

**U.S. Department of Education  
Office of Postsecondary Education  
Washington, DC 20202**

**FY 2018**

**APPLICATION FOR GRANTS**

**UNDER THE**

**TRAINING PROGRAM FOR FEDERAL TRIO PROGRAMS**

<https://www2.ed.gov/programs/triotrain/index.html>

**CFDA NUMBER: 84.103A**

FORM APPROVED

OMB No. 1840-0814, Expiration Date: 06/30/2021



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CLOSING DATE: July 27, 2018

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

June 27, 2018

Dear Applicant,

We are pleased to provide the application package for the fiscal year (FY) 2018 Training Program for Federal TRIO Programs (Training Program) grant competition, which contains the information and instructions needed to submit a complete application to the U.S. Department of Education (Department) through Grants.gov.

The Training Program, through grants administered by institutions of higher education, nonprofit institutions and civic organizations, currently provides professional development to more than 2,536 staff and leadership employed by one of the 3,102 projects funded under the Federal TRIO Programs serving over 812,000 students.

The FY 2018 competition contains six absolute priorities and three invitational priorities. The Department will only consider an application that addresses one of the absolute priorities and we sincerely hope applicants will address one, two or all three invitational priorities.

Please review the entire application package carefully before preparing and submitting an application. Additionally, please utilize information on the Training Program that is accessible on the Department's website at <http://www2.ed.gov/programs/triotrain/index.html>.

Lastly, please do not rely upon any information that is inconsistent with the guidance contained within the *Federal Register* Notice.

Thank you for your interest in the Training Program for Federal TRIO Programs. Should you desire to provide excellent professional development to TRIO staff, we look forward to receiving your application.

Sincerely,

Adam Kissel  
Deputy Assistant Secretary  
for Higher Education Programs

## TRAINING PROGRAM OVERVIEW

### I. AUTHORIZATION

Title IV, Part A, Subpart 2, Section 402G of the Higher Education Act of 1965, as amended (HEA).

### II. PROGRAM REGULATIONS

34 CFR part 642 Training Program for Federal TRIO Programs

### III. PURPOSE

To provide Federal financial assistance to train the staff and leadership personnel employed in, or preparing for employment in, Federal TRIO Program projects.

### IV. NOTICE INVITING APPLICATIONS

The Notice Inviting Applications for New Awards (Notice), published in the *Federal Register*, is the official document governing application requirements for the FY 2018 Training competition. Do not rely upon any information that is inconsistent with the Notice.

### V. ELIGIBLE APPLICANTS

Institutions of higher education and public and private nonprofit agencies and organizations are eligible to apply for a grant to carry out a Training Program project.

### VI. ACTIVITIES FUNDED UNDER THIS PROGRAM

A Training Program project trains the staff and leadership personnel of Federal TRIO Program projects to enable them to more effectively operate those projects. A Training Program project may include on-site training, on-line training, conferences, internships, seminars, workshops, and/or the publication of manuals designed to improve the operations of Federal TRIO Program projects.

### VII. ESTIMATED FY 2018 FUNDING

Estimated Available Funds for New Awards: \$2,873,402

Estimated Range of Awards: \$265,764-\$344,945

Estimated Average Size of Awards: \$287,340

Estimated Number of New Awards: 10

## VIII. LENGTH OF AWARDS

Successful applicants funded under the FY 2018 Training competition will receive two-year (24-month) grant awards, pending available appropriations in accordance with the Higher Education Act (HEA), as amended by the Higher Education Opportunity Act (HEOA) of 2008.

## IX. NUMBER OF APPLICATIONS THAT MAY BE SUBMITTED

Applicants may submit no more than one Training Program application per Absolute Priority.

## X. PRIORITIES

**Absolute Priorities:** In consultation with the TRIO community, the Department determined the need for training in various topics and identified them as absolute priorities. There are six absolute priorities for the FY 2018 competition. These priorities were chosen from the authorizing legislation and the regulations governing the Training Program and were further developed to respond to the articulated training needs of personnel employed in Federal TRIO Program projects. Under Absolute Priorities 1, 2, and 4, the maximum award amount is \$265,764 and the minimum number of participants is 231. Under Absolute Priorities 3 and 5, the maximum award amount is \$344,945 and the minimum number of participants is 300. Under Absolute Priority 6, the maximum award amount is \$294,464 and the minimum number of participants is 256.

**Invitational Priorities:** There are three invitational priorities for the FY 2018 competition. Invitational Priorities 1 and 3 were selected from the Secretary's Final Supplemental Priorities and Definitions for Discretionary Grant Programs, published in the Federal Register on March 6, 2018 (83 FR 9096).

## XI. STANDARDIZED OBJECTIVES

The Training 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 Training Program Profile form, you must fill in the blanks indicating the percentage level of achievement for each of the objectives. You may not modify, amend or delete any of these objectives.

\_\_\_\_% of Training Participants that, each year, evaluated the training as benefiting them in increasing their qualifications and skills in meeting the needs of disadvantaged students.

\_\_\_\_% of Training Participants that, each year, evaluated the training as benefiting them in increasing their knowledge and understanding of the Federal TRIO Programs.

## **XII. RECOMMENDED PAGE LIMIT**

To assist the non-Federal reviewers in conducting a thorough peer review, we recommend that you limit the application narrative, which includes the budget narrative and invitational priorities, to no more than 55 pages and use the standards outlined in the Notice.

## **XIII. SUBMISSION REQUIREMENTS**

Training Program applications for FY 2018 must be submitted electronically using Grants.gov. You are urged to acquaint yourself with the requirements of Grants.gov early as the registration procedures may require 5 or more days to complete. A more thorough discussion is included later in this application package. The requirements for obtaining an exception to the electronic submission requirement are included in the Notice for FY 2018. If you think you may need an exception, you are urged to review the requirements promptly.

Please note that you must submit your application by 4:30:00 p.m., Eastern Time, on or before July 27, 2018, the application deadline date. Late applications will not be accepted. We suggest that you submit your application several days before the deadline. The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date and time.

All attachments must be in .PDF format. Other types of files will not be accepted.

You must provide the DUNS number that was used when your organization registered with the System for Award Management (SAM), formerly Central Contractor Registry (CCR).

## **XIV. ASSURANCES**

All applications must comply with the Training Program legislative and regulatory requirements. The assurances are included in the application package and must be signed by a certifying official. By submitting a Training Program application, an applicant certifies that it has read the assurances and will fully comply with the requirements.

## **XV. EVALUATION OF APPLICATIONS FOR AWARDS**

A panel of three non-Federal reviewers will evaluate each application in accordance with the selection criteria. Each reviewer will prepare a written evaluation of the information presented in the application narrative section of the application. All applications for grants under the Training Program will be evaluated as new submissions according to the selection criteria listed in the program regulations (34 CFR 642).

## **XVI. SELECTION OF GRANTEES**

The selection criteria in 34 CFR 642 are used to evaluate applications.

The Secretary will select applications for funding within each specific priority on the basis of the score received by the application in the peer review process. If there are insufficient funds to fund all applications at the next peer review score, the Secretary will add the PE points awarded under CFR section 642.22 to the peer review score to determine an adjusted total. In the event a tie score still exists, the Secretary will select the applicant that has the greatest capacity to provide training to eligible participants in all regions of the Nation, consistent with 642.23.

**Prior Experience:** In accordance with 34 CFR 642.22, if applicable, the Secretary will evaluate the applicant's performance under its expiring Training Program grant for applicants that have conducted a TRIO Training Program grant during the 2016-2018 grant period.

**Geographic Distribution of Awards:** In accordance with 34 CFR 642.23, the Secretary, to the greatest extent possible, awards grants for Training Program projects that will be carried out in all of the regions of the Nation in order to assure accessibility to prospective training participants.

## **XVII. NOTIFICATION OF AWARDS**

The Department's Office of Legislation and Congressional Affairs will inform the Congress regarding applications approved for new Training Program grants. Successful applicants will receive award notices through G5 shortly after the Congress is notified. No funding information will be released before the Congress is notified.

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

## **XVIII. SECOND REVIEW PROCESS**

To implement the legislative requirements for a second review of unsuccessful applications, the Department has a two-slate process. After the peer review of applications and the awarding of PE points, as applicable, the Department will rank all applications. The Department then will establish a funding band to determine the percentage of the total funds allotted for the competition that will be set aside for the second review. The determination of the percentage of funds to be reserved for the second review and the applications to be included in the funding band will be based on the distribution of application scores. The funding band will include all applications with a rank-order score that 1) is below the lowest score of applications funded after the first review and 2) would be funded if the Secretary had 150 percent of the funds that were set aside for the second review.

Only applicants whose applications scored within the funding band will be eligible for the second review. In addition, those applicants deemed eligible for the second review will have to provide evidence demonstrating that the Department, an agent of the Department, or a peer reviewer made an administrative or scoring error (as defined in the regulations) in the review of its application. The guidelines and criteria for the second review process are included in the Training Program Regulations (34 CFR 642.25).

## **XIX. TRIO TRAINING WEBSITE**

Additional information on the Training Program is accessible at the Department's website at:

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

## **XX. EXPECTATIONS OF SUCCESSFUL GRANTEES**

**Annual Performance Report** - If you receive a FY 2018 new grant award, you will be required to submit an annual performance report (APR) each year of the two-year funding cycle. This APR collects data about funded projects to enable program specialists to determine if a grantee is making substantial progress toward meeting approved project objectives.

Each successful applicant must agree to collect data and maintain records over the course of the grant period. The Department has established the following performance indicators for the Training Program through which the success of the program is measured: (1) the cost-effectiveness, based on the number of TRIO project personnel receiving training each year; (2) the percentage of Training Program participants that, each year, evaluate the training as benefiting them in increasing their qualifications and skills in meeting the needs of disadvantaged students; and (3) the percentage of Training Program participants that, each year, evaluate the training as benefiting them in increasing their knowledge and understanding of the Federal TRIO Programs.

As part of the annual performance report, grantees must report the number of participants served, the name and position of each participant, the TRIO program the participant supports, and the institution of the participant's project. The Department will collect this and other grant information annually, or twice during the grant period of Training Program grantees.

**Prior Approval** - Additionally, EDGAR, 34 CFR section 74.25, requires grantees to communicate with and obtain approval from the Lead Training Program Specialist when they seek a change in key personnel, the objectives of the project, or the scope of the project, including changes in dates or locations of training sessions. In general, when uncertain, it is always best to communicate with the Lead Training Program Specialist to verify compliance and appropriate grant management.

**Project Directors' Meeting** - All successful applicants will be required to participate in a Training Program Project Directors' Meeting in Washington, D.C. in the fall of 2018. The reason for this meeting will be to clarify the purpose of the training under each priority and the expectations that the Department has of its grantees. In the budget section of the application, the applicants should include funds for travel to Washington, D.C. to attend this one-day meeting.

**Coordinating Training** - Successful applicants will be asked to coordinate the dates and locations of the training to be provided with the Lead Training Program Specialist to ensure that training sessions do not overlap and are located and scheduled at times and places that will allow as many participants as possible to attend. Additionally, any necessary changes to the dates or locations must be approved by the Lead Training Program Specialist.

**Training Materials** - FY 2018 Training Program grantees will be asked to share their training materials with the Department at the end of each project year.

**Open Licensing Requirements** - Unless an exception applies, if you are awarded a grant under this competition, you will be required to openly license to the public grant deliverables created in whole, or in part, with Department grant funds. When the deliverable consists of modifications to pre-existing works, the license extends only to those modifications that can be separately identified and only to the extent that open licensing is permitted under the terms of any licenses or other legal restrictions on the use of pre-existing works. For additional information on the open licensing requirements please refer to 2 CFR 3474.20(c).

## **XXI. CONTACT INFORMATION**

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

Program Specialist: Suzanne Ulmer, Federal TRIO Programs, U.S. Department of Education, 400 Maryland Avenue S.W. room 278-44, Washington, D.C. 20202. Telephone: (202) 453-7691, Fax: (202) 502-7857 or (202) 260-7464, or E-mail Address: [suzanne.ulmer@ed.gov](mailto:suzanne.ulmer@ed.gov)

**For Grants.gov-related questions and assistance, please contact:**

Support Desk: Grants.gov Support Desk, Telephone: (800) 518-4726, Hours: 24 hours, 7 days a week, except Federal holidays, or Email: [support@grants.gov](mailto:support@grants.gov)

**NOTICE INVITING APPLICATIONS**

4000-01-U

DEPARTMENT OF EDUCATION

Applications for New Awards; Training Program for Federal TRIO Programs

AGENCY: Office of Postsecondary Education, Department of Education.

ACTION: Notice.

SUMMARY: The Department of Education is issuing a notice inviting applications for new awards for fiscal year (FY) 2018 for the Training Program for Federal TRIO Programs (Training Program), Catalog of Federal Domestic Assistance (CFDA) number 84.103A.

DATES:

Applications Available: June 27, 2018.

Deadline for Transmittal of Applications: July 27, 2018.

Deadline for Intergovernmental Review: September 25, 2018.

ADDRESSES: For the addresses for obtaining and submitting an application, please refer to our Common Instructions for Applicants to Department of Education Discretionary Grant Programs, published in the *Federal Register* on February 12, 2018 ([83 FR 6003](#)) and available at [www.gpo.gov/fdsys/pkg/FR-2018-02-12/pdf/2018-02558.pdf](http://www.gpo.gov/fdsys/pkg/FR-2018-02-12/pdf/2018-02558.pdf).

FOR FURTHER INFORMATION CONTACT: Suzanne Ulmer or, if unavailable, Carmen Gordon, U.S. Department of Education, 400 Maryland Avenue, SW, room 278-44, Washington, DC 20202. Telephone: (202) 453-7700.

Email: [TRIO@ed.gov](mailto:TRIO@ed.gov).

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

SUPPLEMENTARY INFORMATION:

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The Training Program provides grants to train the staff and leadership personnel employed in, participating in, or preparing for employment in, projects funded under the Federal TRIO Programs, so as to improve the operation of these projects.

Priorities: This notice contains six absolute priorities and three invitational priorities. In accordance with 34 CFR 75.105(b)(2)(iv) and 34 CFR 75.105(b)(2)(ii), the absolute priorities are selected from section 402G(b) of the Higher Education Act of 1965, as amended (HEA), and the regulations for this program at 34 CFR 642.24.

Absolute Priorities: For FY 2018 and any subsequent year in which we make awards from the list of unfunded applications from this competition, these priorities are absolute priorities. Under 34 CFR 75.105(c)(3), we consider only applications that meet these absolute priorities.

In accordance with 34 CFR 642.7, each application must clearly identify the specific absolute priority for which a grant is requested. An applicant must submit a separate application for each absolute priority it proposes to address. If an applicant submits

more than one application for the same absolute priority, we will accept only the application with the latest "date/time received" validation.

These priorities are:

Absolute Priority 1. Training to improve reporting of student and project performance and the evaluation of project performance in order to design and operate a model project funded under the Federal TRIO Programs.

Estimated number of awards: 2.

Maximum award amount: \$265,764.

Absolute Priority 2. Training on budget management and the statutory and regulatory requirements for operation of projects funded under the Federal TRIO Programs.

Estimated number of awards: 2.

Maximum award amount: \$265,764.

Absolute Priority 3. Training on assessment of student needs; retention and graduation strategies; and the use of appropriate educational technology in the operation of projects funded under the Federal TRIO programs.

Estimated number of awards: 1.

Maximum award amount: \$344,945.

Absolute Priority 4. Training on assisting students in receiving adequate financial aid from programs assisted under title IV of the HEA and from other programs, on college and university admissions

policies and procedures, and on proven strategies to improve the financial literacy and economic literacy of students, including topics such as basic personal finance information, household money management and financial planning skills, and basic economic decision making skills.

Estimated number of awards: 2.

Maximum award amount: \$265,764.

Absolute Priority 5. Training on strategies for recruiting and serving hard to reach populations, including 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 this 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.

Estimated number of awards: 1.

Maximum award amount: \$344,945.

Absolute Priority 6. Training on general project management for new project directors who have been in their positions less than two years, including training on the content of absolute priorities 1 through 5. The training should provide new directors with the basic tools required to be a successful TRIO project director.

Estimated number of awards: 2.

Maximum award amount: \$294,464.

Under this competition we are particularly interested in applications that address the following priorities.

Invitational Priorities: For FY 2018 and any subsequent year in which we make awards from the list of unfunded applications for this competition, these priorities are invitational priorities. Under 34 CFR 75.105(c)(1), we do not give an application that meets these invitational priorities a competitive or absolute preference over other applications.

These priorities are:

Invitational Priority 1:

Applications that propose projects designed to address one or more of the following priority areas:

(a) Implementing strategies that ensure education funds are spent in a way that increases their efficiency and cost-effectiveness, including by reducing waste or achieving better outcomes.

(b) Supporting training toward innovative strategies or research that have the potential to lead to significant and wide-reaching improvements in the delivery of educational services.

(c) Reducing compliance burden within the grantee's operations (including on partners working to achieve grant objectives or being served by the grant) in a manner that decreases paperwork or staff time spent on administrative functions, or other measurable ways that help

education providers to save money, benefit more students, or improve results.

Invitational Priority 2:

Applications that propose projects designed to assist TRIO grantees with the ongoing implementation of the evidence-based strategies for which they received competitive preference in their approved applications.

Invitational Priority 3:

Applications that propose projects designed to assist TRIO grantees with improving student achievement or other educational outcomes in one or more of the following areas: science, technology, engineering, math, or computer science (as defined in the Secretary's Final Supplemental Priorities and Definitions for Discretionary Grant Programs, published in the *Federal Register* on March 2, 2018 (83 FR 9096): specifically, supporting programs that lead to recognized postsecondary credentials (as defined in section 3(52) of the Workforce Innovation and Opportunity Act) or skills that align with the skill needs of industries in the State or regional economy involved for careers in science, technology, engineering, and math fields, including computer science.

Program Authority: 20 U.S.C. 1070a-11 and 1070a-17.

Applicable Regulations: (a) The Education Department General Administrative Regulations in 34 CFR parts 75 (except for 75.215 through 75.221), 77, 79, 82, 84, 86, 97, 98, and 99. (b) The Office

of Management and Budget Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) in 2 CFR part 180, as adopted and amended as regulations of the Department in 2 CFR part 3485. (c) The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR part 200, as adopted and amended as regulations of the Department in 2 CFR part 3474. (d) The regulations for this program in 34 CFR part 642.

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

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

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: The Consolidated Appropriations Act, 2018 provided \$1,010,000,000 for the Federal TRIO Programs for FY 2018, of which we intend to use an estimated \$2,873,402 for Training Program awards.

Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2019 from the list of unfunded applications from this competition.

Estimated Range of Awards: \$265,764-\$344,945.

Estimated Average Size of Awards: \$287,340.

Maximum Award and Minimum Participants: We will not make an award exceeding the maximum award amount listed here for a single budget

period of 12 months. Projects proposed under each absolute priority also must propose to serve the minimum number of applicable participants listed here.

Under Absolute Priorities 1, 2, and 4, the maximum award amount is \$265,764 and the minimum number of participants is 231. Under Absolute Priorities 3 and 5, the maximum award amount is \$344,945 and the minimum number of participants is 300. Under Absolute Priority 6, the maximum award amount is \$294,464 and the minimum number of participants is 256.

Estimated Number of Awards: 10.

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

Project Period: Up to 24 months.

### III. Eligibility Information

1. Eligible Applicants: IHEs and other public and private nonprofit institutions and organizations.

2. Cost Sharing or Matching: This program does not require cost sharing or matching.

3. Subgrantees: A grantee under this competition may not award subgrants to entities to directly carry out project activities described in its application.

### IV. Application and Submission Information

1. Application Submission Instructions: For information on how to submit an application please refer to our Common Instructions for Applicants to Department of Education Discretionary Grant Programs,

published in the *Federal Register* on February 12, 2018 (83 FR 6003) and available at [www.gpo.gov/fdsys/pkg/FR-2018-02-12/pdf/2018-02558.pdf](http://www.gpo.gov/fdsys/pkg/FR-2018-02-12/pdf/2018-02558.pdf).

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

3. Funding Restrictions: We specify unallowable costs in 34 CFR 642.31. We reference additional regulations outlining funding restrictions in the Applicable Regulations and Application Review Information sections of this notice.

4. Recommended Page Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. We recommend that you (1) limit the application narrative, which includes the budget narrative and invitational priority, to no more than 55 pages and (2) use the following standards.

Note: Applications that do not follow the page limit and formatting recommendations will not be penalized.

- A "page" is 8.5" x 11", on one side only, with 1" margins.
- Double-space all text in the application narrative, and single-space titles, headings, footnotes, quotations, references, and captions.
- Use a 12-point font.

- Use an easily readable font such as Times New Roman, Courier, Courier New, or Arial.

The recommended page limit does not apply to Part I, the Application for Federal Assistance face sheet (SF 424); Part II, the Budget Information Summary form (ED Form 524); Part III-A, the Program Profile form; Part III-B, the one-page Project Abstract form; or Part IV, the Assurances and Certifications. The recommended page limit also does not apply to a table of contents, which we recommend that you include in the application narrative.

5. Content and Form of Application Submission: You should indicate the absolute priority addressed in your application both on the one-page abstract and on the Training Program Profile Sheet. You must include your complete response to the selection criteria and absolute priorities in the application narrative. Other requirements concerning the content of an application, together with the forms you must submit, are in the application package for this program.

## V. Application Review Information

1. Selection Criteria: The selection criteria for this program are from 34 CFR 642.21 and are as follows:

(a) Plan of operation. (20 points)

(1) The Secretary reviews each application for information that shows the quality of the plan of operation for the project.

(2) The Secretary looks for information that shows—

(i) High quality in the design of the project;

(ii) An effective plan of management that ensures proper and efficient administration of the project;

(iii) A clear description of how the objectives of the project relate to the purpose of the program;

(iv) The way the applicant plans to use its resources and personnel to achieve each objective; and

(v) A clear description of how the applicant will provide equal access and treatment for eligible project participants who are members of groups that have been traditionally underrepresented, such as—

(A) Members of racial or ethnic minority groups;

(B) Women;

(C) Individuals with disabilities; and

(D) The elderly.

(b) Quality of key personnel. (20 points)

(1) The Secretary reviews each application for information that shows the qualifications of the key personnel the applicant plans to use on the project.

(2) The Secretary looks for information that shows—

(i) The qualifications of the project director;

(ii) The qualifications of each of the other key personnel to be used in the project;

(iii) The time that each person referred to in paragraphs (b) (2) (i) and (ii) of this section plans to commit to the project; and

(iv) The extent to which the applicant, as part of its nondiscriminatory employment practices, encourages applications for employment from persons who are members of groups that have been traditionally underrepresented, such as—

- (A) Members of racial or ethnic minority groups;
- (B) Women;
- (C) Individuals with disabilities; and
- (D) The elderly.

(3) To determine the qualifications of a person, the Secretary considers evidence of past experience and training, in fields related to the objectives of the project, as well as other information that the applicant provides.

(c) Budget and cost effectiveness. (10 points)

(1) The Secretary reviews each application for information that shows that the project has an adequate budget and is cost effective.

(2) The Secretary looks for information that shows—

- (i) The budget for the project is adequate to support the project activities; and
- (ii) Costs are reasonable in relation to the objectives of the project.

(d) Evaluation plan. (10 points)

(1) The Secretary reviews each application for information that shows the quality of the evaluation plan for the project.

(2) The Secretary looks for information that shows methods of evaluation that are appropriate for the project and, to the extent possible, are objective and produce data that are quantifiable.

(e) Adequacy of resources. (15 points)

(1) The Secretary reviews each application for information that shows that the applicant plans to devote adequate resources to the project.

(2) The Secretary looks for information that shows—

(i) The facilities that the applicant plans to use are adequate; and

(ii) The equipment and supplies that the applicant plans to use are adequate.

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

In addition, in making a competitive grant award, the Secretary requires various assurances including those applicable to Federal

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

For this competition, a panel of non-Federal reviewers will review each application in accordance with the selection criteria in 34 CFR 642.21. The individual scores of the reviewers will be added and the sum divided by the number of reviewers to determine the peer review score received in the review process. Additionally, in accordance with 34 CFR 642.22, the Secretary will award prior experience points to eligible applicants by evaluating the applicant's current performance under its expiring Training Program grant. Pursuant to 34 CFR 642.22(b)(1), prior experience points, if any, will be added to the application's averaged peer review score to determine the total score for each application.

Under section 402A(c)(3) of the HEA, the Secretary is not required to make awards under the Training Program in the order of the scores received.

In the event a tie score exists, the Secretary will select for funding the applicant that has the greatest capacity to provide training to eligible participants in all regions of the Nation in order to assure accessibility to the greatest number of prospective training participants, consistent with 34 CFR 642.20(e).

3. Risk Assessment and Specific Conditions: Consistent with 2 CFR 200.205, before awarding grants under this program the Department

conducts a review of the risks posed by applicants. Under 2 CFR 3474.10, the Secretary may impose specific conditions and, in appropriate circumstances, high-risk conditions on a grant if the applicant or grantee is not financially stable; has a history of unsatisfactory performance; has a financial or other management system that does not meet the standards in 2 CFR part 200, subpart D; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

4. Integrity and Performance System: If you are selected under this competition to receive an award that over the course of the project period may exceed the simplified acquisition threshold (currently \$150,000), under 2 CFR 200.205(a)(2) we must make a judgment about your integrity, business ethics, and record of performance under Federal awards--that is, the risk posed by you as an applicant--before we make an award. In doing so, we must consider any information about you that is in the integrity and performance system (currently referred to as the Federal Awardee Performance and Integrity Information System (FAPIIS)), accessible through the System for Award Management. You may review and comment on any information about yourself that a Federal agency previously entered and that is currently in FAPIIS.

Please note that, if the total value of your currently active grants, cooperative agreements, and procurement contracts from the Federal Government exceeds \$10,000,000, the reporting requirements in 2 CFR

part 200, Appendix XII, require you to report certain integrity information to FAPIIS semiannually. Please review the requirements in 2 CFR part 200, Appendix XII, if this grant plus all the other Federal funds you receive exceed \$10,000,000.

#### VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators, and we send you a Grant Award Notification (GAN) or an email containing a link to access an electronic version of your GAN. We may notify you informally, also.

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

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

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

3. Open Licensing Requirements: Unless an exception applies, if you are awarded a grant under this competition, you will be required to openly license to the public grant deliverables created in whole, or in part, with Department grant funds. When the deliverable

consists of modifications to pre-existing works, the license extends only to those modifications that can be separately identified and only to the extent that open licensing is permitted under the terms of any licenses or other legal restrictions on the use of pre-existing works. Additionally, a grantee that is awarded competitive grant funds must have a plan to disseminate these public grant deliverables. This dissemination plan can be developed and submitted after your application has been reviewed and selected for funding. For additional information on the open licensing requirements please refer to 2 CFR 3474.20.

4. Reporting: (a) If you apply for a grant under this competition, you must ensure that you have in place the necessary processes and systems to comply with the reporting requirements in 2 CFR part 170 should you receive funding under the competition. This does not apply if you have an exception under 2 CFR 170.110(b).

(b) At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multiyear award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to

[www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html).

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

5. Performance Measures: The success of the Training Program is measured by its cost-effectiveness based on the number of TRIO project personnel receiving training each year; the percentage of Training Program participants that, each year, evaluate the training as benefiting them in increasing their qualifications and skills in meeting the needs of disadvantaged students; and the percentage of Training Program participants that, each year, evaluate the training as benefiting them in increasing their knowledge and understanding of the Federal TRIO Programs. All grantees will be required to submit an annual performance report documenting their success in training personnel working on TRIO-funded projects, including the average cost per trainee and the trainees' evaluations of the effectiveness of the training provided. The success of the Training Program also is assessed on the quantitative and qualitative outcomes of the training projects based on project evaluation results.

6. Continuation Awards: In making a continuation award under 34 CFR 75.253, the Secretary considers, among other things: whether a grantee has made substantial progress in achieving the goals and objectives of the project; whether the grantee has expended funds in a manner that is consistent with its approved application and budget; and, if the Secretary has established performance measurement

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

In making a continuation grant, the Secretary also considers whether the grantee is operating in compliance with the assurances in its approved application, including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

#### VII. Other Information

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

Electronic Access to This Document: The official version of this document is the document published in the *Federal Register*. You may access the official edition of the *Federal Register* and the Code of Federal Regulations via the Federal Digital System at [www.gpo.gov/fdsys](http://www.gpo.gov/fdsys). At this site you can view this document, as well as all other documents of this Department published in the *Federal Register*, in text or Portable Document Format (PDF). To use PDF you must have Adobe Acrobat Reader, which is available free at the site. You may also access documents of the Department published in the *Federal Register* by using the article search feature at

[www.federalregister.gov](http://www.federalregister.gov). Specifically, through the advanced search feature at this site, you can limit your search to documents published by the Department.

Dated:

Frank T. Brogan,

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*Principal Deputy Assistant Secretary and Delegated the duties of the Assistant Secretary, Office of Planning, Evaluation and Policy Development, Delegated the duties of the Assistant Secretary, Office of Postsecondary Education.*

## APPLICATION CHECKLIST / INSTRUCTIONS

The Training Program application consists of the following four required parts. Note that all attachments must be in .PDF format. Other types of files will not be accepted.

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

Please do not attach any narratives, supporting files, or application components to the SF 424 Form. Although the form accepts attachments, the Department only will review the SF 424 and the specific items listed below.

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

- Part III: Application Narrative**  
Selection Criteria

The Project Narrative Attachment Form is where you will attach your **narrative** response to the selection criteria that will be used to evaluate your submission for this competition. You should include a Table of Contents for your application as the first page of this section. You will also include your budget narrative in this section as a part of the selection criteria.

- Part III-A: Training Program Profile Form**

The Training Program Profile Form should be attached to the Other Attachments Form in the application package in Grants.gov (as a .pdf document). You may not change the wording of the standard or “standardized” objectives.

- Part III-B: One-page Project Abstract**

Please attach the abstract to the ED Abstract Form. This one-page abstract should be single-spaced.

- Part IV: Assurances and Certifications** -- Applicants must complete the following assurances and certifications included in the application package:

- Non-Construction Programs (SF 424B)
- Grants.gov Lobbying Form (ED Form 80-0013)
- Disclosure of Lobbying Activities (SF LLL)
- ED GEPA 427 Form

**PART I: STANDARD FORM 424**

## INSTRUCTIONS FOR THE SF-424

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

Item	Entry:	Item:	Entry:
1.	<b>Type of Submission:</b> (Required) Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Pre-application</li> <li>• Application</li> <li>• Changed/Corrected Application – Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date.</li> </ul>	10.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the federal agency from which assistance is being requested with this application.
		11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	<b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the federal government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.</li> </ul> <p>A. Increase Award                      D. Decrease Duration            B. Decrease Award                    E. Other (specify)            C. Increase Duration</p>	12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	<b>Competition Identification Number/Title:</b> Enter the competition identification number and title of the competition under which assistance is requested, if applicable.
		14.	<b>Areas Affected By Project:</b> This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or the applicant's control number if applicable.		
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the federal agency, if any.	16.	<b>Congressional Districts Of:</b> 16a. (Required) Enter the applicant's congressional district. 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina's 103 district. If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form.
5b.	<b>Federal Award Identifier:</b> For new applications, enter NA. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the state, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the state, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		

			Attach an additional list of program/project congressional districts, if needed.								
	<b>a. Legal Name:</b> (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the System for Award Management (SAM), formerly Central Contractor Registry (CCR). Information on registering with SAM may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.								
	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	<b>Estimated Funding:</b> (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.								
	<b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .	19.	<b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> (Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.								
	<b>d. Address:</b> Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).	20.	<b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.								
	<b>e. Organizational Unit:</b> Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.	21.	<b>Authorized Representative:</b> To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)								
	<b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.										
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.										
	<table border="0"> <tr> <td>A. State Government</td> <td>M. Nonprofit</td> </tr> <tr> <td>B. County Government</td> <td>N. Private Institution of Higher Education</td> </tr> <tr> <td>C. City or Township Government</td> <td>O. Individual</td> </tr> <tr> <td>D. Special District Government</td> <td>P. For-Profit Organization (Other</td> </tr> </table>	A. State Government	M. Nonprofit	B. County Government	N. Private Institution of Higher Education	C. City or Township Government	O. Individual	D. Special District Government	P. For-Profit Organization (Other		
A. State Government	M. Nonprofit										
B. County Government	N. Private Institution of Higher Education										
C. City or Township Government	O. Individual										
D. Special District Government	P. For-Profit Organization (Other										

	<ul style="list-style-type: none"> <li>E. Regional Organization</li> <li>F. U.S. Territory or Possession</li> <li>G. Independent School District</li> <li>H. Public/State Controlled Institution of Higher Education</li> <li>I. Indian/Native American Tribal Government (Federally Recognized)</li> <li>J. Indian/Native American Tribal Government (Other than Federally Recognized)</li> <li>K. Indian/Native American Tribally Designated Organization</li> <li>L. Public/Indian Housing Authority</li> </ul>	<ul style="list-style-type: none"> <li>Q. Small Business (Other than Small Business)</li> <li>R. Hispanic-serving Institution</li> <li>S. Historically Black Colleges and Universities (HBCUs)</li> <li>T. Tribally Controlled Colleges and Universities (TCCUs)</li> <li>U. Alaska Native and Native Hawaiian Serving Institutions</li> <li>V. Non-US Entity</li> <li>W. Other (specify)</li> </ul>		
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**[U.S Department of Education note:** As of spring, 2010, the FON discussed in Block 12 of the instructions can be found via the following URL: [http://www.grants.gov/applicants/find\\_grant\\_opportunities.jsp](http://www.grants.gov/applicants/find_grant_opportunities.jsp).]

**INSTRUCTIONS FOR  
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. Items marked with an asterisk (\*) are mandatory.

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

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

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

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

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

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

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

**3b. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide Assurance (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. **(A list of current FWAs is available**

**at: <http://ohrp.cit.nih.gov/search/asearch.asp#ASUR>)** If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

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

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

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

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

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

**Definitions:**

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

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

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

**PROTECTION OF HUMAN SUBJECTS IN RESEARCH**

**I. Definitions and Exemptions**

**A. Definitions.**

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

**—Research**

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

**—Human Subject**

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

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

## **B. Exemptions.**

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

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

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

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

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

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

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

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

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

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

**A. Exempt Research Narrative.**

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

**B. Nonexempt Research Narrative.**

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

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

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

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

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

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

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

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

***Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the U.S. Department of Education, Protection of Human Subjects Coordinator, Office of the Chief Financial Officer, LBJ Building, 400 Maryland Avenue, SW, Washington, D.C. 20202-4250, telephone: (202) 260-3353, and on the U.S. Department of Education’s Protection of Human Subjects in Research Web Site: <http://www.ed.gov/about/offices/list/ocfo/humansub.html>***

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

**PART II: ED FORM 524**

**INSTRUCTIONS FOR THE BUDGET SUMMARY  
AND ITEMIZED LINE ITEM BUDGET (ED FORM 524)**

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

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

**The budget narrative, for the first 12-month budget period only**, is to be included in the *Application Narrative* (limited to 55 pages (recommended) and attached to the Project Narrative Attachment Form) as part of the Budget selection criterion.

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

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

The Department is requesting that you complete the Budget Information – Non-Construction Programs (ED Form 524) for **ONLY** the 2018-2019 year. Please provide a **comprehensive and detailed budget narrative for the first 12-month budget period, only**.

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

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

1. **Personnel:** On line 1 (ED Form 524), enter only the project personnel salaries and wages. [Fees and expenses for consultants should be included on line 8.] The budget should include the total commitment of time and the total salary to be charged to the project for each key staff member. You should provide a breakdown of project personnel that includes: the position titles; the percent of time and number of months committed to the project for each key staff member; the salary for each key staff member; and the total salary costs to be charged to the grant.
2. **Fringe Benefits:** On line 2 (ED Form 524), enter the amount of fringe benefits. The institution or agency’s normal fringe benefit contribution may be charged to the program. Leave this blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect costs. In the budget, include an explanation and appropriate justification if the institution or agency’s normal fringe benefit contribution exceeds 20 percent of salaries.

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

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

Project Director's Travel – Per Year

One National Conference;  
One Regional Meeting;  
One State Meeting; and  
Travel for participation in the TRIO Training Project Directors' Meeting in the fall of 2018.

Project Staff Travel – Per Year

One National, Regional, **or** State Meeting; and  
Travel for participation in **one** professional staff development training opportunity under the TRIO Training Program.

4. Equipment: On line 4 (ED Form 524), indicate the cost of equipment -- non-expendable personal property, which has a usefulness of greater than one year and an acquisition cost of \$5,000 or more per unit. [Consistent with an applicant's policy, a lower dollar amount may be used to define equipment.] In the budget, explain why the requested equipment is necessary to carry out project activities, and include a list of all equipment in the following format: item, quantity, cost per unit, and total cost.
5. Supplies: On line 5 (ED Form 524), include the costs of all tangible personal property that was not included as "equipment" on line 4. In the budget, provide an itemized list of the supplies.
6. Contractual: Not applicable. Leave blank.
7. Construction: Not applicable. Leave blank.
8. Other: On line 8 (ED Form 524), indicate all direct costs not covered on lines 1 through 5. The costs/fees for consultants and consultants' travel should be included here. Examples of

“other” costs are: equipment rental, required fees, communication costs, rental of space, utilities, custodial services, and printing costs. In the budget, provide a breakdown of all direct costs not clearly covered by other budget categories.

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

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

All grants awarded under the Training Program (84.103A) are designated as training grants. The Education Department General Administrative Regulations (EDGAR) limits reimbursement to grantees for indirect costs they incur under training grants to the grantee’s actual indirect costs as determined by the grantee’s negotiated indirect cost agreement or a maximum of 8 percent of a modified total direct cost base, whichever is less. (NOTE: This limitation does not apply to State agencies, or local governments, or federally recognized Indian tribal governments. [§75.562(c) (2)])

A modified total direct cost base is defined as total direct costs, less stipends, tuition and related fees, and capital expenditures of \$5,000 or more per unit. Therefore, calculations of indirect costs may not include cost of equipment, stipends, tuition and related fees, room and board and summer non-residential meals associated with the Training Program.

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

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

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

11. Training Stipends: Not applicable. Leave blank.
12. Total Costs: On line 12 (ED Form 524), provide the total amount that you are requesting – the sum of lines 9 and 10. Note: This amount should also be the same as that shown in 18g on the application face sheet (SF 424) and on the detailed budget narrative in Part III.

**PART III: APPLICATION NARRATIVE**

## INSTRUCTIONS FOR COMPLETING THE NARRATIVE – SELECTION CRITERIA

Applications will be evaluated according to the specific selection criteria specified in the Notice. Applicants must address the selection criteria in the Application Narrative.

The Secretary evaluates an application on the basis of the criteria outlined in 34 CFR section 642.21 of the Training Program regulations. The Application Narrative should provide, in detail, the information that addresses each selection criterion. To facilitate the review of the application, provide responses to the selection criteria in the order shown below.

As you develop your application, we ask you to consider carefully the specific content of the training that you will provide through your curriculum and the expertise and knowledge expected of the trainers. We will look for high quality training that includes opportunities for the participants to gain knowledge, skills, and resources that support the goals of the specific priority. While we are not requiring that you provide on-line training, we encourage applicants to consider including on-line training sessions. As appropriate for the specific priority, trainers should have knowledge and expertise in serving students with backgrounds similar to TRIO-eligible students as well as success in training adults. You will find more information on the selection criteria and application review process in this packet and in the Notice.

The Secretary awards up to 75 points for these criteria. The maximum possible score for each of the selection criteria is indicated in parenthesis.

- |                                  |             |
|----------------------------------|-------------|
| 1. Plan of Operation             | (20 points) |
| 2. Quality of Key Personnel      | (20 points) |
| 3. Budget and Cost Effectiveness | (10 points) |
| 4. Evaluation Plan               | (10 points) |
| 5. Adequacy of Resources         | (15 points) |

### **TOTAL MAXIMUM SCORE FOR SELECTION CRITERIA IS 75 POINTS**

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

**Plan of Operation:** This part of the application should provide information on who, what, when and how the project will provide services to meet its goals and objectives. See the discussion on the absolute priorities for more information on addressing this criterion.

**Quality of Key Personnel:** The minimum qualifications must be identified for all project personnel positions. The minimum educational qualifications should include the type of degree required and the acceptable field(s) of study for each key position. The type and minimum amount of work-related experience should also be described for each position. Potential staff for the project must have documented knowledge and expertise in serving TRIO-eligible students as well as documented knowledge and expertise in training adults. Applicants should not give the qualifications of specific people that they plan to employ, but should give the qualifications required for the positions.

**Budget:** In response to this criterion, applicants must provide a detailed, itemized budget (ED Form 524) and a detailed budget narrative only for the first-year budget period. The budget narrative is to be included in the Application Narrative. Additional budget instructions are cited in the instructions entitled “Instructions for the Budget Summary and Itemized Line Item Budget (ED Form 524).”

**Evaluation Plan:** A strong evaluation plan should be included and 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. Specifically, the plan should identify the individual or organization that has agreed to serve as evaluator for the project and describe the qualifications of the evaluator. 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 both about success at the initial training site and effective strategies for replication in other settings. Applicants are encouraged to devote an appropriate level of resources to project evaluation. The use of an outside evaluator is not required.

**Adequacy of Resources:** This section should provide information that shows that the proposed budget will provide the resources necessary to successfully carry out the proposed training. Applicants should demonstrate here how the proposed resources would enable them to carry out the planned training sessions in the most cost-effective manner possible.

## ABSOLUTE AND INVITATIONAL PRIORITIES FOR FY 2018

### **ABSOLUTE PRIORITIES**

The Department will fund projects under the Training Program that provide training for the staff and leadership personnel employed by, participating in, or preparing for employment in projects funded under the Federal TRIO Programs. The Secretary has identified the content of the training to be held under the following six absolute priorities for this competition.

Applicants should indicate the priority number under which they are applying in Box 15, "Descriptive Title of Applicant's Project," of the SF 424. *Example: "Priority #1."* This will ensure that the reviewers clearly know under which priority an application should be considered.

#### **Note:**

- 1) Applicants must identify and provide the position requirements and qualifications of experts who have proven knowledge and expertise in serving TRIO-eligible students, and in training adults.
- 2) Applicants must show evidence of having researched and identified training methods for adults that have had proven success.
- 3) Applicants must demonstrate how they will meet the objectives set forth in the Part III-A Training Program Profile form.

#### ***Absolute Priority #1***

#### **Training to improve reporting student and project performance and the evaluation of project performance in order to design and operate a model project funded under the Federal TRIO Programs.**

Training conducted under this priority must emphasize and support the importance of using project data to improve project performance. Applicants must explain how they will assist participants to develop procedures to: collect data that will meet the program-specific standardized objectives; analyze the data; report the data to the Department; evaluate the project through the data; and use the information gained from the data to improve the project's success in meeting its program-specific objectives.

#### ***Recordkeeping and Reporting***

- Applicants must have a working knowledge of the program-specific objectives for every TRIO Program in order to assist participants with identifying effective ways to collect, record and analyze the data that will serve to meet these objectives.
- The training must provide TRIO personnel with effective strategies for reporting student and project performance to the Department.
- Applicants must have a working knowledge of the Department's performance reporting requirements for each TRIO program.

#### ***Evaluation***

- The training must provide TRIO personnel with information and resources on how to conduct a formative and summative evaluation in order to improve the performance of the project staff and the project as a whole.

### ***Absolute Priority #2***

#### **Training on budget management and the statutory and regulatory requirements for operation of projects funded under the Federal TRIO Programs.**

Applicants must understand how the TRIO legislation, regulations, Departmental policies and the Office of Management and Budget's Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, commonly called "Uniform Guidance," that was implemented in December 2014 should shape a TRIO project's budget and program management practices. Training conducted under this priority must provide participants with an understanding of the connection between program management and operation and the legislative and regulatory requirements governing the TRIO projects.

#### ***Budget Management***

- Applicants must emphasize how to develop and improve budget management through internal controls and financial management with special emphasis placed on the relevant OMB Circulars. Training must cover the checks and balances designed to ensure that grant funds are used only for eligible expenses and that no one person controls the authorization and disbursement of grant funds. Training must also cover the conflict of interest provisions and the grantee's obligations as a fiduciary agent.

#### ***Legislative and Regulatory Requirements***

- Applicants must have a working knowledge of the legislation and regulations that govern the TRIO Programs, including the Education Department General Administrative Regulations (EDGAR), OMB Circulars, and policy statements issued by the Department. Applicants should propose training that will provide participants with examples of practical applications of the governing rules for each TRIO program and the TRIO programs as a whole. Emphasis should be placed on:
  - Providing a history of the legislative purpose of TRIO programs in order to highlight the importance of adherence to the authorizing legislation and regulations;
  - Determining student/participant eligibility;
  - Understanding the difference between allowable and non-allowable costs;
  - Learning how to prevent and resolve audit disputes; and
  - Examining ways to coordinate TRIO projects with other programs for disadvantaged students.
- Applicants may propose to conduct training for institutional teams in order to assist them in understanding the legislation and regulations governing the TRIO programs. Team training should ensure that institutional representatives from other departments at the host institutions and agencies, along with the TRIO project directors and staff, understand the expectations, rights, and responsibilities of the institutions and agencies that agree to sponsor TRIO grants.

### ***Absolute Priority #3***

**Training on assessment of student needs; retention and graduation strategies; and the use of appropriate educational technology in the operation of projects funded under the Federal TRIO programs .**

Applicants must propose training that will provide TRIO personnel with proven strategies for assessing students' needs, retaining students, and for supporting them through graduation at the secondary and postsecondary levels. Training must include substantive information on the use of educational technology as a project strategy to serve TRIO students and meet the goals of retention and graduation.

***Needs Assessment***

- Training must teach the participants how to assess the needs of their student project participants, and how to tailor counseling and support to the specific needs of these students.

***Retention and Graduation Strategies***

- Applicants must emphasize the importance of strategies that take into account the diverse cultural backgrounds of TRIO student participants, and the training must take into consideration the diverse needs of these students.
- Applicants must show that the identified strategies have proven results in supporting TRIO projects with demonstrated growth in student participants' retention and graduation rates.

***Educational Technology***

- Applicants must address different ways that TRIO personnel can use technology to both manage their projects and provide services to students, with an emphasis on services that utilize educational technology.
- Applicants must have a proven track record of providing training in educational technology and the proven ability to tailor training to participants' varied skill levels and knowledge.

***Absolute Priority #4***

**Training on assisting students in receiving adequate financial aid from programs assisted under title IV of the HEA and from other programs; college and university admissions policies and procedures; and proven strategies to improve the financial literacy and economic literacy of students, including topics such as basic personal finance information, household money management and financial planning skills, and basic economic decision making skills.**

Applicants must address how they will train TRIO project staff and leadership personnel to understand and obtain the information and skills needed to assist student participants in obtaining adequate student financial aid. Applicants must demonstrate their understanding of college and university entrance requirements – including the requirements for student transfer from 2-year to 4-year institutions and for entrance into graduate school. Applicants must provide evidence that they have experience in developing strategies to improve the financial and economic literacy of students. The Department is especially interested in applicants that have proven experience and knowledge regarding how to meet the needs of, and how to help create opportunities for, non-traditional students.

***Student Financial Aid***

- Training under this priority must give particular attention to how projects can work with financial aid offices to provide students sufficient financial assistance to meet their full financial need while limiting the students' loan burden to a manageable level.
- Applicants must be able to train participants on the appropriate use of the grant aid provision in the Student Support Services Program.

### ***Admissions Policies and Procedures***

- Training must demonstrate proven strategies to provide TRIO project personnel a working knowledge and understanding of the variety of college and university admissions policies and procedures. The training must also provide information and skills that will allow TRIO project personnel to access the policies and procedures of different institutions, and also allow them to best help TRIO students navigate these diverse processes.
- Applicants must provide evidence that they have proven strategies to enable TRIO staff and leadership personnel to provide student participants with assistance in applying for and gaining admission to college and universities – including transfer from a 2-year to a 4-year institution of higher education, and admission to graduate school.
- Applicants should give attention to how projects can help a student interested in enrolling in a graduate program to secure graduate fellowships or assistantships.

### ***Financial and Economic Student Literacy***

- Applicants should demonstrate how they will provide TRIO project personnel with proven methodologies for improving the TRIO student participants' financial and economic literacy.
- Applicants should show that they have a proven track record in providing training in personal financial management, including basic personal income, household money management, financial planning skills and basic economic decision-making skills.

### ***Absolute Priority #5***

**Training on strategies for recruiting and serving hard to reach populations, including 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 this 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.**

Applicants must propose training that will provide TRIO project personnel with proven strategies for recruiting and serving students from hard to reach populations. Training must include substantive information on developing outreach programs to recruit these students and methodologies for serving these students.

### ***Recruitment***

- Applicants must provide TRIO staff and leadership personnel with proven strategies to develop programs to recruit hard to reach student populations.
- Applicants must show that they have a proven track record of providing training on effective strategies for recruiting hard to reach populations for educational services.

### ***Service***

- Applicants must have a working knowledge and proven track record of methodologies and strategies designed to provide educational services to hard-to-reach student populations.
- Applicants must provide evidence that they have proven strategies to enable TRIO staff and leadership personnel to provide services designed specifically for students from hard to reach populations.

**Training on general project management for new project directors who have been in their position less than two years, including the content of absolute priorities one through five, to provide new directors with the basic tools required to be a TRIO project director and serve TRIO students.**

- Applicants must have a working knowledge of the program-specific objectives for every TRIO Program in order to assist participants with identifying effective ways to collect, record and analyze the data that will serve to meet these objectives.
- Applicants must have a working knowledge of the Department’s performance reporting requirements for each TRIO program and provide effective strategies for collecting and maintaining the information needed for reporting student and project performance to the Department.
- The training must provide new directors with information and resources on how to conduct a formative and summative evaluation in order to improve the performance of the project staff and the project as a whole.
- Applicants must emphasize how to develop and improve budget management through internal controls and financial management with special emphasis placed on the relevant OMB Circulars. Training must cover the checks and balances designed to ensure that grant funds are used only for eligible expenses and that no one person controls the authorization and disbursement of grant funds. Training must also cover the conflict of interest provisions and the grantee’s obligations as a fiduciary agent.
- Applicants must have a working knowledge of the legislation and regulations that govern the TRIO Programs, including the Education Department General Administrative Regulations (EDGAR), OMB Circulars, and policy statements issued by the Department. Applicants should propose training that will provide participants with examples of practical applications of the governing rules for each TRIO program and the TRIO programs as a whole. Emphasis should be placed on:
  - Providing a history of the legislative purpose of TRIO programs in order to highlight the importance of adherence to the authorizing legislation and regulations;
  - Determining student/participant eligibility;
  - Understanding the difference between allowable and non-allowable costs;
  - Learning how to prevent and resolve audit disputes; and
  - Examining ways to coordinate TRIO projects with other programs for disadvantaged students.
- Training must teach the new directors how to assess the needs of their student project participants, and how to tailor counseling and support to the specific needs of these students.
- Applicants must emphasize the importance of strategies that take into account the diverse cultural backgrounds of TRIO student/participants, and the training must take into consideration the diverse needs of these students.
- Applicants must show that the identified strategies have proven results in supporting TRIO projects with demonstrated growth in student/participants’ retention and graduation rates.
- Applicants must address different ways that new directors can use technology to both manage their projects and provide services to students, with an emphasis on services that utilize educational technology.
- Applicants must have a proven track record of providing training in educational technology and the proven ability to tailor training to participants’ varied skill levels and knowledge.

## **INVITATIONAL PRIORITIES**

### Invitational Priority 1:

Applications that propose projects designed to address one or more of the following priority areas:

- (a) Implementing strategies that ensure education funds are spent in a way that increases their efficiency and cost-effectiveness, including by reducing waste or achieving better outcomes.
- (b) Supporting training toward innovative strategies or research that has the potential to lead to significant and wide-reaching improvements in the delivery of educational services.
- (c) Reducing compliance burden within the grantee's operations (including on subgrantees or other partners working to achieve grant objectives or being served by the grant) in a manner that decreases paperwork or staff time spent on administrative functions, or other measurable ways that help education providers to save money, benefit more students, or improve results.

Note: Subgrantees are not allowed in projects under this competition.

### Invitational Priority 2:

The Secretary encourages applicants to propose projects designed to assist TRIO grantees with the ongoing implementation of the evidence-based strategies for which they received competitive preference in their approved applications.

### Invitational Priority 3:

Applications that propose projects designed to assist TRIO grantees with improving student achievement or other educational outcomes in one or more of the following areas: science, technology, engineering, math, or computer science (as defined in the Secretary's Final Supplemental Priorities and Definitions for Discretionary Grant Programs, published in the Federal Register on March 2, 2018 (83 FR 9096) (Supplemental Priorities): specifically, supporting programs that lead to recognized postsecondary credentials (as defined in section 3(52) of the Workforce Innovation and Opportunity Act) or skills that align with the skill needs of industries in the State or regional economy involved for careers in Science, Technology, Engineering and Math (STEM) fields, including computer science.

**PART III-A: TRAINING PROGRAM PROFILE FORM**

## TRAINING PROGRAM PROJECT PROFILE FORM

**Instructions:** Applicants must copy and paste the Training Program Project Profile form into a separate document, or otherwise recreate the page exactly as it appears. Complete the form, save it to your computer and attach it to the Other Attachments Form as a .pdf document only. **You may not modify or amend the language on the form in any way.**

### INSTITUTION / ORGANIZATION

Legal Name: \_\_\_\_\_  
Street: \_\_\_\_\_  
City: \_\_\_\_\_  
State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

### PRIORITIES

Absolute Priority Number for which you are applying for a grant: Priority # \_\_\_\_\_  
Did you address: Invitational Priority #1? \_\_\_\_\_ Invitational Priority #2? \_\_\_\_\_ Invitational Priority #3? \_\_\_\_\_

### FUNDING AND PARTICIPANTS

*Under Absolute Priorities 1, 2, and 4, the maximum award amount is \$265,764 and the minimum number of participants is 231. Under Absolute Priorities 3 and 5, the maximum award amount is \$344,945 and the minimum number of participants is 300. Under Absolute Priority 6, the maximum award amount is \$294,464 and the minimum number of participants is 256.*

Requested Funding Amount \$ \_\_\_\_\_

Number of participants proposed to serve \_\_\_\_\_

### PROJECT DIRECTOR INFO

Project Director Name \_\_\_\_\_  
Project Director Level of Effort \_\_\_\_\_ %  
Project Director Phone # \_\_\_\_\_ Email \_\_\_\_\_

### PRIOR AWARD NUMBER

*Applicants who received funding as part of Training Program grants awarded in FY 2016 must provide the award number if they are applying for a grant in FY 2018 under the corresponding priority. Applicants who did not receive an award in the FY 2016 competition under the specific priority for which they are applying for a grant in FY 2018 should leave this blank.*

**P103A16** \_\_\_\_\_

**ANNUAL PROGRAM OBJECTIVES:** All applicants are required to propose the percentage or number -- as indicated on the form -- at which each of these objectives will be met. Applicants may not modify, amend or delete any of these objectives

*These same objectives must be used in the Part III Application Narrative section of your application, and may not be revised or rewritten in your narrative discussion of the proposed objectives or the proposed evaluation.*

\_\_\_\_\_ % of Training Participants that, each year, evaluated the training as benefiting them in increasing their qualifications and skills in meeting the needs of disadvantaged students.

\_\_\_\_\_ % of Training Participants that, each year, evaluated the training as benefiting them in increasing their knowledge and understanding of the Federal TRIO Programs.

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**PART III-B: PROJECT ABSTRACT**

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**ONE-PAGE PROJECT ABSTRACT FORM**

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All applicants must provide a one-page abstract briefly describing the training, services and activities to be provided during the two-year performance period. Please indicate the absolute priority addressed in the title of the one-page abstract. Attach this document to the ED Abstract Form in the Grants.gov application. This one-page abstract may be single-spaced.

## **PART IV: ASSURANCES AND CERTIFICATIONS**

## NON-CONSTRUCTION PROGRAMS SF-424B

OMB Approval No. 0348-0040

### ASSURANCES - NON-CONSTRUCTION PROGRAMS

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. 334728-4763) 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. 331681-1683, 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. 3794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 36101-6107), 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) 33 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 33 290 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. 331501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 3276a to 276a-7), the Copeland Act (40 U.S.C. 3276c and 18 U.S.C. 3874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), regarding labor standards for federally assisted construction subagreements.
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. 351451 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. 327401 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. 39721 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 with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 3470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 39469a-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. 32131 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. 394801 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, AAudits 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 OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

Standard Form 424B (Rev. 7-97) Back

**GRANTS.GOV LOBBYING FORM (ED FORM 80-0013)**

**CERTIFICATION REGARDING LOBBYING**

Applicants must review the requirements for certification regarding lobbying included in the regulations cited below before completing this form. Applicants must sign this form to comply with the certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying." This certification is a material representation of fact upon which the Department of Education relies when it makes a grant or enters into a cooperative agreement.

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a Federal contract, grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

- (a) 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 making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) 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 grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants and contracts under grants and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certification.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

## 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.

## NOTICE TO ALL APPLICANTS - GEPA

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

### To Whom Does This Provision Apply?

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

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

### What Does This Provision Require?

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

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

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

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

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

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

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

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

## APPLICATION SUBMISSION PROCEDURES AND REQUIREMENTS

**This program requires the electronic submission of applications.**

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

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

### **Applications Submitted Electronically:**

**You must submit your grant application through the Internet using the software provided on the Grants.gov Web site (<http://www.grants.gov>) by 4:30:00 p.m., Eastern Time, on or before the deadline date.**

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

For more information on using Grants.gov, please refer to the Grants.gov information found in this application package and visit <http://www.grants.gov>.

### **Submission of Paper Applications by Mail:**

If you qualify for an exemption to the electronic submission requirement and 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 84.103A  
LBJ Basement Level 1  
400 Maryland Avenue, SW  
Washington, DC 20202-4260**

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

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

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

1. A private metered postmark.
2. A mail receipt that is not dated by the U.S. Postal Service.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

Special Note: Due to potential disruption to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; U.S. Postal Service Express Mail; or a courier service) to transmit your application for this competition to the Department. If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Delivered by Mail,” and then follow the instructions for “Applications Delivered by Hand.”

**Submission of Paper Applications by Hand Delivery:**

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

**U.S. Department of Education  
Application Control Center  
Attention: CFDA Number 84.103A  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260**

**Note for Mail or Hand Delivery of Paper Applications:**

If you mail or hand deliver your application to the Department—

1. You must indicate on the envelope and—if not provided by the Department—in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and
2. The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

**Application Control Center Hours of Operation:**

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, D.C. time) except Saturdays, Sundays, and Federal holidays.

**Late Applications**

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

\*\*\*Updated 01/2018\*\*\*

**IMPORTANT – PLEASE READ FIRST**

**U.S. Department of Education**  
**Grants.gov Submission Procedures and Tips for Applicants**

To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education.

**Browser Support**

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

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

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

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

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

- 1) Create a Workspace: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
  
- 2) Complete a Workspace: Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.

a. Adobe Reader: If you decide not to apply by filling out web forms, you can download individual PDF forms in Workspace. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

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

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

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

3) Submit a Workspace: An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the closing date to provide you with time to correct any potential technical issues that may disrupt the application submission.

4) Track a Workspace Submission: After successfully submitting a workspace application, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

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

### **Helpful Reminders**

1) **REGISTER EARLY** – Grants.gov registration involves many steps including registration on SAM ([www.sam.gov](http://www.sam.gov)) which may take approximately one week to complete, but could take upwards of several weeks to complete, depending upon the completeness and accuracy of the data entered into the SAM database by an applicant. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. Please note that once your SAM registration is active, it will take 24-48 hours for the information to be available in Grants.gov, and before you can submit an application through Grants.gov. For detailed information on the Registration Steps, please go to: <http://www.grants.gov/web/grants/register.html>. [Note: Your organization will need to update its SAM registration annually.]

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

**2) SUBMIT EARLY** – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully to Grants.gov before 4:30:00 p.m., Eastern Time, on the deadline date.

Note: To submit successfully, you must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This DUNS number is typically the same number used when your organization registered with the SAM. If you do not enter the same DUNS number on your application as the DUNS you registered with, Grants.gov will reject your application.

**3) VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov received your application submission on time and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m., Eastern Time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned. Once the Department of Education receives your application from Grants.gov, an Agency Tracking Number (PR/award number) will be assigned to your application and will be available for viewing on Grants.gov's Track My Application link.

If the date/time received is later than 4:30:00 p.m., Eastern Time, on the deadline date, your application is late. If your application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: <http://www.grants.gov/web/grants/applicants/encountering-error-messages.html>. For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Software Tip Sheet at: <http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

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

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

If electronic submission is required, you must submit an electronic application before 4:30:00 p.m., Eastern Time, unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date. (See the Federal Register notice for detailed instructions.)

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

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

## **Dial-Up Internet Connections**

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

## **Attaching Files – Additional Tips**

Please note the following tips related to attaching files to your application, especially the requirement that applicants only include read-only, flattened .PDF files in their application:

- Ensure that you attach PDF files only for any attachments to your application, and they must be in a read-only, flattened format. PDF files are the only Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept

any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are not .PDF files or are password protected files will not be read.

- Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.

- When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded file names must be fewer than 50 characters, and, in general, applicants should not use any special characters. However, Grants.gov does allow for the following UTF-8 characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.

- Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package with all attachments is less than 5 MB. Therefore, you may want to check the total size of your package before submission.

01/2018

## **PART V: CRITICAL RESOURCES AND ADDITIONAL INFORMATION**

## AUTHORIZING LEGISLATION

The Training Program for Federal TRIO Programs is authorized by the Higher Education Act (HEA) of 1965, as amended by the Higher Education Opportunity Act (HEOA) of 2008. An electronic version of the HEOA's amendments to the HEA may be found at the Department's website at the following address: <http://www2.ed.gov/about/offices/list/ope/trio/statute-trio-gu.pdf>

Please note that the official compilation of Federal law is the United States Code which is available from the Government Publishing Office.

### **The Higher Education Act of 1965 as amended by the Higher Education Opportunity Act of 2008**

#### **Title IV Student Assistance**

#### **Subpart 2—Federal Early Outreach and Student Services Programs**

#### **CHAPTER 1—FEDERAL TRIO PROGRAMS Sec. 403 (U.S. Code 1070a)**

(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 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 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 startup 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 Non regulatory 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 180-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—
  - (I) administrative, or scoring error made by the Department, an agent of the Department, or a peer reviewer, with respect to the scoring or has evidence of a specific technical, 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.--

(I) 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.—

(1) 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.

*\*appears to be a typographical error -- that the Congress intended to include youth who left foster care after reaching age 18.*

(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 student;
  - (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 one half 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) 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.

(2) 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.

(3) 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.

(4) 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.

(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, 2001.

\* \* \*

**Sec. 403G HIGHER EDUCATION ACT OF 1965 20 U.S.C. 1070a–17  
STAFF DEVELOPMENT ACTIVITIES.**

(a) SECRETARY'S AUTHORITY.—For the purpose of improving the operation of the programs and projects authorized by this chapter, the Secretary is authorized to make grants to institutions of higher education and other public and private nonprofit institutions and organizations to provide training for staff and leadership personnel employed in, participating in, or preparing for employment in, such programs and projects.

(b) CONTENTS OF TRAINING PROGRAMS.—Such training shall include conferences, internships, seminars, workshops, and the publication of manuals designed to improve the operation of such programs and projects and shall be carried out in the various regions of the Nation in order to ensure that the training opportunities are appropriate to meet the needs in the local areas being served by such programs and projects. Such training shall be offered annually for new directors of projects funded under this chapter as well as annually on the following topics and other topics chosen by the Secretary:

- (1) Legislative and regulatory requirements for the operation of programs funded under this chapter.

(2) Assisting students in receiving adequate financial aid from programs assisted under this title and other programs.

(3) The design and operation of model programs for projects funded under this chapter.

(4) The use of appropriate educational technology in the operation of projects assisted under this chapter.

(5) Strategies for recruiting and serving hard to reach populations, including 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.

(c) CONSULTATION.—Grants for the purposes of this section shall be made only after consultation with regional and State professional associations of persons having special knowledge with respect to the needs and problems of such programs and projects.

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

**PART 642—TRAINING PROGRAM FOR FEDERAL TRIO PROGRAMS**

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**Authority:** 20 U.S.C. 1070a–11 and 1070a–17, unless otherwise noted.

**Source:** 47 FR 17788, Apr. 23, 1982, unless otherwise noted.

## **Subpart A—General**

### **§ 642.1 What is the Training Program for Federal TRIO Programs?**

The Training Program for Federal TRIO programs, referred to in these regulations as the Training program, provides Federal financial assistance to train the leadership personnel and staff employed in, or preparing for employment in, Federal TRIO program projects.

(Authority: 20 U.S.C. 1070a–17)

[75 FR 65771, Oct. 26, 2010]

### **§ 642.2 Who are eligible applicants?**

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

- (a) Institutions of higher education.
- (b) Public and private nonprofit agencies and organizations.

(Authority: 20 U.S.C. 1070a–17)

[47 FR 17788, Apr. 23, 1982, as amended at 58 FR 51519, Oct. 1, 1993]

### **§ 642.3 Who are eligible participants?**

The following are eligible for training under this program:

- (a) Leadership personnel and full and part-time staff members of projects funded under the Federal TRIO Programs.
- (b) Individuals preparing for employment as leadership personnel or staff in projects funded under the Federal TRIO Programs.

(Authority: 20 U.S.C. 1070a–17)

[47 FR 17788, Apr. 23, 1982, as amended at 58 FR 51519, Oct. 1, 1993; 75 FR 65771, Oct. 26, 2010]

### **§ 642.4 How long is a project period?**

A project period under the Training program is two years.

(Authority: 20 U.S.C. 1070a–11(b))

[75 FR 65771, Oct. 26, 2010]

**§ 642.5 What regulations apply?**

The following regulations apply to the Training Program:

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

(b) The regulations in this part 642.

(Authority: 20 U.S.C. 1070a–11 and 1070–17)

[47 FR 17788, Apr. 23, 1982, as amended at 58 FR 51519, Oct. 1, 1993. Redesignated and amended at 75 FR 65771, Oct. 26, 2010]

**§ 642.6 What definitions apply?**

(a) *Definitions in EDGAR.* The following terms used in this part are defined in 34 CFR part 77:

Applicant	Grantee
Application	Nonprofit
Award	Private
Budget	Project
EDGAR	Project period
Equipment	Public
Facilities	Secretary
Fiscal year	State
Grant	Supplies

(b) *Definitions that apply to this part.*

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

*Federal TRIO programs* means those programs authorized under section 402A of the Act: the Upward Bound, Talent Search, Student Support Services, Educational Opportunity Centers, and Ronald E. McNair Postbaccalaureate Achievement programs.

*Foster care youth* means youth who are in foster care or who are aging out of the foster care system.

*Homeless children and youth* means persons defined in section 725 of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a).

*Individual with a disability* means a person who has a disability, as that term is defined in section 12102 of the Americans with Disabilities Act (42 U.S.C. 12101 *et seq.* ).

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

*Leadership personnel* means project directors, coordinators, and other individuals involved with the supervision and direction of projects funded under the Federal TRIO programs.

*Veteran* means a person who—

(1) Served on active duty as a member of the Armed Forces of the United States for a period of more than 180 days and was discharged or released under conditions other than dishonorable;

(2) Served on active duty as a member of the Armed Forces of the United States and was discharged or released because of a service connected disability;

(3) Was a member of a reserve component of the Armed Forces of the United States and was called to active duty for a period of more than 30 days; or

(4) Was a member of a reserve component of the Armed Forces of the United States 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, 2001.

(Authority: 20 U.S.C. 1001 *et seq.*, 1070a–11, 1070(b), 1088, and 1141)

[47 FR 17788, Apr. 23, 1982, as amended at 54 FR 7737, Feb. 22, 1989; 57 FR 9005, Mar. 13, 1992; 58 FR 51519, Oct. 1, 1993; 75 FR 65771, Oct. 26, 2010]

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

An applicant may submit more than one application for Training grants as long as each application describes a project that addresses a different absolute priority from §642.24 that is designated in the Federal Register Notice inviting applications.

(Authority: 20 U.S.C. 1221e–3)

[75 FR 65771, Oct. 26, 2010]

#### **Subpart B—What Types of Projects and Activities Does the Secretary Assist Under This Program?**

**Source:** 75 FR 65771, Oct. 26, 2010, unless otherwise noted.

#### **§ 642.10 What types of projects does the Secretary assist?**

The Secretary assists projects that train the leadership personnel and staff of projects funded under the Federal TRIO Programs to enable them to operate those projects more effectively.

(Authority: 20 U.S.C. 1070a–17)

**§ 642.11 What activities does the Secretary assist?**

- (a) Each year, one or more Training Program projects must provide training for new project directors.
- (b) Each year, one or more Training Program projects must offer training covering the following topics:
  - (1) The legislative and regulatory requirements for operating projects funded under the Federal TRIO programs.
  - (2) Assisting students to receive adequate financial aid from programs assisted under title IV of the Act and from other programs.
  - (3) The design and operation of model programs for projects funded under the Federal TRIO programs.
  - (4) The use of appropriate educational technology in the operation of projects funded under the Federal TRIO programs.
  - (5) Strategies for recruiting and serving hard to reach populations, including students who are limited English proficient, students from groups that are traditionally underrepresented in postsecondary education, students who are individuals with disabilities, students who are homeless children and youths, students who are foster care youth, or other disconnected students.

(Authority: 20 U.S.C. 1070a–17)

**§ 642.12 What activities may a project conduct?**

A Training program project may include on-site training, on-line training, conferences, internships, seminars, workshops, and the publication of manuals designed to improve the operations of Federal TRIO program projects.

(Authority: 20 U.S.C. 1070a–17(b))

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

**Source:** Redesignated at 75 FR 65772, Oct. 26, 2010, unless otherwise noted.

**§ 642.20 How does the Secretary evaluate an application for a new award?**

- (a) The Secretary evaluates an application on the basis of the criteria in §642.21.
  - (1) The Secretary awards up to 75 points for these criteria.
  - (2) The maximum possible score for each complete criterion is indicated in the parentheses next to the heading of that criterion.

(b) In addition, for an applicant who is conducting a Training program in the fiscal year immediately prior to the fiscal year for which the applicant is applying, the Secretary evaluates the applicant's prior experience (PE) of high quality service delivery, as provided in §642.22, based on the applicant's performance during the first project year of that expiring Training program grant.

(c) The Secretary selects applications for funding within each specific absolute priority established for the competition in rank order on the basis of the score received by the application in the peer review process.

(d) Within each specific absolute priority, if there are insufficient funds to fund all applications at the next peer review score, the Secretary adds the PE points awarded under §642.22 to the peer review score to determine an adjusted total score for those applications. The Secretary makes awards at the next peer review score to the applications that have the highest total adjusted score.

(e) In the event a tie score still exists, the Secretary will select for funding the applicant that has the greatest capacity to provide training to eligible participants in all regions of the Nation, consistent with §642.23.

(Authority: 20 U.S.C. 1070d, 1070d-1d)

[47 FR 17788, Apr. 23, 1982. Redesignated and amended at 75 FR 65772, Oct. 26, 2010]

#### **§ 642.21 What selection criteria does the Secretary use?**

The Secretary uses the criteria in paragraphs (a) through (f) of this section to evaluate applications:

(a) *Plan of operation.* (20 points) (1) The Secretary reviews each application for information that shows the quality of the plan of operation for the project.

(2) The Secretary looks for information that shows—

(i) High quality in the design of the project;

(ii) An effective plan of management that insures proper and efficient administration of the project;

(iii) A clear description of how the objectives of the project relate to the purpose of the program;

(iv) The way the applicant plans to use its resources and personnel to achieve each objective; and

(v) A clear description of how the applicant will provide equal access and treatment for eligible project participants who are members of groups that have been traditionally underrepresented, such as—

(A) Members of racial or ethnic minority groups;

(B) Women;

(C) Individuals with disabilities; and

(D) The elderly.

(b) *Quality of key personnel.* (20 points) (1) The Secretary reviews each application for information that shows the qualifications of the key personnel the applicant plans to use on the project.

(2) The Secretary looks for information that shows—

(i) The qualifications of the project director;

(ii) The qualifications of each of the other key personnel to be used in the project;

(iii) The time that each person referred to in paragraphs (b)(2)(i) and (ii) of this section plans to commit to the project; and

(iv) The extent to which the applicant, as part of its nondiscriminatory employment practices, encourages applications for employment from persons who are members of groups that have been traditionally underrepresented, such as—

(A) Members of racial or ethnic minority groups;

(B) Women;

(C) Individuals with disabilities; and

(D) The elderly.

(3) To determine the qualifications of a person, the Secretary considers evidence of past experience and training, in fields related to the objectives of the project, as well as other information that the applicant provides.

(c) *Budget and cost effectiveness.* (10 points) (1) The Secretary reviews each application for information that shows that the project has an adequate budget and is cost effective.

(2) The Secretary looks for information that shows—

(i) The budget for the project is adequate to support the project activities; and

(ii) Costs are reasonable in relation to the objectives of the project.

(d) *Evaluation plan.* (10 points) (1) The Secretary reviews each application for information that shows the quality of the evaluation plan for the project.

(2) The Secretary looks for information that shows methods of evaluation that are appropriate for the project and, to the extent possible, are objective and produce data that are quantifiable.

(e) *Adequacy of resources.* (15 points)

(1) The Secretary reviews each application for information that shows that the applicant plans to devote adequate resources to the project.

(2) The Secretary looks for information that shows—

- (i) The facilities that the applicant plans to use are adequate; and
- (ii) The equipment and supplies that the applicant plans to use are adequate.

(Approved by the Office of Management and Budget under control number 1840—NEW1)

(Authority: 20 U.S.C. 1070a–11 and 1070a–17)

[47 FR 17788, Apr. 23, 1982, as amended at 58 FR 51519, Oct. 1, 1993. Redesignated and amended at 75 FR 65772, Oct. 26, 2010]

**§ 642.22 How does the Secretary evaluate prior experience?**

(a) In the case of an application described in §642.20(b), the Secretary—

- (1) Evaluates the applicant's performance under its expiring Training program grant;
- (2) To determine the number of PE points to be awarded, uses the approved project objectives for the applicant's expiring Training program grant and the information the applicant submitted in its annual performance report (APR); and
- (3) May adjust a calculated PE score or decide not to award PE points if other information such as audit reports, site visit reports, and project evaluation reports indicate the APR data used to calculate PE are incorrect.

(b)(1) The Secretary may add from 1 to 15 points to the point score obtained on the basis of the selection criteria in §642.21, based on the applicant's success in meeting the administrative requirements and programmatic objectives of paragraph (e) of this section.

(2) The maximum possible score for each criterion is indicated in the parentheses preceding the criterion.

(c) The Secretary awards no PE points for a given year to an applicant that does not serve at least 90 percent of the approved number of participants. For purposes of this section, the approved number of participants is the total number of participants the project would serve as agreed upon by the grantee and the Secretary.

(d) For the criterion specified in paragraph (e)(1) of this section (Number of participants), the Secretary awards no PE points if the applicant did not serve at least the approved number of participants.

(e) The Secretary evaluates the applicant's PE on the basis of the following criteria:

(1) (4 points) *Number of participants*. Whether the applicant provided training to no less than the approved number of participants.

(2) *Training objectives*. Whether the applicant met or exceeded its objectives for:

(i) (4 points) Assisting the participants in developing increased qualifications and skills to meet the needs of disadvantaged students.

(ii) (4 points) Providing the participants with an increased knowledge and understanding of the Federal TRIO programs.

(3) (3 points) *Administrative requirements.* Whether the applicant met all the administrative requirements under the terms of the expiring grant, including recordkeeping, reporting, and financial accountability.

(Approved by the Office of Management and Budget under control number 1894–0003)

(Authority: 20 U.S.C. 1070a–11)

[Redesignated and amended at 75 FR 65772, Oct. 26, 2010]

**§ 642.23 How does the Secretary ensure geographic distribution of awards?**

The Secretary, to the greatest extent possible, awards grants for Training Program projects that will be carried out in all of the regions of the Nation in order to assure accessibility to prospective training participants.

(Authority: 20 U.S.C. 1070a–17)

[Redesignated at 75 FR 65772, Oct. 26, 2010]

**§ 642.24 What are the Secretary's priorities for funding?**

(a) The Secretary, after consultation with regional and State professional associations of persons having special knowledge with respect to the training of Special Programs personnel, may select one or more of the following subjects as training priorities:

(1) Basic skills instruction in reading, mathematics, written and oral communication, and study skills.

(2) Counseling.

(3) Assessment of student needs.

(4) Academic tests and testing.

(5) College and university admissions policies and procedures.

(6) Cultural enrichment programs.

(7) Career planning.

(8) Tutorial programs.

(9) Retention and graduation strategies.

- (10) Strategies for preparing students for doctoral studies.
  - (11) Project evaluation.
  - (12) Budget management.
  - (13) Personnel management.
  - (14) Reporting student and project performance.
  - (15) Coordinating project activities with other available resources and activities.
  - (16) General project management for new directors.
  - (17) Statutory and regulatory requirements for the operation of projects funded under the Federal TRIO programs.
  - (18) Assisting students in receiving adequate financial aid from programs assisted under title IV of the Act and from other programs.
  - (19) The design and operation of model programs for projects funded under the Federal TRIO programs.
  - (20) The use of appropriate educational technology in the operation of projects funded under the Federal TRIO programs.
  - (21) Strategies for recruiting and serving hard to reach populations, including students who are limited English proficient, students from groups that are traditionally underrepresented in postsecondary education, students who are individuals with disabilities, students who are homeless children and youths, students who are foster care youth, or other disconnected students.
- (b) The Secretary annually funds training on the subjects listed in paragraphs (a)(17), (a)(18), (a)(19), (a)(20), and (a)(21) of this section.
- (c) The Secretary designates one or more of the training priorities from paragraph (a) of this section in the Federal Register Notice inviting applications for the competition.

(Authority: 20 U.S.C. 1070a–11 and 1070a–17)

[Redesignated and amended at 75 FR 65773, Oct. 26, 2010]

**§ 642.25 What is the review process for unsuccessful applicants?**

(a) *Technical or administrative error for applications not reviewed.* (1) An applicant whose grant application was not evaluated during the competition may request that the Secretary review the application if—

(i) The applicant has met all of the application submission requirements included in the Federal Register notice inviting applications and the other published application materials for the competition; and

(ii) The applicant provides evidence demonstrating that the Department or an agent of the Department made a technical or administrative error in the processing of the submitted application.

(2) A technical or administrative error in the processing of an application includes—

(i) A problem with the system for the electronic submission of applications that was not addressed in accordance with the procedures included in the Federal Register notice inviting applications for the competition;

(ii) An error in determining an applicant's eligibility for funding consideration, which may include, but is not limited to—

(A) An incorrect conclusion that the application was submitted by an ineligible applicant;

(B) An incorrect conclusion that the application exceeded the published page limit;

(C) An incorrect conclusion that the applicant requested funding greater than the published maximum award; or

(D) An incorrect conclusion that the application was missing critical sections of the application; and

(iii) Any other mishandling of the application that resulted in an otherwise eligible application not being reviewed during the competition.

(3)(i) If the Secretary determines that the Department or the Department's agent made a technical or administrative error, the Secretary has the application evaluated and scored.

(ii) If the total score assigned the application would have resulted in funding of the application during the competition and the program has funds available, the Secretary funds the application prior to the re-ranking of applications based on the second peer review of applications described in paragraph (c) of this section.

(b) *Administrative or scoring error for applications that were reviewed.* (1) An applicant that was not selected for funding during a competition may request that the Secretary conduct a second review of the application if—

(i) The applicant provides evidence demonstrating that the Department, an agent of the Department, or a peer reviewer made an administrative or scoring error in the review of its application; and

(ii) The final score assigned to the application is within the funding band described in paragraph (d) of this section.

(2) An administrative error relates to either the PE points or the scores assigned to the application by the peer reviewers.

(i) For PE points, an administrative error includes mathematical errors made by the Department or the Department's agent in the calculation of the PE points or a failure to correctly add the earned PE points to the peer reviewer score.

(ii) For the peer review score, an administrative error is applying the wrong peer reviewer scores to an application.

(3)(i) A scoring error relates only to the peer review process and includes errors caused by a reviewer who, in assigning points—

(A) Uses criteria not required by the applicable law or program regulations, the Federal Register notice inviting applications, the other published application materials for the competition, or guidance provided to the peer reviewers by the Secretary; or

(B) Does not consider relevant information included in the appropriate section of the application.

(ii) The term “scoring error” does not include—

(A) A peer reviewer's appropriate use of his or her professional judgment in evaluating and scoring an application;

(B) Any situation in which the applicant did not include information needed to evaluate its response to a specific selection criterion in the appropriate section of the application as stipulated in the Federal Register notice inviting applications or the other published application materials for the competition; or

(C) Any error by the applicant.

(c) *Procedures for the second review.* (1) To ensure the timely awarding of grants under the competition, the Secretary sets aside a percentage of the funds allotted for the competition to be awarded after the second review is completed.

(2) After the competition, the Secretary makes new awards in rank order as described in §642.20 based on the available funds for the competition minus the funds set aside for the second review.

(3) After the Secretary issues a notification of grant award to successful applicants, the Secretary notifies each unsuccessful applicant in writing as to the status of its application and the funding band for the second review and provides copies of the peer reviewers' evaluations of the applicant's application and the applicant's PE score, if applicable.

(4) An applicant that was not selected for funding following the competition as described in paragraph (c)(2) of this section and whose application received a score within the funding band as described in paragraph (d) of this section, may request a second review if the applicant demonstrates that the Department, the Department's agent, or a peer reviewer made an administrative or scoring error as provided in paragraph (b) of this section.

(5) An applicant whose application was not funded after the first review as described in paragraph (c)(2) of this section and whose application received a score within the funding band as described in paragraph (d) of this section has at least 15 calendar days after receiving notification that its application was not funded in which to submit a written request for a second review in accordance with the instructions and due date provided in the Secretary's written notification.

(6) An applicant's written request for a second review must be received by the Department or submitted electronically to a designated e-mail or Web address by the due date and time established by the Secretary.

(7) If the Secretary determines that the Department or the Department's agent made an administrative error that relates to the PE points awarded, as described in paragraph (b)(2)(i) of this section, the Secretary adjusts the applicant's PE score to reflect the correct number of PE points. If the adjusted score assigned to the application

would have resulted in funding of the application during the competition and the program has funds available, the Secretary funds the application prior to the re-ranking of applications based on the second peer review of applications described in paragraph (c)(9) of this section.

(8) If the Secretary determines that the Department, the Department's agent or the peer reviewer made an administrative error that relates to the peer reviewers' score(s), as described in paragraph (b)(2)(ii) of this section, the Secretary adjusts the applicant's peer reviewers' score(s) to correct the error. If the adjusted score assigned to the application would have resulted in funding of the application during the competition and the program has funds available, the Secretary funds the application prior to the re-ranking of applications based on the second peer review of applications described in paragraph (c)(9) of this section.

(9) If the Secretary determines that a peer reviewer made a scoring error, as described in paragraph (b)(3) of this section, the Secretary convenes a second panel of peer reviewers in accordance with the requirements in section 402A(c)(8)(C)(iv)(III) of the HEA.

(10) The average of the peer reviewers' scores from the second peer review are used in the second ranking of applications. The average score obtained from the second peer review panel is the final peer reviewer score for the application and will be used even if the second review results in a lower score for the application than that obtained in the initial review.

(11) For applications in the funding band, the Secretary funds these applications in rank order based on adjusted scores and the available funds that have been set aside for the second review of applications.

(d) *Process for establishing a funding band.* (1) For each competition, the Secretary establishes a funding band for the second review of applications.

(2) The Secretary establishes the funding band for each competition based on the amount of funds the Secretary has set aside for the second review of applications.

(3) The funding band is composed of those applications—

(i) With a rank-order score before the second review that is below the lowest score of applications funded after the first review; and

(ii) That would be funded if the Secretary had 150 percent of the funds that were set aside for the second review of applications for the competition.

(e) *Final decision.* (1) The Secretary's determination of whether the applicant has met the requirements for a second review and the Secretary's decision on re-scoring of an application are final and not subject to further appeal or challenge.

(2) An application that scored below the established funding band for the competition is not eligible for a second review.

(Approved by the Office of Management and Budget under control number 1840–NEW1)

(Authority: 20 U.S.C. 1070a–11)

[75 FR 65773, Oct. 26, 2010]

**§ 642.26 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 a new grant; and
- (2) 34 CFR 75.253, for the second year of a project period.

(b) 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.

[75 FR 65774, Oct. 26, 2010]

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

**Source:** Redesignated at 75 FR 65772, Oct. 26, 2010, unless otherwise noted.

**§ 642.30 What are allowable costs?**

Allowable project costs may include the following costs reasonably related to carrying out a Training Program project:

- (a) Rental of space, if space is not available at a sponsoring institution and if the space is not owned by a sponsoring institution.
- (b) Printing.
- (c) Postage.
- (d) Purchase or rental of equipment.
- (e) Consumable supplies.
- (f) Transportation costs for participants and training staff.
- (g) Lodging and subsistence costs for participants and training staff.
- (h) Transportation costs, lodging and subsistence costs and fees for consultants, if any.
- (i) Honorariums for speakers who are not members of the staff or consultants to the project.
- (j) Other costs that are specifically approved in advance and in writing by the Secretary.

(Authority: 20 U.S.C. 1070a–11 and 1070a–17)

[47 FR 17788, Apr. 23, 1982. Redesignated and amended at 75 FR 65774, Oct. 26, 2010]

**§ 642.31 What are unallowable costs?**

Costs that may not be charged against a grant under this program include the following:

- (a) Research not directly related to the evaluation or improvement of the project.
- (b) Construction, renovation, or remodeling of any facilities.
- (c) Stipends, tuition fees, and other direct financial assistance to trainees other than those participating in internships.

(Authority: 20 U.S.C. 1070a–11 and 1070a–17)

[47 FR 17788, Apr. 23, 1982. Redesignated and amended at 75 FR 65774, Oct. 26, 2010]

## GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)

### What is GPRA?

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

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

As required by GPRA, the Department of Education has prepared a strategic plan for 2014-2018. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

**Goal 1: Postsecondary Education, Career and Technical Education, and Adult Education.**

*Increase college access, affordability, quality, and completion by improving postsecondary education and lifelong learning opportunities for youths and adults.*

**Goal 2: Elementary and Secondary Education.**

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

**Goal 3: Early Learning.**

*Improve the health, social-emotional, and cognitive outcomes for all children from birth through 3rd grade, so that all children, particularly those with high needs, are on track for graduating from high school college- and career-ready.*

**Goal 4: Equity.**

*Increase educational opportunities for and reduce discrimination against underserved students so that all students are well-positioned to succeed.*

**Goal 5: Continuous Improvement of the U.S. Education System.**

*Enhance the education system's ability to continuously improve through better and more widespread use of data, research and evaluation, evidence, transparency, innovation, and technology.*

**Goal 6: U.S Department of Education Capacity.**

*Improve the organizational capacities of the Department to implement this strategic plan.*

**What are the performance indicators for the Training Program?**

The performance indicators for the Training Program are part of the Department’s plan for meeting Goal 1. The Training 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 performance indicators for the Training Programs are: 1) the cost-effectiveness, based on the number of TRIO project personnel receiving training each year; (2) the percentage of Training participants that, each year, evaluate the training as benefiting them in increasing their qualifications and skills in meeting the needs of disadvantaged students; and (3) the percentage of Training participants that, each year, evaluated the training as benefiting them in increasing their knowledge and understanding of the Federal TRIO Programs.

**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.

## INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS - EXECUTIVE ORDER 12372

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

The process for doing this requires grant applicants to contact State Single Points of Contact for information on how this works. Multi-state applicants should follow procedures specific to each state.

Further information about the State Single Point of Contact process and a list of names by State can be found at:

[https://www.whitehouse.gov/wp-content/uploads/2017/11/Intergovernmental\\_-\\_Review\\_-\\_SPOC\\_01\\_2018\\_OFFM.pdf](https://www.whitehouse.gov/wp-content/uploads/2017/11/Intergovernmental_-_Review_-_SPOC_01_2018_OFFM.pdf).

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application Notice to the following address: The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], U.S. Department of Education, room 7E200, 400 Maryland Avenue, SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR §75.102).

Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the closing date indicated in this Notice.

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

## PAPERWORK BURDEN STATEMENT

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average between 15 and 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Title IV, Part A, Subpart 2, Section 402G of the Higher Education Act of 1965, as amended (HEA) and 34 CFR part 642 Training Program for Federal TRIO Programs). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to [regulations.gov](https://www.regulations.gov) during the public comment period for this collection of information. If you have specific questions about the form, instrument or survey, please contact Student Service, Office of Postsecondary Education, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.