

OFFICE OF POSTSECONDARY  
EDUCATION

Higher Education Programs

Institutional Service



*Title III, Part A--  
Strengthening Institutions  
Program (SIP)*

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

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

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

# Title III, Part A

## Strengthening Institutions Program (SIP)

- SIP provides grants to eligible institutions of higher education (IHEs).
- Helps them:
  - become self-sufficient
  - expand capacity to serve low-income students
  - improve and strengthen the institution's academic quality, institutional management and fiscal stability.
- Important Dates
  - Designation of Eligibility: **January 17—February 27, 2023**
  - SIP Application Announced: **March 23, 2023**
  - Closing Date: **May 22, 2023 (11:59 pm Eastern Time)**
  - Peer Review: **June 19-July 21, 2023 (estimated)**

# SIP FY 2023 Competition At A Glance

- No 84.031F.
- Cooperative Arrangement Development Grants (Coops) will be awarded in FY 2023.
- One Competitive Preference Priority (max. 6 points).
- One Invitational Priority (no points).
- Changes to point values of certain criteria.
- Maximum possible points: 106.
- Maximum recommended pages: 50—Individual, 65—Coops.
- Maximum award amount: \$450,000 (Ind.); \$550,000 (Coop).

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# Which Institutions are Eligible to Apply?

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

If you have...you are eligible to apply	If you have...you are NOT eligible to apply
Title V, Part B—PPOHA 84.031M	Title III, Part A—SIP 84.031A or 84.031F
PBI Competitive—84.382A	HBCU—84.031B
PBI Master's—84.382D	HSI—84.031S
AANAPISI Part F—84.382B	AANAPISI Part A—84.031L
NASNTI Part F—84.382C	NASNTI Part A—84.031X
ANNH Part F—84.031R, 84.031V	ANNH Part A—84.031N or 84.031W
MSEIP—84.120A	TCCU—84.031T

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# Which Institutions are Eligible to Apply? Cont.

- Caveat: if your Title V or other Title III, Part A grant ends this September, you may apply for a SIP grant.
- This does not apply to those with a SIP grant—84.031A or 84.031F.
- Two-year wait-out period—Per Section 313(d) of the Higher Education Act of 1965, as amended:
  - (d) Wait-Out Period.—Each eligible institution that received a grant under this part for a 5-year period shall not be eligible to receive an additional grant under this part until 2 years after the date on which the 5-year grant period terminates.
    - If your grant ended 9/30/2021 or ends 9/30/2023, you will be able to re-apply in 2025 for the grant year that begins on 10/01/2025.

# SIP: Type of Grant Awards

## INDIVIDUAL DEVELOPMENT GRANTS

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

Estimated Number of  
Awards: 70

Page limit (rec.): 50 pages

## COOPERATIVE ARRANGEMENT DEVELOPMENT GRANTS

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

Estimated Number of  
Awards: 10

Page limit (rec.): 65 pages

- Both Individual and Cooperative Arrangement Development Grants (coops) are 5 years in duration.
- Institutions can be awarded an individual grant and a cooperative grant in the same fiscal year.

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

# Cooperative Arrangement Development Grant

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



# Cooperative Arrangement Grants: Common Problems

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

# Competitive Preference Priority

## **Increasing Postsecondary Education Access, Affordability, Completion, and Post-Enrollment Success (up to 6 points).**

Priority: Projects that are designed to increase postsecondary access, affordability, completion, and post-enrollment success for underserved students by addressing one or more of the following priority areas:

- (a) Establishing a system of high-quality data collection and analysis, such as data on persistence, retention, completion, and post-college outcomes, for transparency, accountability, and institutional improvement. (up to 2 points)
- (b) Supporting the development and implementation of student success programs that integrate multiple comprehensive and evidence-based services or initiatives, such as academic advising, structured/guided pathways, career services, credit-bearing academic undergraduate courses focused on career, and access to technological devices. (up to 2 points)
- (c) Supporting the development and implementation of high-quality and accessible learning opportunities, including learning opportunities that are accelerated or hybrid online; credit-bearing; work-based; and flexible for working students. (up to 2 points)

# Invitational Priority

**Projects that propose to implement activities that promote postsecondary completion for students who are no longer enrolled because of challenges they faced during the COVID-19 pandemic or who stopped attending for other reasons.**

Institutions may opt to supplement or expand evidence-based and data-driven activities to support retention and completion.

There are no points associated with invitational priorities.

# Priorities

- For both priorities: applicants must attach a narrative identifying the specific component(s) in the proposed project and how it meets the CPP or the IP.
  - CPP—3 additional pages
  - IP—2 additional pages
- Reviewers will assess and score priorities. Points awarded depend on how well each priority was addressed.
- The narrative(s) should be attached to Project Narrative Attachment Form in Grants.gov.

# Priorities Cont.

- The tables below illustrate the additional points and pages you have depending on which type of grant you apply for.

## Individual Development Grants (50 pages):

Priority Addressed	Extra Points	Extra Pages	Total Points	Total Pages
Competitive Preference Priority	6	3	106	53
Invitational Priority	0	2	100	52
Both Priorities	6	5	106	55

## Cooperative Arrangement Development Grants (65 pages):

Priority Addressed	Extra Points	Extra Pages	Total Points	Total Pages
Competitive Preference Priority	6	3	106	68
Invitational Priority	0	2	100	67
Both Priorities	6	5	106	70

# Correction

Text in tables, charts, graphs, titles, headings, footnotes, captions, etc. **CAN be single spaced.**



**CRITERIA  
CHALLENGES  
GOALS  
WORKING TOWARD  
GOALS**

# GPRM Performance Measures

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



# Selection Criteria

Criterion	Points: 84.031A
Comprehensive Development Plan (CDP)	20
Quality of Project Design/Logic Model	<b>15</b>
Activity Objectives	<b>16</b>
Implementation Strategy	15
Key Personnel	8
Project Management	10
Evaluation Plan	<b>10</b>
Budget	<b>6</b>
<b>Total Possible Points</b>	<b>100</b>

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# Comprehensive Development Plan (CDP)

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

The CDP:

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

# CDP (cont.)

- Analyzes institutional strengths, weaknesses, and challenges; involves the institution's major constituencies.
- This is analogous to the IHE's self-study for institutional accreditation:
  - goals/outcomes are realistic, well thought-out,
  - are measurable and contribute to the institution's growth and self-sufficiency
  - provide a clear plan for institutionalization of project achievements

# CDP (cont.)

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

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

# Institutionalization

Description of institutionalization plans makes your application more competitive.

Commitment to institutionalization reflects:

- commitment of institutional resources that accompany Title III funds, and
- the plan for sustaining the project after grant funds end.

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

# Logic Models/Project Design

Logic models are now a regular part of the selection criteria for SIP.

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

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

- Demonstrates a rationale means a key project component included in the project's logic model is informed by research or evaluation findings that suggest the project component is likely to improve relevant outcomes.
- Logic model (also referred to as theory of action) means a framework that identifies *key project components* of the proposed project (i.e., the active “ingredients” that are hypothesized to be critical to achieving the relevant outcomes) and describes the theoretical and operational relationships among the key project components and relevant outcomes.

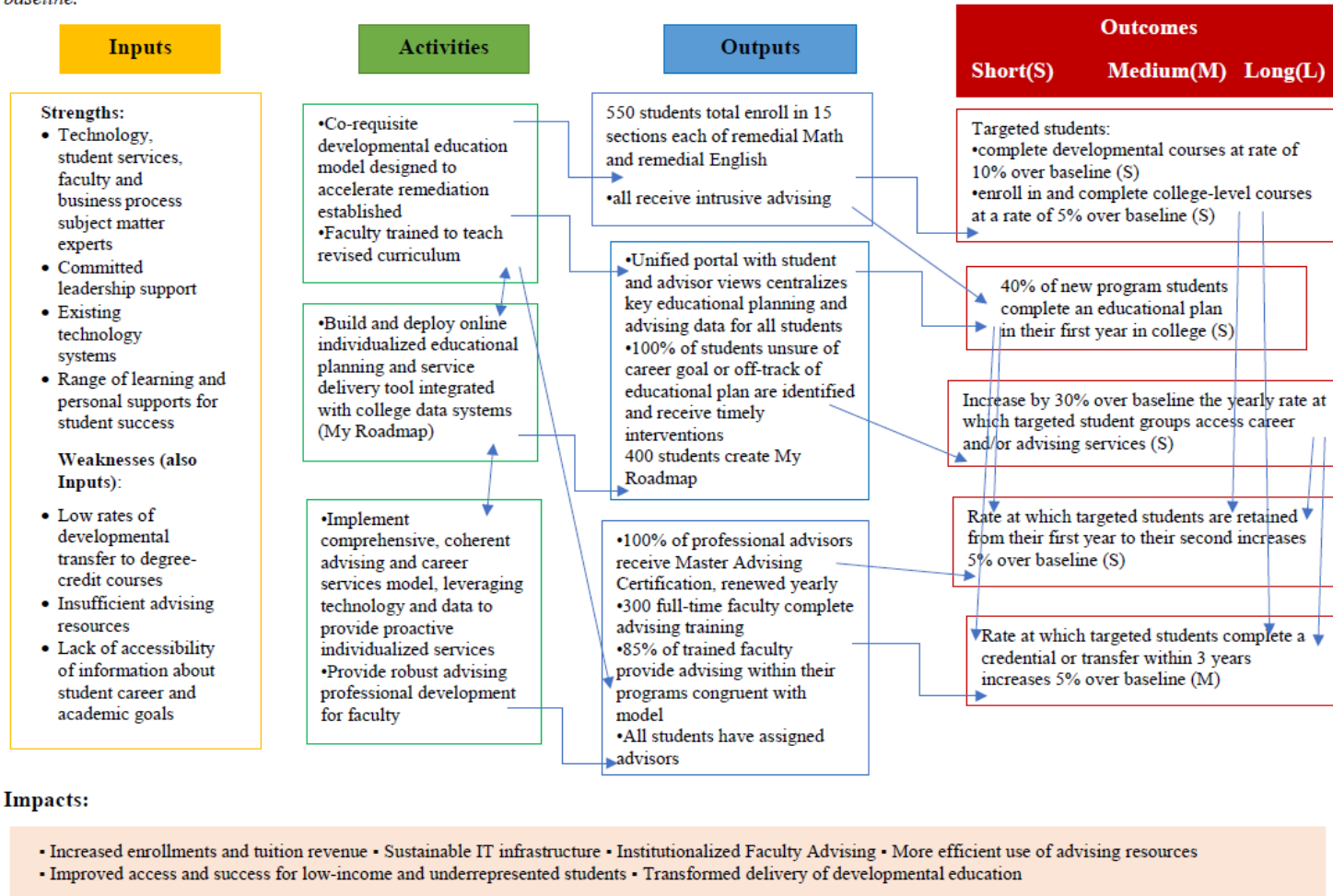
# Logic Models Cont.

- Project component means an activity, strategy, intervention, process, product, practice, or policy included in a project. Evidence may pertain to an individual project component or to a combination of project components (e.g., training teachers on instructional practices for English learners and follow-on coaching for these teachers).
- Relevant outcome means the student outcome(s) or other outcome(s) the key project component is designed to improve, consistent with the specific goals of the program.
- Think of a logic model as a visual representation of the assumptions and theory of actions of your program. When logical relationships are built on theory and evidence, you can explore outputs, outcomes, and impact. These logical relationships are built into the program or service and you can more effectively evaluate the program and assess the outcomes and impact.

# Sample Logic Model

## Logic Model

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





# Sample Logic Model Cont.

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

# Studies that Can *Demonstrate a Rationale*

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

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

The findings in question need to be *positive* [favorable] but do *not* need to be statistically significant. **Source: EDGAR, 34 CFR 77.1**

# Activity Objectives

## Quality of Activity Objectives

- objectives are realistic and defined in terms of measurable results
- objectives are directly related to problems and goals identified in the CDP

# Activities

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

**Increase Student Success via Student Supplemental Instruction Programs**

# Objectives

- Objective – The plan to affect change within an activity. Applicants develop objectives within their grant applications with the goal to achieve change within the institution.
- There may be multiple project objectives for each grant activity.

## **Increase Student Success Via Student Supplemental Instruction Programs**

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

# Performance Indicators/ Measures

Performance Measure – Any quantitative indicator, statistic, or metric used to gauge GPRA, project, or performance.

- There may be multiple performance measures associated with each project objective.

## Increase Student Success via Student Supplemental Instruction Programs

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

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

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

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

# Activities: All Components

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

## Objectives & Performance Measures

- I. Conduct a 6-week Summer Bridge Program (SBP) that enrolls 100 students by 9/30/20 XX**
  1. 60% of students who complete all 4 weeks will test at least one level higher in English
  2. 45% of students who complete all 4 weeks will test at least one level higher in Math
  3. 65% of SBP 2021 enrollees will register and enroll in Fall 2021 courses
  4. 40% of SBP 2021 enrollees will register and enroll in Spring 2022 courses
  
- II. Conduct a three-week Winter Bridge Program (WBP) that enrolls 30 students by 9/30/20 XX**
  1. 40% of students who complete all 4 weeks will test at least one level higher in English
  2. 25% of students who complete all 4 weeks will test at least one level higher in Math
  3. 65% of WBP enrollees will register and enroll in Spring 2022 courses
  4. 40% of WBP enrollees will register and enroll in Fall 2022 courses

# Implementation Strategy

## Quality of Implementation Strategy

- strategy or strategies is/are comprehensive;
- rationale for the implementation strategy is clear and supported by research;
- activity timetables are realistic and have all the responsible personnel.



# Key Personnel

## Quality of key personnel

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

# Project Management Plan

## Quality of Project Management Plan

### Management procedures:

- should ensure effective and efficient project implementation

### Management authority:

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

# Project Management Plan

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

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

# Evaluation Plan

## Quality of Evaluation Plan

- Data elements/data collection procedures:
  - Appropriate for the activities?
  - Clearly described?
- Data analysis procedures:
  - Clearly described?
  - Provide formative and summative results

## Your project evaluation:

1. establishes baseline data
2. quantifies when possible
3. provides formative data to measure progress
4. reflects timely progress
5. identifies progress for outcomes and goals for each year

# Budget

There is one budget narrative space in a SIP application, and that is your response to the budget selection criterion.

This is where you:

- provide a detailed *budget narrative* for each budget year (5 total).
- Ensure your proposed budget is:
  - necessary, and
  - reasonable in relation to the proposed activities

The 524B Form is the general, five-year budget for the grant.

# Endowment Funds

- You may assign as much as 20% of that year's grant funds to the Endowment Fund.
- Endowments must match (cost-share) federal funds dollar-for-dollar.
- You must invest both grant and matching funds for 20 years.
- Up to  $\frac{1}{2}$  of the interest may be spent during the 20 years.
- Those interest funds may be used for scholarships.
- Real estate cannot be used to match endowment funds.

# Describing Endowment In the Application

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



# ALLOWABLE AND UNALLOWABLE ACTIVITIES



# Allowable and Unallowable Activities

Allowable and unallowable activities are listed in the application booklet under Authorizing Legislation and on our website under Laws, Regs & Guidance.

- HEA Sections 311(c); 316(c); and Section 317(c)
- Regulations: 34 CFR 607.10 (Title III, Part A Programs)

# Allowable Activities (cont.)

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

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

# Unallowable Activities

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

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

# Common Challenges

- Unsubstantiated statements.
- Inconsistencies between the narrative and the budget.
- Not addressing all components within any single criterion.
- Note each sub-criterion. Address each one separately.
- Do not assume that the readers can read between the lines of your proposal. Provide detailed, comprehensive material.
- Grammar/Spelling.



# APPLICATION SUBMISSION

# 2023 Application

Electronic submission is required via:

**[www.Grants.gov](http://www.Grants.gov)**

By:

11:59:59 PM Eastern

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

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

# SIP Program Profile

- Includes tie-breaker information —very important, especially if the Program funds down the slate the following year..
- Applicants will re-create the form in the application, completing all the information.
- It should be attached to the Project Narrative Attachment Form.

# Final Preparation

- Make sure you:

Provide complete and correct contact information for a person knowledgeable about your institution's application on the cover page

- Name
- Phone number with extension
- Fax number
- Email address

Ensure the mandatory assurances and certificates been submitted.

Ensure you attach a statement addressing GEPA.



# Call for Peer Reviewers

Those interested in reading for any other programs having competitions in FY 2023:

DHSI

MSEIP

ANNH-Part A

AANAPISI-Part A

NASNTI-Part A

Various FIPSE Programs

You must register or (if already registered) update your information in G5 at: [www.g5.gov](http://www.g5.gov).

Check out the following training, to see the general requirements of being a reviewer: [Introduction to being an Effective Peer Reviewer FY22 \(ed.gov\)](#)

# QUESTIONS?



Website:

<https://www2.ed.gov/programs/ideestitle3a/index.html>

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## THANK YOU!