

# DRAFT

## U. S. DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Washington, DC 20006-8510



**Fiscal Year 2007**

**APPLICATION FOR GRANTS  
UNDER DEVELOPING  
HISPANIC-SERVING INSTITUTIONS PROGRAM  
(CFDA NUMBER: 84.031S)**

**Form Approved  
OMB No. 1840 -, Exp. Date:**

**CLOSING DATE:**

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Dear Applicant:

Thank you for your interest in applying for a grant under the Developing Hispanic-Serving Institutions (HSI) Program. This letter highlights a few items in the fiscal year (FY) 2007 application package that will be important to you in applying for grants under this program and additional information applicants may be required to provide. You should review the entire application package carefully before preparing and submitting your application. Information on the HSI Program is accessible at the U.S Department of Education (Department) Web site at:

<http://www.ed.gov/programs/dueshsi/index.html>

In order to receive a grant under the Title V program, an institution of higher education must have applied for and been designated as an eligible institution. The Notice Inviting Applications for the Designation as an Eligible Institution was published in the Federal Register on (insert date). In addition, at the time of application (school year 2005-2006), an institution must have at least 25 percent enrollment of undergraduate full-time equivalent (FTE) Hispanic students and not less than 50 percent of all the institution's Hispanic students must be low-income individuals. 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 Census Bureau. Instructions for making the required determinations, including a copy of the low-income chart, are included in this HSI application package on page 39.

The Department will cross-reference for verification, data reported to the Integrated Postsecondary Education Data System (IPEDS), the institution's state reported enrollment data, and the institutional annual report. If there are any differences in the percentages reported to the above references, the institution should justify the differences as a part of their eligibility documentation. When providing eligibility documentation to support your HSI assurances, please note that the Department does not consider a replication of the instructions sufficient justification. If the Department receives a replica of the instructions and/or cannot validate the eligibility data documented in the assurances, the application will be deemed ineligible.

Please note the following funding restrictions: an eligible HSI that submits more than one application may only be awarded one Individual Development Grant or one Cooperative Arrangement Development Grant in a fiscal year. Furthermore, we will not award a second Cooperative Arrangement Development Grant to an otherwise eligible HSI for the same award year as the institution's existing Cooperative Arrangement Development Grant Award.

For the FY 2007 grant competition, you are required to submit your application via Grants.gov. You are urged to acquaint yourself with the requirements of Grants.gov and **register early**. A more thorough discussion is included in this application package. Grants.gov is accessible through its portal page at:

<http://www.grants.gov>

Dear Applicant – Page 2

Included in this application package is a document containing submission procedures to ensure your application is received in a timely and acceptable manner. Consult and follow the Federal Register notice to ensure proper guidance for application submission. Exceptions to the electronic submission requirement are also outlined in the Federal Register notice. The Department is required to enforce the established deadline in order to ensure fairness to all applicants. Please note that Grants.gov does not allow applicants to “un-submit” applications. If you discover that changes or additions are needed once your application has been accepted and validated by the Department, you must “re-submit” the entire application. Should the Department receive duplicate applications, we will accept and process the application with the latest “date/time received” validation.

You are required to submit a Program Abstract as well as the “Hispanic-Serving Institutions Program Profile.” Information provided in the Program Abstract is limited to one double-spaced page and must be uploaded into the “ED Abstract Form” in the Grants.gov application package.

Applicants are asked to carefully read question #12 on the HSI Program Profile, and check the box or place an X in the space before the box certifying that they will comply with the statutory requirements and program assurances cited in the HSI program regulations, 34 CFR 606.2.

Applicants must also complete an “HSI Program Profile sheet,” found on pages 73-74, which should provide eligibility status that the documentation an institution’s determines that at least 25 percent of the institution’s undergraduate FTE students are Hispanic, and at least 50 percent of the enrolled Hispanic students are low-income individuals. Upon completion of the program profile sheet, you are required to copy and paste the HSI Program Profile into a separate document or recreate the form exactly as it appears, and attach the form to the “Other Attachments Form” as either a .doc, .rtf or .pdf document.

In addition to evaluating an application under the selection criteria, we will be evaluating an applicant’s performance under any previous development grant awarded under the Developing Hispanic-Serving Institutions Program to determine funding recommendations.

You are reminded that the document published in the Federal Register is the official document and that you should not rely upon any information that is inconsistent with the guidance contained within the official document.

Sincerely,

Susan E. Beaudoin  
Acting Deputy Assistant Secretary  
Higher Education Programs

## Competition Highlights

1. Electronic submission of applications through Grants.gov is required therefore, you must submit an electronic application unless you follow the procedures outlined in the Federal Register notice inviting applications for new awards for FY 2007 and qualify for one of the exceptions to the electronic submission requirement. If you think you may need an exception, you are urged to review the requirement promptly.
2. 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. Grants.gov is accessible through its portal page at:

<http://www.grants.gov>

3. It is important to know that Grants.gov does not allow applicants to “un-submit” applications. Therefore, if you discover that changes or additions are needed once your application has been accepted and validated by the Department, you must “re-submit” the entire application. You should know that if the Department receives duplicate applications, we will accept and process the application with the latest “date/time received” validation.
4. The application must be received on or before the deadline date and time. 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.
5. Please review and familiarize yourself with the program statute and regulations. The program statute may be found on pages 30-37. The program regulations can be found on the Title V website at <http://www.ed.gov/programs/ideshsi/index.html>.
6. New Title V grants will be awarded on a competitive basis for the following types of grants: individual development grant and cooperative arrangement development grant. An applicant may apply for more than one type of Title V grant. For the 2007 Title V grant competition, applicants should note the following funding restrictions: an eligible HSI that submits more than one application may only be awarded one Individual Development Grant or one Cooperative Arrangement Development Grant in a fiscal year. Furthermore, we will not award a second Cooperative Arrangement Development Grant to an otherwise eligible HSI for the same award year as the institution’s existing Cooperative Arrangement Development Grant Award.

7. Applicants are required to submit a Program Abstract as well as a Program Profile page. Information provided in the Program Abstract is limited to one double-spaced page and must be uploaded into the “ED Abstract Form” in the Grants.gov application package. Applicants are also required to copy and paste the Program Profile into a separate document or recreate the form exactly as it appears and attach the form to the “Other Attachments Form” as either a .doc, .rtf, or .pdf document.
8. You will be required to provide the Department with documentation the institution relied upon in determining that at least 25 percent of the institution’s undergraduate FTE students are Hispanic and at least 50 percent of the enrolled Hispanic students are low-income individuals. The Department will cross-reference, for verification, data reported to the Integrated Postsecondary Education Data System (IPEDS), the institution’s state reported enrollment data, and the institutional annual report. If there are any differences in the percentages reported to the above references, the institution should justify the differences as a part of their eligibility documentation. When providing eligibility documentation to support your HSI assurances, please note that the Department does not consider a replication of the instructions sufficient justification. If the Department receives a replica of the instructions and/or cannot validate assurances, the application will be deemed ineligible.
9. Note the changes in the weights assigned to the selection criteria. While the total maximum score that an application may receive remains at 100 points, the total maximum score for each criterion may have changed and the points previously assigned to the sub-criterion under each major criterion have been removed. As an applicant, you must still address each selection criterion (in the same order as they appear in the application), providing compelling evidence to support your proposal. The changes in the weights of the criterion simply outline the importance of each criterion. The point distribution for FY 2007 is included in the Federal Register notice inviting applications for FY 2007, and in the selection criteria outlined in this package on pages 59-60.
10. In addition to evaluating an application under the selection criteria, we will be evaluating an applicant’s performance under any previous development grant awarded under the Developing Hispanic-Serving Institutions Program to determine funding recommendations.
11. All applicants are required to adhere to the page limit for the Program Narrative portion of the application. You must limit the section of the narrative that addresses the selection criteria to no more than 50 pages for the Individual Development Grant application and 70 pages for the Cooperative Arrangement Development Grant.

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to log on to Grants.gov to upload and submit the application. (This is different from e-Application, where you are working online and saving data to the Department’s database.) **You must provide the DUNS number that was used when your organization registered with the Central Contractor Registry (CCR).**

Please go to <http://www.grants.gov/ForApplicants> for help with Grants.gov and click on the links in the lower right corner of the screen under Applicant Tips and Tools. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application Tips found on the Grants.gov homepage <http://www.grants.gov>. Also, refer to the procedures and tips for applicants found on pages 5-7 of this application booklet.

## IMPORTANT – PLEASE READ FIRST

### U.S. Department of Education

### **Grants.gov Submission Procedures and Tips for Applicants**

Please note that the Grants.gov site works differently than the U.S. Department of Education's (Department) e-Application system. 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.

- 1) **REGISTER EARLY** – Grants.gov registration is a one-time process that may take five or more days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Get Started steps are complete. For detailed information on the Get Started Steps, please go to: <http://www.grants.gov/GetStarted>.
- 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 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. If you start uploading your application before 4:30 p.m. Washington, D.C. time on the application deadline date, and it does not finish uploading until after 4:30 p.m., your application will be marked late. If that happens, please see the section below on submission problems.

**Note: To submit successfully, you must provide the DUNS number on your application that was used when your organization registered with the CCR (Central Contractor Registry).**

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov and the Department receive your Grants.gov submission in a timely manner and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Check Application Status link. For a successful submission, the date/time received should be earlier than 4:30 p.m. on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

If the date/time received is later than 4:30 p.m. Washington, D.C. time, on the closing 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/assets/ApplicationErrorTips.doc>. 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 in a timely manner 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 use the customer support available on the Web site: <http://www.grants.gov/CustomerSupport>.

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.

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

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

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. (This is different from e-Application, where you are working online and saving data to the Department's database.) **You must provide on your application the DUNS number that was used when your organization registered with the CCR.**

Please go to <http://www.grants.gov/ForApplicants> for help with Grants.gov and click on the links in the lower right corner of the screen under Applicant Tips and Tools. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application Tips found on the Grants.gov homepage <http://www.grants.gov>.

### **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.)

### **MAC Users**

If you do not have a Windows operating System, you will need to use a Windows Emulation program to submit an application using Grants.gov. For additional information, review the

[PureEdge Support for Macintosh](#) white paper published by Pure Edge:  
[http://www.grants.gov/GrantsGov\\_UST\\_Grantee!/SSL!/WebHelp/MacSupportforPureEdge.pdf](http://www.grants.gov/GrantsGov_UST_Grantee!/SSL!/WebHelp/MacSupportforPureEdge.pdf),  
and/or contact Grants.gov Customer Support (<http://www.grants.gov/CustomerSupport>) for more  
information. **If you do not have a Windows emulation program and electronic submission is  
required, please follow 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.)

## Application Transmittal Instructions

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

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

**According to the instructions found in the Federal Register notice, those requesting and qualifying for an exception to the electronic submission requirement may submit an application via 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 p.m. (Washington, D.C. time) on or before the application deadline date.**

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

For more information on using Grants.gov, please refer to the “Notice Inviting Applications” that was published in the Federal Register, or visit <http://www.grants.gov>.

### **Applications Delivered by Mail**

You must mail the original and two copies of your application on or before the application deadline date to:

**U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.031S)  
400 Maryland Avenue, S.W.  
Washington, DC 20202 – 4260**

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

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 U. S. Secretary of Education

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

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

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 disruptions 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,” then follow the instructions for “Applications Delivered by Hand.”

**Applications Delivered by Commercial Carrier:**

If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Sent by Mail,” then follow the instructions under the appropriate delivery method.

You must mail the original and two copies of your application on or before the application deadline date to:

**U.S. Department of Education  
Application Control Center – Stop 4260  
Attention: CDEA# (84.031S)  
7100 Old Landover Road  
Landover, MD 20785-1506**

**Applications Delivered by Hand**

You or your courier must hand deliver the original and two copies of the application by 4:30 p.m. (Washington, D.C. time) on or before the deadline date to the following address:

**U.S. Department of Education  
Application Control Center  
Attention: CFDA Number - 84.031S  
550 12<sup>th</sup> Street, SW  
Potomac Center Plaza – Room 7067  
Washington, D.C. 20202 - 4260**

**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.

**Grant Application Receipt from the Application Control Center**

If you send your application by mail or if you or your courier delivers it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgment to you.

If you do not receive the notification of application receipt within 15 days from the mailing of the application, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

**Late Applications**

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

# DRAFT

4000-01-U

DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

Developing Hispanic-Serving Institutions (HSI) Program

Notice inviting applications for new awards for fiscal year (FY) 2007.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.031S

Dates:

Applications Available:.

Deadline for Transmittal of Applications:.

Deadline for Intergovernmental Review:.

Eligible Applicants: Institutions of higher education (IHEs) that qualify as eligible HSIs are eligible to apply for new Individual Development Grants and Cooperative Arrangement Development Grants under the HSI Program. To be an eligible HSI, an IHE must--

(1) Be accredited or preaccredited by a nationally recognized accrediting agency or association that the Secretary has determined to be a reliable authority as to the quality of education or training offered;

(2) Be legally authorized by the State in which it is located to be a junior college or to provide an educational program for which it awards a bachelor's degree;

(3) Be designated as an "eligible institution" by demonstrating that it:  
A) has an enrollment of needy students as described in 34 CFR 606.3; and B)  
has low average educational and general expenditures per full-time equivalent (FTE) undergraduate student as described in 34 CFR 606.4;

(4) At the time of application, have an enrollment of undergraduate FTE students that is at least 25 percent Hispanic students; and

(5) Provide assurances that not less than 50 percent of its Hispanic students are low-income individuals.

For purposes of making the determinations described in paragraphs (4) and (5) above, IHEs shall use student enrollments for the fall 2005 academic year.

The Notice Inviting Applications for Designation as Eligible Institutions for FY 2007 was published in the Federal Register on (70 FR 74781). The HSI eligibility requirements are in 34 CFR 606.2 through 606.5 and can be accessed from the following Web site:

[http://www.access.gpo.gov/nara/cfr/waisidx\\_01/34cfr606\\_01.html](http://www.access.gpo.gov/nara/cfr/waisidx_01/34cfr606_01.html).

Relationship between HSI and Title III, Part A Programs

Note 1: A grantee under the HSI Program, which is authorized by Title V of the Higher Education Act of 1965, as amended (HEA), may not receive a grant under any HEA, Title III, Part A Program. The Title III, Part A Programs include: the Strengthening Institutions Program, the American Indian Tribally Controlled Colleges and Universities Program; and the Alaska Native and Native Hawaiian-Serving Institutions Programs. Further, a current HSI Program grantee may not give up its HSI grant in order to receive a grant under any Title III, Part A Program.

Note 2: An eligible HSI that does not fall within the limitation described in Note 1, i.e., is not a current grantee under the HSI Program, may apply for a FY 2007 grant under all Title III, Part A Programs for which it is eligible, as well as under the HSI Program. However, a successful applicant may receive only one grant.

Note 3: An eligible HSI that previously received a five-year Individual Development Grant under the HSI Program must wait for two years after the date the five-year grant ended, including any time extensions the grant may have

received, to apply for another Individual Development Grant under the HSI Program.

Note 4: An eligible HSI that submits more than one application may only be awarded one Individual Development Grant or one Cooperative Arrangement Development Grant in a fiscal year. Furthermore, we will not award a second Cooperative Arrangement Development Grant to an otherwise eligible HSI for the same award year as the institution's existing Cooperative Arrangement Development Grant award.

Estimated Available Funds: \$.

Estimated Range of Awards: Individual Development Grant: \$- \$. Cooperative Arrangement Development Grant: \$- \$.

Estimated Average Size of Awards: Individual Development Grant: \$. Cooperative Arrangement Development Grant: \$.

Maximum Awards: Individual Development Grant: \$per year; Cooperative Arrangement Development Grant: \$per year.

We will not fund any application at an amount exceeding the maximum amounts specified above for a single budget period of 12 months. We may choose not to further consider or review applications with budgets that exceed the maximum amounts specified above, if we conclude, during our initial review of the application, that the proposed goals and objectives cannot be obtained with the specified maximum amount.

Estimated Number of Awards: Individual Development Awards: . Cooperative Arrangement Development Awards: .

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

Applicants should periodically check the HSI Program Web site for further information. The address is: <http://www.ed.gov/programs/idadeshsi/index.html>

Project Period: Up to 60 months.

Full Text of Announcement

I. Funding Opportunity Description



Purpose of Program: The HSI Program provides grants to assist HSIs to expand educational opportunities for, and improve the academic attainment of, Hispanic students. The HSI Program grants also enable HSIs to expand and enhance their academic offerings, program quality, and institutional stability.

Program Authority: 20 U.S.C. 1101-1101d, 1103-1103g.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 81, 82, 84, 85, 86, 97, 98, and 99. (b) The regulations for this program in 34 CFR part 606.

## II. Award Information

Type of Award: Discretionary grant. Five-year Individual Development Grants and Five-year Cooperative Arrangement Development Grants will be awarded in FY 2007. Planning grants will not be awarded in FY 2007.

Estimated Available Funds: \$.

Estimated Range of Awards: Individual Development Grant: \$300,000 - \$575,000. Cooperative Arrangement Development Grant: \$400,000 - \$700,000.

Estimated Average Size of Awards: Individual Development Grant: \$500,000. Cooperative Arrangement Development Grant: \$600,000.

Maximum Awards: Individual Development Grant: \$575,000. Cooperative Arrangement Development Grant: \$700,000.

We will not fund any application at an amount exceeding the maximum amounts specified above for a single budget period of 12 months. We may choose not to further consider or review applications with budgets that exceed the maximum amounts specified above, if we conclude, during our initial review of the application, that the proposed goals and objectives cannot be obtained with the specified maximum amount.

Estimated Number of Awards: Individual Development Awards: . Cooperative Arrangement Development Awards: .

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

notice. Applicants should periodically check the HSI Program Web site for further information. The address is:

<http://www.ed.gov/programs/idadeshsi/index.html>

Project Period: Up to 60 months.

### III. Eligibility Information

Eligible Applicants: IHEs that qualify as eligible HSIs are eligible to apply for new Individual Development Grants and Cooperative Arrangement Development Grants under the HSI Program. To be an eligible HSI, an IHE must--

(1) Be accredited or preaccredited by a nationally recognized accrediting agency or association that the Secretary has determined to be a reliable authority as to the quality of education or training offered;

(2) Be legally authorized by the State in which it is located to be a junior college or to provide an educational program for which it awards a bachelor's degree;

(3) Be designated as an "eligible institution" by demonstrating that it:  
A) has an enrollment of needy students as described in 34 CFR 606.3; and B) has low average educational and general expenditures per FTE undergraduate student as described in 34 CFR 606.4;

(4) At the time of application, have an enrollment of undergraduate FTE students that is at least 25 percent Hispanic students; and

(5) Provide assurances that not less than 50 percent of its Hispanic students are low-income individuals.

For purposes of making the determinations described in paragraphs (4) and (5) above, IHEs shall use student enrollments for the fall 2005 academic year.

The Notice Inviting Applications for Designation as Eligible Institutions for FY 2007 was published in the Federal Register on December 16, 2005 (70 FR 74781). The HSI eligibility requirements are in 34 CFR 606.2

through 606.5 and can be accessed from the following Web site:

[http://www.access.gpo.gov/nara/cfr/waisidx\\_01/34cfr606\\_01.html](http://www.access.gpo.gov/nara/cfr/waisidx_01/34cfr606_01.html).

Relationship between HSI and Title III, Part A Programs

Note 1: A grantee under the HSI Program, which is authorized by Title V of the HEA, may not receive a grant under any HEA, Title III, Part A Program.

The Title III, Part A Programs include: the Strengthening Institutions Program; the American Indian Tribally Controlled Colleges and Universities Program; and the Alaska Native and Native Hawaiian-Serving Institutions Programs. Further, a current HSI Program grantee may not give up its HSI grant in order to receive a grant under any Title III, Part A Program.

Note 2: An eligible HSI that does not fall within the limitation described in Note 1, i.e., is not a current grantee under the HSI Program, may apply for a FY 2006 grant under all Title III, Part A Programs for which it is eligible, as well as under the HSI Program. However, a successful applicant may receive only one grant.

Note 3: An eligible HSI that previously received a five-year Individual Development Grant under the HSI Program must wait for two years after the date the five-year grant ended, including any time extensions the grant may have received, to apply for another Individual Development Grant under the HSI Program.

Note 4: An eligible HSI that submits more than one application may only be awarded one Individual Development Grant or one Cooperative Arrangement Development Grant in a fiscal year. Furthermore, we will not award a second Cooperative Arrangement Development Grant to an otherwise eligible HSI for the same award year as the institution's existing Cooperative Arrangement Development Grant award.

2. Cost Sharing or Matching: There are no cost sharing or matching requirements, unless the grantee uses a portion of its grant for establishing or improving an endowment fund. If a grantee uses a portion of its grant for

endowment fund purposes, it must match those grant funds with non-Federal funds. (20 U.S.C. 1101c).

#### IV. Application and Submission Information

1. Address to Request Application Package: J. Alexander Hamilton, U.S. Department of Education, 1990 K Street, NW., 6th Floor, Washington, DC 20006-8513. Telephone: (202) 502-7583 or by e-mail: Josephine.Hamilton@ed.gov

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

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

2. Content and Form of Application Submission:

a. Applicants must provide, as an attachment to the application, the documentation the institution relied upon in determining that, for the fall 2005 academic year, at least 25 percent of the institution's undergraduate FTE students are Hispanic, and at least 50 percent of the enrolled Hispanic students are low-income individuals.

Note: The 25 percent requirement applies only to undergraduate Hispanic students and is calculated based upon FTE students. The 50 percent low-income requirement includes the institution's total enrollment of Hispanic students and is calculated based upon head count. Instructions for formatting and submitting the verification documentation to Grants.gov are in the application package.

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

Page Limits: The program narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to

evaluate your application. We have established mandatory page limits for both the Individual Development Grant and the Cooperative Arrangement Development Grant applications. You must limit the section of the narrative that addresses the selection criteria to no more than 50 pages for the Individual Development Grant application and 70 pages for the Cooperative Arrangement Development Grant application, using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1 inch margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, except titles, headings, footnotes, quotations, references, captions and all text in charts, tables, and graphs.
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. Applications submitted in any other font (including Times Roman and Arial Narrow) will not be accepted.
- Use font size 12.

The page limit does not apply to Part I, the application for federal assistance face sheet (SF 424); the supplemental information form required by the Department of Education; Part II, the budget information summary form (ED Form 524); and Part IV, the assurances and certifications. The page limit also does not apply to a table of contents or the program abstract. If you include any attachments or appendices other than those specifically requested, these items will be counted as part of the program narrative (Part III) for purposes of the page limit requirement. You must include your complete response to the selection criteria in the program narrative.

We will reject your application if—

- You apply these standards and exceed the page limit;
- or
- You apply other standards and exceed the equivalent of the page limit.

3. Submission Dates and Times:

Applications Available: January 24, 2006.

Deadline for Transmittal of Applications: March 10, 2006.

Applications for grants under this program competition must be submitted electronically using the Grants.gov Apply site (Grants.gov). For information (including dates and times) about how to submit your application electronically or by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 6. Other Submission Requirements in this notice.

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

Deadline for Intergovernmental Review: May 09, 2006.

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

5. Funding Restrictions: We reference the regulations outlining funding restrictions in the Applicable Regulations section of this notice.

- Applicability of Executive Order 13202.

Applicants that apply for construction funds under the HSI Program must comply with Executive Order 13202, signed by President Bush on February 17, 2001 and amended on April 6, 2001. This Executive order provides that recipients of Federal construction funds may not "require or prohibit bidders, offerors, contractors, or subcontractors to enter into or adhere to agreements with one or more labor organizations, on the same or other construction project(s)" or "otherwise discriminate against bidders, offerors, contractors, or subcontractors for becoming or refusing to become or remain signatories or otherwise adhere to agreements with one or more labor organizations, on the same or other construction project(s)." However, the Executive order does not

prohibit contractors or subcontractors from voluntarily entering into these agreements. Projects funded under this program that include construction activity will be provided a copy of this Executive order and grantees will be asked to certify that they will adhere to it.

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

a. Electronic Submission of Applications.

Applications for grants under the HSI Program (CFDA Number 84.031S) must be submitted electronically using the Grants.gov Apply site at: <http://www.grants.gov>. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

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

You may access the electronic grant application for the HSI Program at: <http://www.grants.gov>. You must search for the downloadable application package for this program by the CFDA number. Do not include the CFDA number's alpha suffix in your search.

Please note the following:

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.

- Applications received by Grants.gov are time and date stamped. Your application must be fully uploaded and submitted, and must be date/time stamped by the Grants.gov system no later than 4:30 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not consider your application if it is date/time stamped by the Grants.gov system later than 4:30 p.m., Washington, DC time, on the application deadline date. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date/time stamped by the Grants.gov system after 4:30 p.m., Washington, DC time, on the application deadline date.

- The amount of time it can take to upload an application will vary depending on a variety of factors including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.

- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this program competition to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov at <http://e-Grants.ed.gov/help/GrantsgovSubmissionProcedures.pdf>

- To submit your application via Grants.gov, you must complete all of the steps in the Grants.gov registration process (see <http://www.Grants.gov/GetStarted>). These steps include (1) registering your organization, (2) registering yourself as an Authorized Organization Representative (AOR), and (3) getting authorized as an AOR by your



organization. Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see <http://www.grants.gov/assets/GrantsgovCoBrandBrochure8X11.pdf>). You also must provide on your application the same D-U-N-S Number used with this registration. Please note that the registration process may take five or more business days to complete, and you must have completed all registration steps to allow you to successfully submit an application via Grants.gov.

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

- You must submit all documents electronically, including all information typically included on the Application for Federal Education Assistance (SF 424), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified above or submit a password protected file, we will not review that material.

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

- After you electronically submit your application, you will receive an automatic acknowledgment from Grants.gov that contains a Grants.gov tracking number. The Department will retrieve your application from Grants.gov and send you a second confirmation by e-mail that will include a PR/Award number (an ED-specified identifying number unique to your application).

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

Application Deadline Date Extension in Case of Technical Issues with the

Grants.gov System: If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically, or by hand delivery. You also may mail your application by following the mailing instructions as described elsewhere in this notice. If you submit an application after 4:30 p.m., Washington, DC time, on the deadline date, please contact the person listed elsewhere in this notice under For Further Information Contact, and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number (if available). We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your application by 4:30 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

Note: Extensions referred to in this section apply only to the unavailability of or technical problems with the Grants.gov system. We will not grant you an extension if you failed to fully register to submit your application to Grants.gov before the deadline date and time or if the technical problem you experienced is unrelated to the Grants.gov system.

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

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to the Grants.gov system;

and

• No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date. Address and mail or fax your statement to: J. Alexander Hamilton, U.S. Department of Education, 1990 K Street, NW., room 6052, Washington, DC 20006-8513 FAX: (202) 502-7861.

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

b. Submission of Paper Applications by Mail.

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

By mail through the U.S. Postal Service:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.031S)  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

or

By mail through a commercial carrier:

U.S. Department of Education  
Application Control Center – Stop 4260  
Attention: (CFDA Number 84.031S)

7100 Old Landover Road  
Landover, MD 20785-1506

Regardless of which address you use, 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, or
- (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, or
- (2) A mail receipt that is not dated by the U.S. Postal Service.

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

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

c. Submission of Paper Applications by Hand Delivery.

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

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.031S)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

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

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

(1) You must indicate on the envelope and – if not provided by the Department – in Item 4 of the Application for Federal Education Assistance (SF 424) the CFDA number – and suffix letter, if any – of the competition under which you are submitting your application.

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

#### V. Application Review Information

1. Selection Criteria: The selection criteria for this program are in 34 CFR 606.22(a)-(g). Applicants must address each of the following selection criteria (separately for each proposed activity). The total weight of the selection criteria is 100 points; the weight of each criterion is noted in parentheses.

(a) Quality of The Applicant's Comprehensive Development Plan (Total 25 Points).

(b) Quality of Activity Objectives (Total 15 Points).

(c) Quality of Implementation Strategy (Total 20 Points).

(d) Quality of Key Personnel (Total 7 Points).

(e) Quality of Project Management Plan (Total 10 Points).

(f) Quality of Evaluation Plan (Total 15 Points).

(g) Budget (Total 8 Points).

2. Review and Selection Process: Tiebreaker for Development Grants.

In tie-breaking situations for development grants described in 34 CFR 606.23(b), the HSI Program regulations require that we award one additional point to an application from an IHE that has an endowment fund for which the market value per FTE student is less than the comparable average per FTE student at a similar type of IHE. We also award one additional point to an application from an IHE that had expenditures for library materials per FTE student that are less than the comparable average per FTE student at a similar type IHE.

For the purpose of these funding considerations, we use 2003-2004 data.

If a tie remains after applying the tiebreaker mechanism above, priority will be given in the case of applicants for: a) Individual Development Grants to applicants that addressed the statutory priority found in section 511(d) of the HEA; and b) Cooperative Arrangement Development Grants to applicants in accordance with section 514(b) of the HEA, if the Secretary determines that the cooperative arrangement is geographically and economically sound or will benefit the applicant HSI.

If a tie still remains after applying the additional point(s), and the relevant statutory priority, we will determine the ranking of applicants based on the lowest endowment values per FTE student.

VI. Award Administration Information

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

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

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and

reference these and other requirements in the Applicable Regulations section of this notice.

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

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as specified by the Secretary in 34 CFR 75.118, 34 CFR 75.720, and in 34 CFR 606.31.

4. Performance Measures: The Secretary has established the following key performance measures for assessing the effectiveness of the HSI Program: 1) The percentage of full-time undergraduate students who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same institution; 2) The percentage of students enrolled at 4-year HSIs graduating within 6 years of enrollment; and 3) The percentage of students enrolled at 2-year HSIs graduating within 3 years of enrollment.

#### VII. Agency Contacts

For Further Information Contact: J. Alexander Hamilton, U.S. Department of Education, 1990 K Street, NW., 6<sup>th</sup> Floor, Washington, DC 20006-8513.

Telephone: (202) 502-7583 or by e-mail: [Josephine.Hamilton@ed.gov](mailto:Josephine.Hamilton@ed.gov) or

Carnisia Proctor, Telephone: (202) 502-7606 or by e-mail:

[Carnisia.Proctor@ed.gov](mailto:Carnisia.Proctor@ed.gov)

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

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the program contact person listed in this section.

VIII. Other Information

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

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

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

Dated: January 19, 2006

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James F. Manning,  
Acting Assistant Secretary  
for Postsecondary Education.



## PROGRAM STATUTE

### SEC. 501. FINDINGS; PURPOSE; AND PROGRAM AUTHORITY.

(a) FINDING. -- Congress makes the following findings:

(1) Hispanic Americans are at high risk of not enrolling or graduating from institutions of higher education.

(2) Disparities between the enrollment of non-Hispanic white students and Hispanic students in postsecondary education are increasing. Between 1973 and 1994, enrollment of white secondary school graduate in 4-year institutions of higher education increased at a rate two times higher than that of Hispanic secondary school graduates.

(3) Despite significant limitations in resources, Hispanic-serving institutions provide a significant proportion of postsecondary opportunities for Hispanic students.

(4) Relative to other institution of higher education, Hispanic-serving institutions are under funded. Such institutions receive significantly less in State and local funding, per full-time equivalent student, than other institutions of higher education.

(5) Hispanic-serving institutions are succeeding in educating Hispanic students despite significant resources problems that--

(A) limit the ability of such institutions to expand and improve the academic programs of such institutions; and

(B) could imperil the financial and administrative stability of such institutions.

(6) There is a national interest in remedying the disparities described in paragraphs (2) and (4) and ensuring that Hispanic students have an equal opportunity to pursue postsecondary opportunities.

(b) Purpose. -- The purpose of this title is to--

(1) expand educational opportunities for, and improve the academic attainment of Hispanic students, and;

(2) expand and enhance the academic offerings, program quality, and institutional stability of colleges and universities that are educating the

majority of Hispanic college students and helping large number of Hispanic students and other low-income individuals complete postsecondary degrees.

(c) Program Authority. -- The Secretary shall provide grants and related assistance to Hispanic-serving institutions to enable such institutions to improve and expand their capacity to serve Hispanic students and other low-income individuals.

### SEC. 502 DEFINITIONS; ELIGIBILITY.

(a) Definitions. For the purpose of this title:

(1) EDUCATIONAL AND GENERAL EXPENDITURES. The term "educational and general expenditures" means the total amount expended by and institution for instruction, research, public service, academic support (including library expenditures), student services, institutional support, scholarships and fellowships, operation and maintenance expenditures for the physical plant, and an mandatory transfers that the institution is required to pay by law.

(2) ELIGIBLE INSTITUTION. The term "eligible institution" means--

(A) an institution of higher education--

(i) has an enrollment of needy students as required by subsection (b);

(ii) except as provided in section 512(b), the average educational and general expenditures of which are low, per full time equivalent undergraduate student, in comparison with the average educational and general expenditures per full time equivalent undergraduate student of institutions that offer similar instruction:

(iii) that is--

(I) legally authorized to provide, and provides within the State, an education program for which the institution awards a bachelor's degree or

(II) a junior or community college;

(iv) that is accredited by a nationally recognized accrediting agency or association determined by the Secretary to be reliable authority as to the quality of training offered or that is, according to such an agency or

association, making reasonable progress toward accreditation;

(v) that meets such other requirements as the Secretary may prescribe; and

(vi) that is located in a State; and

(B) any branch of any institution of higher education described under subparagraph (A) that by itself satisfies the requirements contained in clauses (I) and (ii) of such subparagraph. For purposes of the determination of whether an institution is an eligible institution under this paragraph, the factor described under subparagraph (A)(I) shall be given twice the weight of the factor described under subparagraph (A)(ii).

(3) ENDOWMENT FUND.-- The term

“endowment fund” means a fund that (A) is established by State law, by a Hispanic-serving institution, or by a foundation that is exempt from Federal income taxation;

(B) is maintained for the purpose of generating income for the support of the institution; and (C) does not include real estate.

(4) FULL-TIME EQUIVALENT

STUDENTS.--The term “full-time equivalent students” means the sum of the number of students enrolled full time at an institution, plus the full-time equivalent of the number of students enrolled part time (determined on the basis of the quotient of the sum of the credit hours or all part-time student divided by 12) at such institution.

(5) HISPANIC-SERVING INSTITUTION. --

The term “Hispanic-Serving institution” means

(A) is an eligible institution

(B) at the time of application, has an enrollment of undergraduate full-time equivalent students that is at least 25 percent Hispanic students; and

(C) provides assurances that not less than 50 percent of the institution’s Hispanic students are low-income individuals.

(6) JUNIOR OR COMMUNITY COLLEGE.

The term “junior or community college” means an institution of higher education--

(A) that admits as regular students persons who are beyond the age of compulsory school attendance in the State in which the institution

is located and who have the ability to benefit from the training offered by the institution;

(B) that does not provide an educational program for which the institution awards a bachelor’s degree (or an equivalent degree); and

(C) that--

(I) provides an educational program of not less than 2 years in duration that is acceptable for full credit toward such a degree; or

(ii) offers a 2-year program in engineering, mathematics or the physical or biological sciences, designed to prepare a student to work as a technician or a the semiprofessional level in engineering, scientific, or other technological fields requiring the understanding the application of basic engineering, scientific, or mathematical principles of knowledge.

(7) 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.

(b) Enrollment of Needy Students.-- For the purpose of this title, the term “enrollment of needy students” means an enrollment at an institution with respect to which--

(1) at least 50 percent of the degree students so enrolled are receiving need-based assistance under title IV in the second fiscal year preceding the fiscal year for which the determination is made (other than loans for which an interest subsidy is paid pursuant to section 428); or

(2) a substantial percentage of the students so enrolled are receiving Federal Pell Grants in the second fiscal year preceding the fiscal year for which determination is made compared to the percentage of students receiving Federal Pell Grants at all such institutions in the second fiscal year preceding the fiscal year for which the determination is made, unless the requirement of this paragraph is waived under section 512(a).

SEC. 503 AUTHORIZED ACTIVITIES.

(a) TYPES OF ACTIVITIES AUTHORIZED.

Grants awarded under this title shall be used by Hispanic-serving institutions of higher education to assist the institutions to plan, develop, undertake, and carry out programs to improve and expand such institutions' capacity to serve Hispanic students and other low-income students.

(b) AUTHORIZED ACTIVITIES. Grants awarded under this section shall be used for one or more of the following activities:

(2) Construction, maintenance, renovation, and improvement in classrooms, libraries, laboratories, and other instructional facilities.

(3) Support of faculty exchanges, faculty development, curriculum development, academic instruction, and faculty fellowships to assist in attaining advanced degrees in the fellow's field of instruction.

(4) Purchase of library books, periodicals, and other educational materials, including telecommunications program material.

(5) Tutoring, counseling, and student service programs designed to improve academic success.

(6) Funds management, administrative management, and acquisition of equipment for use in strengthening funds management.

(7) Joint use of facilities, such as laboratories and libraries.

(8) Establishing or improving a development office to strengthen or improve contributions from alumni and the private sector.

(9) Establishing or improving an endowment fund.

(10) Creating or improving facilities for Internet or other distance learning academic instruction capabilities, including purchase or rental of telecommunications technology equipment or services.

(11) Establishing or enhancing a program or teacher education designed to qualify students to teach in public elementary schools and secondary schools.

(12) Establishing community outreach programs that will encourage elementary school and secondary school students to

develop the academic skills and the interest to pursue postsecondary education.

(13) Expanding the number of Hispanic and other underrepresented graduate and professional students that can be served by the institution by expanding courses and institutional resources.

(14) Other activities proposed in the application submitted pursuant to section 504 that --

(A) that contribute to carrying out the purposes of this title

(B) are approved by the Secretary as part of the review and acceptance of such application.

(C) Endowment fund limitations. --

(1) Portion of a grant. -- A Hispanic-serving institution may not use more than 20 percent of the grant funds provided under this title for any fiscal year for establishing or improving an endowment fund.

(2) Matching required. -- A Hispanic-serving institution that uses any portion of the grant funds provided under this title for any fiscal year for establishing or improving an endowment fund shall provide from non-Federal funds an amount equal to or greater than the portion.

SEC. 504-- DURATION OF GRANT

(a) Award Period.

(1) In General. The Secretary may award a grant to a Hispanic-serving institution under this title for 5 years.

(2) Waitout Period. -- A Hispanic-serving institution shall not be eligible to secure a subsequent 5-year grant award under this title until 2 years have elapsed since the expiration of the institution's most recent 5-year grant award under this title, except that for the purpose of this subsection a grant under section 514(a) shall not be considered a grant under this title.

(b) Planning grants. Notwithstanding subsection (a), the Secretary may award a grant to a Hispanic-serving institution under this part for a period of one year for the purpose of preparation of plans and applications for a grant under this title.

SEC. 505. SPECIAL RULE

No Hispanic-serving institution that is eligible for and receives funds under this title may concurrently receive other funds under part A or B of title III during the period for which funds under this title are awarded.

**PART B--GENERAL PROVISIONS**

SEC. 511. ELIGIBILITY; APPLICATION.

(a) Institutional Eligibility. Each Hispanic-serving institution desiring to receive assistance under this title shall submit to the Secretary such enrollment data as may be necessary to demonstrate that the institution is a Hispanic-serving institution as defined in section 502, along with such other data and information as the Secretary may by regulation require.

(b) Applications.

(1) Applications required. Any institution which is eligible for assistance under this subchapter shall submit to the Secretary an application for assistance at such time, in such form, and containing such information, as may be necessary to enable the Secretary to evaluate the institution's need for assistance. Subject to the availability of appropriations to carry out this title, the Secretary may approve an application for a grant under this title only if the Secretary determines that-

(A) the application meets the requirements of subsection (b); and

(B) the institution is eligible for assistance in accordance with the provisions of this title under which the assistance is sought.

(2) Preliminary Applications. -- In carrying out paragraph (1), the Secretary may develop a preliminary application for use by Hispanic-serving institutions applying under this title prior to the submissions of the principal application.

(c) Contents. A Hispanic-serving institution, in the institution's application for a grant, shall

-

(1) set forth, or describe how the institution will develop, a comprehensive development plan to strengthen the institution's academic quality

and institutional management, and otherwise provide for institutional self-sufficiency and growth (including measurable objectives for the institution and the Secretary to use in monitoring the effectiveness of activities under this subchapter);

(2) include a 5-year plan for improving the assistance provided by the Hispanic-serving institution to Hispanic students and other low-income individuals;

(3) set forth policies and procedures to ensure that Federal funds made available under this subchapter for any fiscal year will be used to supplement and, to the extent practical, increase the funds that would otherwise be made available for the purposes of section 501(b), and in no case supplant those funds;

(4) set forth policies and procedures for evaluating the effectiveness in accomplishing the purpose of the activities for which a grant is sought under this title;

(5) provide for such fiscal control and fund accounting procedures as may be necessary to ensure proper disbursement of and accounting for funds made available to the applicant under this title;

(6) provide that the institution will comply with the limitations set forth in Section 516;

(7) describe in a comprehensive manner any proposed project for which funds are sought under the application and include--

(A) a description of the various components of the proposed project, including the estimated time required to complete each such component;

(B) in the case of any development project that consists of several components (as described by the institution pursuant to subparagraph (A)), a statement identifying those components which, if separately funded, would be sound investments of Federal funds only if funded under this title in conjunction with other parts of the development project (as specified by the institution);

(C) an evaluation by the applicant of the priority given any proposed project for which funds are sought in relation to any other projects for which funds are sought by the

applicant under this title, and a similar evaluation regarding priorities among the components of any single proposed project (as described by the applicant pursuant to subparagraph (A));

(D) a detailed budget showing the manner in which funds for any proposed project would be spent by the applicant; and (E) a detailed description of any activity which involves the expenditure of more than \$25,000, as identified in the budget referred to in subparagraph (E); and

(8) provide for making reports, in such form and containing such information, as the Secretary may require to carry out the Secretary's functions under this title, including not less than one report annually setting forth the institution's progress toward achieving the objectives for which the funds were awarded and for keeping such records and affording such access to such records, as the Secretary may find necessary to assure the correctness and verification of such reports; and

(9) include such other information as the Secretary may prescribe.

(d) Priority. With respect to applications for assistance under this section, the Secretary shall give priority to an application that contains satisfactory evidence that the Hispanic-serving institution has entered into or will enter into a collaborative arrangement with at least one local education agency or community-based organization to provide such agency or organization with assistance (from funds other than funds provided under this title) in reducing dropout rates for Hispanic students, improving rates of academic achievement for Hispanic students, and increasing the rates at which Hispanic secondary school graduates enroll in higher education.

(e) Eligibility Data. The Secretary shall use the most recent and relevant data concerning the number and percentage of students receiving need-based assistance under IV in making eligibility determinations and shall advance the base-year for the determinations forward following each annual grant cycle.

## SEC. 512. WAIVER AUTHORITY AND REPORTING REQUIREMENT

(a) Waiver requirements; need-based assistance students. The Secretary may waive the requirements set forth in section 502(a)(2)(A)(I) in the case of an institution

- (1) that is extensively subsidized by the State in which it is located and charges low or no tuition;
- (2) which serves a substantial number of low-income students as a percentage of its total student population;
- (3) that is contributing substantially to increasing higher education opportunities for educationally disadvantaged, underrepresented, or minority students, who are low-income individuals;
- (4) which is substantially increasing higher educational opportunities for individuals in rural or other isolated areas which are unserved by postsecondary institutions;
- (5) wherever located, if the Secretary determines that the waiver will substantially increase higher education opportunities appropriate to the needs of Hispanic Americans.

(b) Waiver determinations; expenditures--

- (1) The Secretary may waive the requirements set forth in section 502(a)(2)(A)(ii) if the Secretary determines, based on persuasive evidence submitted by the institution, that the institution's failure to meet that criterion is due to factors which, when used in the determination of compliance with such criterion, distort such determination, and that the institution's designation as an eligible institution under part A is otherwise consistent with the purposes of this title.
- (2) Expenditures--The Secretary shall submit to the Congress every other year a report concerning the institutions that, although not satisfying the requirements of section 502(a)(2)(A)(ii), have been determined to be eligible institutions under part A. Such report shall--
  - (A) identify the factors referred to in paragraph (1) which were considered by the Secretary as factors that distorted the determination of

compliance with clauses (I) and (ii) of section 502(a)(2)(A); and (B) contain a list of each institution determined to be an eligible institution under part A including a statement of the reasons for each such determination.

#### SEC. 513--APPLICATION REVIEW PROCESS

(a) Review panel.

(1) All applications submitted under this title by Hispanic serving institutions of higher education shall be read by a panel of readers composed of individuals selected by the Secretary and who include individuals representing Hispanic-serving institutions. The Secretary shall ensure that no individual assigned under this section to review any application has any conflict of interest with regard to that application which might impair the impartiality with which that individual conducts the review under this section.

(b) Instruction. All readers selected by the Secretary shall receive thorough instruction from the Secretary regarding the evaluation process for applications submitted under this title that are consistent with the provisions of this title, including--

(1) an enumeration of the factors to be used to determine the quality of applications submitted under this title; and

(2) an enumeration of the factors to be used to determine whether a grant should be awarded for a project under this title, the Secretary shall take into consideration the amount of any such grant, and the duration of any such grant.

(c) Recommendations of panel. In awarding grants under this title, the Secretary shall take into consideration the recommendations of the panel made under subsection (a).

(d) Notification. Not later than June 30 of each year, the Secretary shall notify each Hispanic-serving institution making an application under this title of

(1) the scores given the applicant by the panel pursuant to this section;

(2) the recommendations of the panel with respect to such application; and

(3) the reasons for the decision of the Secretary in awarding or refusing to award a grant under this title, and any modifications, if any, in the recommendations of the panel made by the Secretary.

#### SEC. 514--COOPERATIVE ARRANGEMENTS

(a) General authority. The Secretary may make grants to encourage cooperative arrangements with funds available to carry out this title, between Hispanic-serving institutions eligible for assistance under this title and between such institutions and institutions not receiving assistance under this title, for assistance under this title, for the activities described in section 503 so that the resources of the cooperating institutions might be combined and shared in order to achieve the purposes of this title, to avoid costly duplicative efforts and to enhance the development of part A and part B eligible institutions.

(b) Priority. The Secretary shall give priority to grants for the purposes described under subsection (a) whenever the Secretary determines that the cooperative arrangement is geographically and economically sound or will benefit the applicant Hispanic-serving institution.

(c) Duration. Grants to Hispanic-serving institutions having a cooperative arrangement may be made under this section for a period as determined under section 505.

#### SEC. 516. LIMITATIONS

The funds appropriated under section 518 may not be used

(1) for a school or department of divinity or any religious worship or sectarian activity;

(2) for an activity that is inconsistent with a State plan for desegregation of higher education applicable to a Hispanic-serving institution;

(3) for an activity that is inconsistent with a State plan of higher education applicable to a Hispanic-serving institution; or

(4) for purposes other than the purposes set forth in the approved application under which

the funds were made available to a Hispanic-serving institution.

#### SEC. 515. ASSISTANCE TO INSTITUTIONS UNDER OTHER PROGRAMS

(a) Assistance eligibility. Each Hispanic-serving institution that the Secretary determines to be an institution eligible under this title may be eligible for waivers in accordance with subsection (b).

##### (b) Waiver applicability

(1) In General-Subject to, and in accordance with, regulations promulgated for the purposes of this section, in the case of any application by a Hispanic-serving institution referred to in subsection (a) for assistance under any programs specified in paragraph (2), the Secretary is authorized, if such application is otherwise approvable, to waive any requirement for a non-Federal share of the cost of the program or project, or, to the extent not inconsistent with other law, to give, or require to be given, priority consideration of the application in relation to applications from other institutions.

(2) The provisions of this section shall apply to any program authorized by Title IV or section 604.

(c) Limitation. The Secretary shall not waive, under subsection (b) of this section, the non-Federal share requirement for any program for applications which, if approved, would require the expenditure of more than 10 percent of the appropriations for the program for any fiscal year.

#### SEC. 517-- PENALTIES

Whoever, being an officer, director, agent, or employee of, or connected in any capacity with, any recipient of Federal financial assistance or grant pursuant to this subchapter embezzles, willfully misapplies, steals, or obtains by fraud any of the funds which are the subject of such grant or assistance, shall be fined not more than

\$10,000 or imprisoned for not more than 2 years, or both.

#### SEC. 518--AUTHORIZATIONS OF APPROPRIATIONS

(a) Authorizations. -- There are authorized to be appropriated to carry out this title \$62,500,000 for fiscal year 1999, and such sums as may be necessary for each of the 4 succeeding fiscal years.

(b) Use of multiple year awards. In the event of a multiple year award to any Hispanic-serving institution under this title, the Secretary shall make funds available for such award from funds appropriated for this title for the fiscal year in which such funds are to be used by the institution.

The term "low-income individual" means an individual  
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## 2006 Annual Low Income Levels (Effective February 2006 Until Further Notice)

levels

established by the Census Bureau for determining poverty status. The poverty guidelines were published by the U.S. Department of Health and Human Services in the [Federal Register](#), Vol. 71, No. 15, January 24, 2006, pp. 3848-3849.

<b>Size of Family Unit</b>	<b>48 Contiguous States, D.C., and Outlying Jurisdictions</b>	<b>Alaska</b>	<b>Hawaii</b>
<b>1</b>	\$14,700	\$18,375	\$16,905
<b>2</b>	\$19,800	\$24,750	\$22,770
<b>3</b>	\$24,900	\$31,125	\$28,635
<b>4</b>	\$30,000	\$37,500	\$34,500
<b>5</b>	\$35,100	\$43,875	\$40,365
<b>6</b>	\$40,200	\$50,250	\$46,230
<b>7</b>	\$45,300	\$56,625	\$52,095
<b>8</b>	\$50,400	\$63,000	\$57,960

For family units with more than 8 members, add the following amount for each additional family member: \$5,100 for the 48 contiguous states, the District of Columbia and outlying jurisdictions; \$6,375 for Alaska; and \$5,865 for Hawaii.



activities.

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** The Agency Contact listed in this grant application package.

OMB No. 1890-0014 Exp. 02

## Hispanic-Serving Institutions Assurances

### Additional instructions for applicants:

Applicants enter HSI assurance data on the “HSI Program Profile Page” in Part III of the application. Applicants will attach the “HSI Program Profile Page” to the “Other Attachments Form” of the Grants.gov application package.

The statute governing the Hispanic-Serving Institutions Program, (Title V of the Higher Education Act of 1965, as amended (HEA)) requires the applicant to provide an assurance to the following:

The applicant has, at the time of application (School Year 2005-2006), an enrollment of undergraduate full-time equivalent (FTE) students that is at least 25 percent Hispanic students; and provide assurances that not less than 50 percent of its Hispanic students are low-income individuals. Low-income is defined in Section 502(a)(7) of the HEA (see definition below).

For the purposes of the calculation, use your institution’s enrollment for the 2005-2006 school year.

Whatever the full-time course load is at your institution, count a full-time undergraduate student as one FTE.

To determine the FTE for part-time undergraduate students, total the number of credit hours of all part-time undergraduate students. Divide the total number of credit hours for the part-time undergraduate students by **twelve (12)**. The result is the FTE for part-time undergraduate students.

To calculate the total undergraduate FTE, add the FTE of full-time undergraduate students and the FTE of part-time undergraduate students.

To calculate the Hispanic Undergraduate FTE Enrollment Count: Add the FTE of full-time undergraduate Hispanic students and the FTE of part-time undergraduate Hispanic students.

To calculate the Undergraduate FTE Hispanic Percent: Divide the Hispanic Undergraduate FTE Enrollment Count by the Total Undergraduate FTE Enrollment Count and multiply by 100.

To calculate the Hispanic Enrollment Count: (**Note: This calculation includes all Hispanic students regardless of enrollment status or graduate/undergraduate status**). Determine the total number of Hispanic students.

To calculate the Hispanic Low-Income Student Count: Use the table below to calculate your Hispanic low-income student count. “Low-income individual” is defined as an individual from a family whose taxable income does not exceed 150 percent of the poverty level as established by the United States Bureau of the Census. The figures shown as low-income levels represent amounts equal to 150 percent of the 2006 US Department of Health and Human Services (HHS) Poverty Guidelines that are based on US Bureau of Census poverty data.

## **SUPPLEMENTAL INFORMATION AND INSTRUCTIONS**

**HSI Program Profile:** All applicants must complete the information requested on this page. Using the profile, the applicant will provide information on Assurances and Eligibility. **Do not modify, amend or delete any of this document.**

Applicants must copy and paste this page into a separate document, or recreate the page exactly as it appears. Then, complete the page, save it to your computer and attach it to the “Other Attachments Form,” in the Application Package downloaded from Grants.gov, as either a .doc, .rtf or .pdf document. Do not modify or amend the contents of the form in any way. The profile page can be found on pages 73-74 of this instructions document.

**HSI Program Assurances:** All applicants must provide assurances regarding the percent of Hispanic students enrolled at an institution. By inserting a check mark in the box or an X in front of the box, for item #12, and by providing the required data for items #9 and #10 on the “HSI Program Profile,” (see page 57 of this instructions document) an applicant certifies that it will fully comply with the requirements.

***Special Note:*** The Department will cross-reference, for verification, data reported to the Integrated Postsecondary Education Data System (IPEDS), the institution’s state reported enrollment data, and the institutional annual report. If there are any differences in the percentages reported to the above references, the institution should justify the differences as a part of their eligibility documentation. When providing eligibility documentation to support your HSI assurances, please note that the Department does not consider a replication of the instructions sufficient justification. If the Department receives a replica of the instructions and/or cannot validate assurances, the application will be deemed ineligible.

**Page Limits:** The program narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. We have established mandatory page limits for both the Individual Development Grant and the Cooperative Arrangement Development Grant applications. You must limit the section of the narrative that addresses the selection criteria to no more than 50 pages for the Individual Development Grant application and 70 pages for the Cooperative Arrangement Development Grant application.

The page limit does not apply to Part I, the application for federal assistance face sheet (SF 424); the supplemental information form required by the Department of Education; Part II, the budget information summary form (ED Form 524); and Part IV, the assurances and certifications. The page limit also does not apply to a table of contents or the program abstract. If you include any attachments or appendices other than those specifically requested, these items will be counted as part of the program narrative (Part III) for purposes of the page limit requirement. You must include your complete response to the selection criteria in the program narrative.

**Formatting Requirements:** A “page” is 8.5” x 11”, on one side only, with 1 inch margins at the top, bottom, and both sides. Double space (no more than three lines per vertical inch) all text in the application narrative, except titles, headings, footnotes, quotations, references, captions and all text in charts, tables, and graphs. Use one of the following fonts: Times New Roman, Courier, Courier New,

or Arial. Applications submitted in any other font (including Times Roman and Arial Narrow) will not be accepted. Use font size 12.

**Special Note: No special accommodations or reformatting justifications will be given for any applications not meeting page limits and formatting requirements.**

### **Program Narrative Instructions**

**The program narrative shall be attached to the “Project Narrative Attachment Form” in the Application Package, downloaded from Grants.gov.**

Before preparing the Program Narrative, applicants should review the program statute, program regulations, the Federal Register Notice, and the Dear Applicant Letter for specific guidance and requirements.

The Secretary evaluates an application according to the broad criteria in 34 CFR 606.22. The Program Narrative should provide in detail the information that addresses each selection criterion. The maximum possible score for each category of selection criterion is indicated in parenthesis. For ease of reading by the reviewers, applicants should follow the sequence of the criteria as provided below. Applications should be written in a concise and clear manner. You must limit the section of the narrative that addresses the selection criteria to no more than 50 pages for the Individual Development Grant application and 70 pages for the Cooperative Arrangement Development Grant application.

**Applicants MUST address each of the following HSI selection criteria:**

- |    |   |             |
|----|---|-------------|
| 1. | Quality of Comprehensive Development Plan (34 CFR 606.22 (a)) | (25 points) |
| 2. | Quality of Activity Objectives (34 CFR 606.22 (b))            | (15 points) |
| 3. | Quality of Implementation Strategy (34 CFR 606.22 (c))        | (20 points) |
| 4. | Quality of Key Personnel (34 CFR 606.22 (d))                  | ( 7 points) |
| 5. | Quality of Project Management Plan (34 CFR 606.22 (e))        | (10 points) |
| 6. | Quality of Evaluation Plan (34 CFR 606.22 (f))                | (15 points) |
| 7. | Quality of Budget (34 CFR 606.22 (g))                         | ( 8 points) |

**Total Maximum Score for Selection Criteria**

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**100 points**

**The following guidance may assist you in addressing the questions that will be used to evaluate your responses to the selection criteria:**

1. Comprehensive Development Plan (CDP) (25 points): Applicants must identify and comprehensively analyze the strengths, weaknesses and significant problems of the institution’s academic programs, institutional management, and fiscal stability, as they relate to the proposed Title V activity (ies). Applicants’ strengths and weaknesses analyses should demonstrate if the process involved the major constituencies of the institution. In addition to the aforementioned, the CDP must also include:
  - a. A delineation of the institution’s goals for its academic programs, institutional management and fiscal stability, based on the outcomes of the described analysis as it relates to the proposed Title V activity (ies).

- b. Measurable objectives related to reaching each goal and timeframes for achieving the objectives.
- c. Methods and resources that will be used to institutionalize practices and improvements developed under the proposed project.
- d. The institution's five--year plan specifically addressing the improvement of its services to Hispanic and other low-income-students.

**2. Activity Objectives (15 points):** For each proposed activity, applicants must identify the objectives in realistic and measurable terms with defined results. Applicants also need to relate the objectives for each activity to the problems to be solved and to the goals of the comprehensive development plan.

**3. Implementation Strategy and Timetable (20 points):** Applicants must comprehensively identify the implementation strategy for each activity. Applicants must also identify:

- a. The rationale for the implementation strategy for each activity, clearly described and supported by the results of relevant studies or projects; and
- b. Realistic and likely to be attained timetable(s) for each activity.

Note: Use the budget period of October 1 to September 30 to sequentially identify implementation strategy (ies) to meet the objectives proposed for each year for which funds are requested.

**4. Key Personnel (7 points): (For evaluative purposes Key Personnel are defined by the Title V Program Office as any Title V Director/Coordinator and Activity Directors).** Applicants must identify the past experience and training of key professional personnel, how that past experience and training is directly related to the stated activity objectives and ensure the time commitment of key personnel is realistic.

**5. Project Management Plan (10 points):** Applicants must identify procedures for managing the project that are likely to:

- a. Ensure that the institution will efficiently and effectively implement the project and
- b. Ensure that the project coordinator and activity director(s) have sufficient authority to conduct the project effectively, including access to the president or chief executive officer.

Note: Do not evaluate fiscal and accounting procedures in this section of the narrative.

**6. Evaluation Plan (15 points):** Applicants must identify data elements and data collection procedures that clearly:

- a. Describe and are appropriate to measure the attainment of activity objectives;
- b. Measure the success of the project in achieving the goals of the comprehensive development plan;

Applicants must also describe data analysis procedures that are likely to produce formative and summative results on attaining activity objectives and measuring the success of the project achieving the goals of the CDP.

**7. Budget (8 points):** Applicants must demonstrate that proposed costs are necessary and reasonable in relation to the project's objectives and scope.

