Comprehensive Development Plan (CDP) 34 CFR 607.22 (a)</td>
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</tr>
<tr>
<td>Quality of Project Design/Logic Model 34 CFR 75.210 (c)(xxix)</td>
<td>15</td>
</tr>
<tr>
<td>Activity Objectives 34 CFR 607.22 (b)</td>
<td>16</td>
</tr>
<tr>
<td>Implementation Strategy 34 CFR 607.22 (c)</td>
<td>15</td>
</tr>
<tr>
<td>Key Personnel 34 CFR 607.22 (d)</td>
<td>8</td>
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<tr>
<td>Project Management 34 CFR 607.22 (e)</td>
<td>10</td>
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<tr>
<td>Evaluation Plan 34 CFR 607.22 (f)</td>
<td>10</td>
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<td>Budget 34 CFR 607.22 (g)</td>
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<td><strong>Total Possible Points</strong></td>
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The application must indicate that the institution will create efforts to address challenges identified in its Comprehensive Development Plan (CDP).

The CDP:

-- designs specific strategies
-- describes how it will implement one or more activities
-- proposes activities that are not necessarily related to each other
-- specifies each activity’s expected outputs and outcomes
Comprehensive Development Plan

Quality of Comprehensive Development Plan

Analyzes institutional strengths, weaknesses, and challenges; involves the institution’s major constituencies.

This is analogous to the IHE’s self-study for institutional accreditation:

--- goals/outcomes are realistic, well thought-out,
--- are measurable and contribute to the institution’s growth and self-sufficiency
--- provide a clear plan for institutionalization of project achievements

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Comprehensive Development Plan

The application must indicate that the institution will create efforts to address challenges identified in its Comprehensive Development Plan (CDP). The CDP:

- describes the institutional challenges and strengths;
- designs specific, institution-wide strategies leveraging strengths;
- describes how it will implement one or more solutions to tackle the institution-wide problems (e.g. low retention, etc.);
- proposes solutions that are not necessarily related to each other but are related to the weaknesses cited;
- specifies each solution’s expected outcomes; and
- addresses how the proposed solutions will be absorbed into the fabric of the institution.

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Institutionalization

• Description of institutionalization plans makes your application more competitive.

• Commitment to institutionalization reflects:
  – commitment of institutional resources that accompany Title III funds, and
  – the plan for sustaining the project after grant funds end.

• Increased revenue from expected increase in retention/enrollment is not an institutionalization plan.

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Logic models are now a regular part of the selection criteria for SIP. However, criteria in 34 CFR 75.210 have been updated. Now:

(b) Quality of the Project Design (15 points max.)

The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers the extent to which the proposed project demonstrates a rationale (as defined in this notice).

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

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

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

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

• Think of a logic model as a visual representation of the assumptions and theory of actions of your program. When logical relationships are built on theory and evidence, you can explore outputs, outcomes, and impact. These logical relationships are built into the program or service and you can more effectively evaluate the program and assess the outcomes and impact.

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Sample Logic Model

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

Inputs
- Strengths:
  - Technology, student services, faculty and business process subject matter experts
  - Committed leadership support
  - Existing technology systems
  - Range of learning and personal supports for student success
- Weaknesses (also Inputs):
  - Low rates of developmental transfer to degree credit courses
  - Insufficient advising resources
  - Lack of accessibility of information about student career and academic goals

Activities
- Co-requisite developmental education model designed to accelerate remediation established
- Faculty trained to teach revised curriculum
- Build and deploy online individualized educational planning and service delivery tool integrated with college data systems (My Roadmap)
- Implement comprehensive, coherent advising and career services model, leveraging technology and data to provide proactive individualized services
- Provide robust advising professional development for faculty

Outputs
- 550 students total enroll in 15 sections each of remedial Math and remedial English
  - All receive intrusive advising
- Unified portal with student and advisor views centralizes key educational planning and advising data for all students
  - 100% of students unsure of career goal or off-track of educational plan are identified and receive timely interventions
  - 400 students create My Roadmap
- 100% of professional advisors receive Master Advising Certification, renewed yearly
  - 300 full-time faculty complete advising training
  - 85% of trained faculty provide advising within their programs congruent with model
  - All students have assigned advisors

Outcomes
- Short (S)
  - Targeted students: complete developmental courses at rate of 10% over baseline (S)
  - Enroll in and complete college-level courses at a rate of 5% over baseline (S)
  - 40% of new program students complete an educational plan in their first year in college (S)
- Medium (M)
  - Increase by 30% over baseline the yearly rate at which targeted student groups access career and/or advising services (S)
- Long (L)
  - Rate at which targeted students are retained from their first year to their second increases 5% over baseline (S)
  - Rate at which targeted students complete a credential or transfer within 3 years increases 5% over baseline (M)

Impacts:
- Increased enrollments and tuition revenue
- Sustainable IT infrastructure
- Institutionalized Faculty Advising
- More efficient use of advising resources
- Improved access and success for low-income and underrepresented students
- Transformed delivery of developmental education

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### Key Assumptions and Supporting Research

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

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Evidence that demonstrates a rationale includes research or evaluation findings from one or more studies indicating that a project component [the intervention or treatment] is likely to improve a student outcome or other relevant outcome. Such evidence could include favorable findings from:

- an experimental study,
- a quasi-experimental design study,
- a correlational study with statistical controls for selection bias, or
- some other research study or evaluation.

The findings in question need to be positive [favorable] but do not need to be statistically significant.

Source: EDGAR, 34 CFR 77.1

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Activity Objectives

Quality of Activity Objectives

---objectives are realistic and defined in terms of measurable results

---objectives are directly related to problems and goals identified in the CDP

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Activities

- Grant Activities – The intended development, implementation, or restructuring of project, programs, or services.
- Grant activities may have multiple interconnected objectives designed to increase the success of projects, programs, and services.

*Increase Student Success and Student Supplemental Instruction Programs*

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Objectives

• Objective – The plan to affect change within an activity. Applicants develop objectives within their grant applications with the goal to achieve change within the institution.

• There may be multiple project objectives for each grant activity.

Increase Student Success and Student Supplemental Instruction Programs

Increase the number of students eligible for admission to the X Program by 10% by May 31, 2020
Increase the number of students eligible for admission to the X Program – Level II by 10% by May 31, 2020
Performance Indicators/Measures

• Performance Measure – Any quantitative indicator, statistic, or metric used to gauge GPRA, project, or performance.
  – There may be multiple performance measures associated with each project objective.

  Increase Student Success and Student Supplemental Instruction Programs

• Increase the number of students eligible for admission to the X Program by 10% by May 31, 2020

  Number of students passing Course 101 will increase from 50 to 75 by 12/2019
  Number of students eligible for TEST X will increase from 40 to 55 by 3/2020

• Increase the number of students eligible for admission to the X Program – Level II by 10% by May 31, 2020

  Number of students passing Course 101 will increase from 10 to 12 in 12/2019
  Number of students eligible for TEST X2 will increase from 20 to 25 by 3/2020

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Activities: All Components

Grant Activity - Decrease the time through Supplemental Instruction (non-credit) Courses into introductory college-level Math and English; baseline of 1.5 years of non-credit course work.

Objectives & Performance Measures

I. Conduct a 6-week Summer Bridge Program (SBP) that enrolls 100 students by 9/30/20 XX
   1. 50% of enrollees will be students from local school district
   2. 60% of students who complete all four weeks will test at least one level higher in English
   3. 45% of students who complete all four weeks will test at least one level higher in Math
   4. 65% of SBP 2021 enrollees will register and enroll in Fall 2021 courses
   5. 40% of SBP 2021 enrollees will register and enroll in Spring 2022 courses

II. Conduct a three-week Winter Bridge Program (WBP) that enrolls 30 students by 9/30/20 XX
   1. 40% of enrollees will be students from local school district
   2. 40% of students who complete all four weeks will test at least one level higher in English
   3. 25% of students who complete all four weeks will test at least one level higher in Math
   4. 65% of WBP enrollees will register and enroll in Spring 2022 courses
   5. 40% of WBP enrollees will register and enroll in Fall 2022 courses

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Implementation Strategy

Quality of Implementation Strategy

---strategy or strategies is/are comprehensive;

---rationale for the implementation strategy is clear and supported by research;

---activity timetables are realistic and have all the responsible personnel.

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Key Personnel

Quality of key personnel

---Is the past experience and training of key personnel directly related to the activities in the grant?

---Is the time commitment of key personnel realistic?

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Project Management Plan

Quality of Project Management Plan

- **Management procedures:**
  - should ensure effective and efficient project implementation

- **Management authority:**
  - are key personnel afforded sufficient authority to conduct the project effectively including access to the president or CEO?

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Project Management Plan

• Management will support implementation, activities, and evaluation. Therefore:
  – Specify what project administrators are responsible for and
  – Provide an organizational chart

• Please make sure that there is a direct link between the Project Director and the President/Senior Administrators to avoid the project getting mired in institutional politics.

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Evaluation Plan

Quality of Evaluation Plan

• Data elements/data collection procedures:
  – Appropriate for the activities?
  – Clearly described?

• Data analysis procedures:
  – Clearly described?
  – Provide formative and summative results?

• Your project evaluation:
  – establishes baseline data
  – quantifies when possible
  – provides formative data to measure progress
  – reflects timely progress
  – identifies progress for outcomes and goals for each year

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Budget

• There are two budgets in a SIP Application—the Budget Summary Form (SF 524B) and the selection criterion titled Budget.

• The 524B is the five-year budget for the grant.

• The selection criterion budget is where you:
  o provide a detailed budget narrative for each budget year (5 total).
  o Ensure your proposed budget is:
    o necessary, and
    o reasonable in relation to the proposed activities

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Endowment Funds

• You may assign as much as 20% of that year’s grant funds to the Endowment Fund.

• Endowments must match (cost-share) federal funds dollar-for-dollar.

• You must invest both grant and matching funds for 20 years.

• Up to $\frac{1}{2}$ of the interest may be spent during the 20 years.

• Those interest funds may be used for scholarships.

• Real estate cannot be used to match endowment funds.

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Describing Endowment In the Application

• If you propose an Endowment provide the following information:
  o Name and title of:
    o the individual who will manage the endowment, and
    o the individual(s) who will raise funds for the endowment.
  o The mechanism used for endowment management, endowment investment, proposed endowment fundraising plans and annual goals.
  o Documentation of the applicant’s ability to create and sustain/manage an endowment.

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ALLOWABLE AND UNALLOWABLE ACTIVITIES
Allowable and Unallowable Activities

Allowable and unallowable activities are listed in the application booklet under Statute and Regulations:

--- HEA Sections 311(c); 316(c); and Section 317(c)

--- Regulations: 34 CFR 607.10 (Title III, Part A Programs)

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Allowable Activities

In general, any activity that meets the program purpose and contributes to the purpose of implementing the Title III Program:

- Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.
- Construction, maintenance, renovation, and improvement of classrooms, libraries, laboratories, and other instructional facilities, including the integration of computer technology into institutional facilities that allows grantees to produce or design smart buildings.
- Support of faculty exchanges, faculty development, and faculty fellowships to assist in attaining advanced degrees in their field of instruction.
- Establishing or improving an institutional endowment fund.
- Development and improvement of academic programs.
- Tutoring, counseling, and student service programs designed to improve academic success.

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Unallowable Activities

In general, an activity that does not enhance the development of the institution:

- Advertising & public relations costs.
- Purchase of standard office equipment.
- Services to high school students.
- Indirect costs.
- Activities that are operational in nature rather than developmental.
- Executive lobbying costs.
- Activities that are not included in the approved application.
- Cost of organized fundraising.
- Payment of any portion of the salary of a college/university official who has campus-wide responsibility.
- Activities or services that relate to sectarian instruction or religious worship.
- Developing or improving non-degree or non-credit courses other than basic skills development courses.
- Developing or improving community-based or community services programs.

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Sample Activities

**Academic Quality**
- Improvement of basic skills courses
- Faculty development
- Curriculum Development

**Student Services**
- Counseling (career, peer, personal)
- Tutoring/mentoring
- Establishing learning communities
- Improvement of student facilities

**Student Outcomes**
- Improving student retention and graduation rates
- Increasing academic achievement

**Fiscal Stability**
- Establishing or improving a development office
- Strengthening Alumni relationships
- Building an endowment
- Increasing the capacity to secure research dollars

**Institutional Management**
- Creating and maintaining Management Information Systems
- Training and developing professional staff who do not serve as faculty
- Construction and renovation
- Improving the infrastructure for Internet access

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Common Challenges

• Unsubstantiated statements.

• Inconsistencies between the narrative and the budget.

• Not addressing all components within any single criterion.
  • Note each sub-criterion. Address each one separately.

• Do not assume that the readers can read between the lines of your proposal. Provide detailed, comprehensive material.

• Grammar/Spelling.

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APPLICATION SUBMISSION

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Electronic submission is required via:
By:
11:59:59 PM Eastern/Washington, DC Time

Please note that the system does not shutdown, it will merely mark your application as late. If you submit your application after the deadline, your application will not be read.

In order to avoid missing the deadline, you may want to submit your application early.
SIP Program Profile

• Includes tie-breaker information — very important, especially if the Program funds down the slate the following year..

• Applicants will re-create the form in the application, completing all the information.

• It should be attached to the Project Narrative Attachment Form.

Note: The Federal Register is the official application submission guide. This webinar provides technical assistance only.
Final Preparation

• Make sure you:
  • Include the cover page – ED Standard Form (SF-424)
  • Provide complete and correct contact information for a person knowledgeable about your institution’s application on the cover page
    – Name
    – Phone number with extension
    – Fax number
    – Email address
  • Ensure the mandatory assurances and certificates been submitted.
  • Ensure you attach a statement addressing GEPA.

Note: The Federal Register is the official application submission guide. This webinar provides technical assistance only.
Call for Peer Reviewers

Those interested in reading for any other programs having competitions in FY 2021:

– HSI STEM
– MSEIP
– PBI
– ANNH-Part F
– AANAPISI-Part F
– NASNTI-Part F

must register or (if already registered) update their information in G5 at: www.g5.gov.

Note: The Federal Register is the official application submission guide. This webinar provides technical assistance only.
QUESTIONS?

THANK YOU!

Website: https://www2.ed.gov/programs/iduestitl/e3a/index.html

Contact Info: Nalini Lamba-Nieves
nalini.lamba-nieves@ed.gov

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