



APPLICATION TO PARTICIPATE IN THE STATE STUDENT INCENTIVE GRANT (SSIG) PROGRAM (1997-98 AWARD YEAR)

(Title IV, Part A, Subpart 4, Higher Education Act of 1965, as amended)
Catalog of Federal Domestic Assistance No. 84.069

Form Approved - 4/9/96
O.M.B. No. 1840-0099
Expiration Date : 12/31/98

STATE: _____

Section I: General Information

1. Entity Identification Number (EIN)	4. Name and address of applicant state agency (include ZIP code)
2. Name of state program(s) included in your SSIG Program	
3. Maximum grant amount for the program(s) listed in item 2	

Section II: State Request for Federal Funds (Section 415C(a))

5. Total Federal Funds Requested for Student Awards (include the basic state allotment plus any available reallocated funds)

\$ _____

Section III: State Matching Funds Available (Section 415C(b)(6) and (10))

For the year for which funds are requested, indicate expected amounts:

6. (a) Total state-appropriated funds available for need-based awards \$ _____

(b) All other state funds available for need-based awards \$ _____

(c) Total state funds available for non-need-based awards \$ _____

7. Total state expenditures for grants and work-study jobs for students (equals total of items 6(a), 6(b), and 6(c)) \$ _____

Section IV: State Maintenance of Effort (Section 415C(b)(8))

Total State Student Incentive Grant Expenditures (not including Federal Funds):

8. Previous three (3) fiscal years:

(a) 1993-94: \$ _____ (b) 1994-95: \$ _____ (c) 1995-96: \$ _____

9. Current fiscal year 1996-97: \$ _____ 10. Projected (application) fiscal year 1997-98: \$ _____

11. If item 10 is more than the item 8 average, check here _____ and leave rest of item 11 blank. If item 10 is less than the average for item 8, show full-time equivalent enrollment as a basis for calculating average annual expenditures per full-time equivalent student.

Full-time Equivalent Students - Previous three (3) fiscal years:

(a) 1993-94: _____ (b) 1994-95: _____ (c) 1995-96: _____

(d) Current fiscal year 1996-97: _____ (e) Projected (application) fiscal year 1997-98: _____

Section V: State Determination of Substantial Financial Need of Students (Section 415C(b)(4))

12. (a) Does your state use the "Free Application for Federal Student Aid (FAFSA)" or "Renewal FAFSA" for students to apply for state grant and work-study aid in your state? Yes No

(b) If your answer to 12 (a) was "No" or your state uses any application forms in addition to the FAFSA or Renewal FAFSA, attach a copy of each form used by the state. Include each form's instructions, including any instructions concerning the payment of fees by students for processing application forms.

(c) Does your state use the Federal Needs Analysis Methodology to determine financial need for the SSIG Program? Yes No

(d) If your answer to 12 (c) was "No," attach a detailed description of the methodology used by your state including all of the descriptive materials produced by your state or other entity to explain your state's methodology.

(e) Does your state use in its need analysis methodology the definition of "independent student" in section 480(d) of the Higher Education Act (HEA), as amended (P. L. 102-325)? Yes No

(f) If your answer to 12 (e) was "No," you must provide a detailed explanation as to why the Secretary should approve a definition of "independent student" that varies from that term as defined in section 480(d) of the HEA. Also, you must provide a detailed description of your state's "independent student" definition used in your SSIG Program.

13. Attach a description of the criteria (standards) used by your state to determine whether a student's financial need is substantial. Clearly relate these criteria (standards) to the need analysis methodology used by the state. Also, include any state policies with respect to packaging SSIGs with other assistance and preventing overawards.

Section VI: Institutional Eligibility Within State (Section 415C(b)(5))

14. Place an "X" next to each type of postsecondary educational institution indicated below that students may attend in 1997-98 as recipients of assistance under the State Student Incentive Grant Program:

- (a) _____ Public 2-year
- (b) _____ Public 4-year
- (c) _____ Private 2-year
- (d) _____ Private 4-year
- (e) _____ Other Nonprofit Institutions
- (f) _____ Private Proprietary (for profit)

15. Indicate any exclusions of nonprofit institutions or programs by:

(a) State Constitution _____

(b) State Law enacted before October 1, 1978 _____

Section VII: Assurances

The state agency designated in Section I hereby assures the U.S. Secretary of Education that it will comply with all provisions of the laws and regulations applicable to the State Student Incentive Grant (SSIG) Program including the following:

That it is the "single state agency" designated to administer the SSIG Program as required by section 415 of the Higher Education Act of 1965, as amended (HEA).

That SSIG assistance to a full-time student will not be more than \$5,000 per academic year.

That the state will use no more than 20 percent of its allotment for each fiscal year for payments to eligible students for community service-learning jobs as defined in 34 CFR 692.30.

That no student or parent be required by the state or any institution participating in the state's SSIG Program to pay a fee payable to an entity other than the state for the collection of any data needed to make a determination of a student's eligibility under the state's SSIG Program regardless of whether that data may be used for institutional purposes.

That SSIG recipients are selected on the basis of substantial financial need, determined annually according to criteria established by the state and approved by the Secretary.

That all public and nonprofit institutions of higher education in the state are eligible to participate in the state program, unless such participation is prohibited by the state's constitution or by state law enacted before October 1, 1978.

That the non-Federal portion of expenditures for grants and work-study jobs under this program will be from funds supplied by the state from direct state appropriations as required under section 415C(b)(6), (b)(8), and (b)(10) of the HEA .

That if a state's allocation of SSIG funds is based in part on the financial need demonstrated by independent students as defined in section 480(d) of the HEA or students attending less-than-full-time, a reasonable proportion of the SSIG funds will be made available to these students.

That to the extent practicable, state SSIG Program funds shall represent the same proportional distribution of the funds awarded to independent students in the SSIG Program as to the funds awarded to all students in the state program or programs of which the state's SSIG Program is a part.

That the state will maintain fiscal control and fund accounting procedures that provide for such reports as may be reasonably necessary to enable the Secretary to perform the Secretary's functions under the SSIG Program.

That no payment will be made to a student, either directly by the state or indirectly through an institution of higher education under this program unless the student meets the eligibility requirements of the program regulations (34 CFR 692.40).

That the state will provide for annual, independent, non-Federal audits of its SSIG Program operations as required by section 7501(8)(A) of the Single Audit Act of 1984 (31 USC).

THE STATE AGENCY CERTIFIES THAT THE INFORMATION IN THIS APPLICATION IS TRUE AND ACCURATE AND IS BASED UPON INFORMATION REFLECTED IN THE OFFICIAL ACCOUNTING AND PROGRAM RECORDS OF THIS AGENCY, AND UPON REQUEST, SUCH RECORDS WILL BE MADE AVAILABLE TO THE SECRETARY OR HIS DELEGATE FOR REVIEW.

WITNESS my signature this _____ day of _____, 1997.

(Chief Executive Officer of Applicant State Agency)*

(Typed Name/Title of Chief Executive Officer)

* The Chief Executive Officer of the agency designated to administer the program in the state's Federal-State Relationship Agreement, as provided under section 1203 of the Higher Education Act of 1965, as amended.



**INSTRUCTIONS TO STATE AGENCY
FOR COMPLETING APPLICATION TO PARTICIPATE IN
STATE STUDENT INCENTIVE GRANT (SSIG) PROGRAM
(1997-98 AWARD YEAR)**

Form Approved - 4/9/96
O.M.B. No. 1840-0099
Expiration Date : 12/31/98

THE TIME REQUIRED TO COMPLETE THIS INFORMATION COLLECTION IS ESTIMATED TO AVERAGE 4 HOURS PER RESPONSE, INCLUDING THE TIME TO REVIEW INSTRUCTIONS, SEARCH EXISTING DATA RESOURCES, GATHER AND MAINTAIN THE DATA NEEDED, AND COMPLETE AND REVIEW THE INFORMATION COLLECTION. **IF YOU HAVE ANY COMMENTS CONCERNING THE ACCURACY OF THE TIME ESTIMATE OR SUGGESTIONS FOR IMPROVING THIS FORM, PLEASE WRITE TO: U.S. DEPARTMENT OF EDUCATION, WASHINGTON, D.C. 20202-4651. IF YOU HAVE ANY COMMENTS OR CONCERNS REGARDING THE STATUS OF YOUR INDIVIDUAL SUBMISSION OF THIS FORM, WRITE DIRECTLY TO: PELL AND STATE GRANT SECTION, U.S. DEPARTMENT OF EDUCATION, 600 INDEPENDENCE AVENUE, S.W., ROB-3 ROOM 3045, WASHINGTON, D.C. 20202-5447**

SECTION I

- Item 1.** Enter the applicant's EIN (Entity Identification Number) assigned by the Department of Education. The EIN consists of the applicant's IRS Employer Identification Number prefixed by "1" and suffixed by a letter and number.
- Item 2.** Enter the name of the state program(s) that make up the SSIG Program in your state.
- Item 3.** Enter the maximum grant amount for the program(s) listed in item 2. This amount may be greater than the Federal maximum of \$5,000.
- Item 4.** SELF-EXPLANATORY.

SECTION II

- Item 5.** Enter the **TOTAL FEDERAL FUNDS** you request for your state from the FY 1997 appropriation to provide awards to students under the State Student Incentive Grant Program in 1997-98. Include the amount of your state's basic allotment (see the enclosed Allotment Table) as well as the additional (reallotted) funds your state will be able to match and use for SSIG awards. (You will receive advice by May 1997 as to the award of a basic allotment to your state. Should reallotted funds become available for awards, your request for additional funds will then be reviewed, and you will be advised sometime after April 1, 1998, as to the amount of reallotted funds to be made available to your state. Basic allotments and reallotments are contingent upon the adequacy of available matching funds and maintenance-of-effort expenditures.)

SECTION III

NOTE: Amounts entered in this section signify the state's commitment to provide the state matching funds required by section 415C(b)(6) and (10) of the program statute.

- Item 6.** Section 415C(b)(10) requires that only funds directly appropriated by the state for this program be used for matching Federal allotments. Item 6 (a) must include the total state-appropriated funds for need-based (undergraduate and graduate) awards and must at a minimum equal the Federal 1997 basic allotment. The amount in item 6 (b) should include any nonappropriated funds for need-based (undergraduate and graduate) awards. Item 6 (c) must include total state funds (appropriated or from other sources) for non-need-based (undergraduate and graduate) awards.
- Item 7.** Item 7 is the total of items 6 (a), 6 (b), and 6 (c) and includes all state expenditures, (appropriated funds and funds from other sources) for grants and work-study jobs for students projected for 1997-98 (need-based and non-need-based awards, both to undergraduates and graduates), but does not include the SSIG Federal share you anticipate. For a state to receive the full amount it requests in item 5, the amount indicated in item 7 must be at least as large as the sum of (1) the state's base-year amount, (2) its FY 1997 basic allotment, and (3) the amount of reallotment funds requested (if any). (The amount of the state's base-year expenditures is available from previous applications.)

SECTION IV

Section 415C(b)(8) provides that state SSIG expenditures shall not be less than the average annual aggregate expenditures for the preceding three fiscal years or the average annual expenditures per full-time equivalent student for such years.

SECTION IV (continued from the previous page)

In this section show your state's SSIG expenditures used to match the Federal allotments. Include only those state funds which the state uses to match the Federal allotment and which are awarded in accordance with all the SSIG Program statutory and regulatory requirements. Do not include Federal funds or other expenditures for state grants that are not SSIGs.

Item 8. Use actual state SSIG expenditures (directly appropriated state funds only).

Item 9. Use best available state SSIG figures (directly appropriated state funds only).

Item 10. Use best available state SSIG figures for the projected (application) fiscal year (directly appropriated state funds only).

Item 11. If information is required for Item 11, enter the total full-time equivalent enrollment of all institutions of higher education in the state that are eligible to participate in the state's SSIG Program.

SECTION V

This section is designed to enable the Secretary to review and approve your state's criteria for the selection of recipients under the program on the basis of substantial financial need as provided by section 415C(b)(4). Use a separate sheet of paper, if you need additional space to explain your answers to the questions in this section or explain in attached printed materials.

Item 12. The methodology used by your state to determine student financial need, if not the Federal Needs Analysis Methodology, must be explained in sufficient detail to allow the Secretary to determine its adequacy. Please attach a copy of all descriptive materials produced by your state regarding your need analysis methodology, including the application used by your students (other than the FAFSA).

If your answer to 12(e) was "No," you must provide the reason(s) why the state wishes to use a variant "independent student" definition in sufficient detail to allow the Secretary to determine whether its approvable. Also, provide a detailed description of your state's "independent student" definition. You must check "No" for item 12 (e) if you state does not allow a financial aid administrator's professional judgment to document a student's independent status.

Item 13. The criteria used for determining whether a student's need is substantial must be explained in sufficient detail to allow the Secretary to determine their adequacy. The following are examples of how a state may define substantial need:

- ◆ A minimum level of relative need as measured by the difference between a student's cost of attendance and the resources available to meet that cost.
- ◆ A measure of a family's ability to pay for a student's educational expenses, such as a maximum expected family contribution.
- ◆ A process of selecting recipients on the basis of a ranking of eligible applicants according to their financial need.

SECTION VI

Section 415C(b)(5) requires that all public and nonprofit institutions in a state must be eligible to participate unless excluded by the state's constitution or a statute enacted before October 1, 1978.

Item 14. SELF-EXPLANATORY.

Item 15. SELF-EXPLANATORY.

SECTION VII

The Chief Executive Officer of the applicant agency certifies by signing and dating the appropriate blanks, that the state agrees to comply with each assurance provided in this section and with all applicable laws and regulations. The applicant agency is that agency designated to administer the SSIG Program in the state's Federal-State Relationship Agreement, as provided under section 1203 of the Higher Education Act of 1965, as amended.

ALLOTMENT TABLE

This table is furnished for the assistance of state agencies in completing item 5 of this application.