

**U. S. DEPARTMENT OF EDUCATION**

Office of Postsecondary Education

Washington, DC 20006-8510



**Fiscal Year 2009**

**APPLICATION FOR GRANTS UNDER THE  
AMERICAN INDIAN TRIBALLY CONTROLLED  
COLLEGES AND UNIVERSITIES PROGRAM  
CFDA # 84.031T**

**ALASKA NATIVE-SERVING INSTITUTIONS  
PROGRAM  
CFDA #84.031N**

**NATIVE HAWAIIAN-SERVING INSTITUTIONS  
PROGRAM  
CFDA # 84.031W**

**Form Approved  
OMB No. 1840 - 0114, Exp. Date: 05/31/2009**

**CLOSING DATE: ??????, 2009**

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## Table of Contents

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Dear Applicant Letter.....	1
Competition Highlights.....	3
Grants.gov Submission Procedures and Tips for Applicants.....	5
Application Transmittal Instructions.....	11
Information for All Grant Applications .....	14
Notice Inviting Applications.....	24
Program Statute.....	50
Intergovernmental Review of Federal Programs.....	64
General Education Provisions Act (GEPA) Section 427.....	65
Government Performance Results Act (GPRA).....	66
Instructions for Completing the Application Package.....	68
Instructions for the SF 424.....	71
Instructions for the Education Supplemental Information for the SF 424.....	73
Instructions for the ED 524.....	77
Instructions for Completion of SF-LLL.....	78
Program Profile.....	80
Application Checklist.....	86
Paperwork Burden Statement.....	87
Application for Federal Assistance SF-424.....	89
Supplemental Information Required for Department of Education.....	93
Assurances – Non-Construction Programs.....	94
U. S. Department of Education Budget Information.....	96
Certification Regarding Lobbying.....	98
Survey on Ensuring Equal Opportunity For Applicants.....	99
Disclosure Of Lobbying Activities.....	101

Dear Applicant:

Thank you for your interest in applying for a grant under Title III, Part A, of the Higher Education Act of 1965, as amended (HEA). This package contains the necessary forms and instructions to apply for a fiscal year (FY) 2009 grant under the American Indian Tribally Controlled Colleges and Universities (TCCU) Program, and the Alaska Native-Serving and Native Hawaiian-Serving Institutions (ANNH) Program. The overall purpose of these programs is to provide grants to eligible institutions of higher education to enable them to improve their academic quality, institutional management, and fiscal stability in order to increase their self-sufficiency and strengthen their capacity to make a substantial contribution to the higher education resources of the Nation.

To receive a grant under Title III, Part A, an institution of higher education must have applied for and received designation as an eligible institution. The Notice inviting FY 2009 applications to Request Designation As An Eligible Institution Under The Title III, Part A Programs was published in the Federal Register on January 21, 2009. **The deadline date for receipt of that application is February 20, 2009.**

**Note: For FY 2009, the Secretary will not award one-year planning grants nor will we accept new applications under the Strengthening Institutions Program (84.031A).**

For 2009, TCCU has been partially designated as a formula-based program. Each applicant will be requested to provide student data on enrollment of Indian students and non-Indian students as well as credit hours for both groups. The five-year development grants will be awarded based on program formula. The one-year construction grant applicants will continue to submit their applications based on the current selection criteria for TCCU. All grant applicants for either funding opportunity must first apply and receive FY 2009 Designation of Eligibility. Any applicants failing to apply for eligibility will not have their applications entered in the review process.

The Department requires applicants to use an Internet-based electronic system for submitting applications. We are requiring that applications for FY 2009 grants under these programs be submitted electronically using the Grants.gov Apply site (Grants.gov). You are urged to acquaint yourself with the requirements of Grants.gov early. A more thorough discussion is included in this application package. Grants.gov is accessible through its portal page at:

<http://www.grants.gov>

We also urge you to consider the following three extremely important administrative factors if you are planning to apply for these programs:

1. We strongly encourage you to register in Grants.gov early. The registration procedures may require 5 or more days to complete.
2. We strongly recommend that you submit your application 2-3 days prior to the closing date. The time it takes to upload an application will vary depending on your application and the speed of your Internet connection. The application submission process must be complete prior to the deadline for transmittal of applications.
3. In order to submit successfully, you must remember to provide the same DUNS number on your application that was used when your organization registered with the Central Contractor Registry (CCR).

After you electronically submit your application, you will first receive an e-mail from Grants.gov acknowledging the date and time at which your application was received. You will receive a second e-mail from Grants.gov that will state that your application has been validated OR that your application was rejected with errors. If your application is validated, you will receive a third e-mail from the Department of Education with an assigned PR/Award number, which is an ED-specified identifying number that is unique to your application. **This third confirmation by e-mail, with a PR/Award number assigned, is the e-mail that verifies that your application was submitted on time by the closing date. This may take several days.**

For information (including dates and times) about how to submit your application electronically, please refer to the official Notice Inviting Applications for New Awards for FY 2009 published in the Federal Register. The Federal Register Notice Inviting Applications for New Awards and application instructions are included in this package. You are encouraged to fully review the Closing Date Notice carefully before preparing your application.

You are reminded that you should not rely upon any information that is inconsistent with the guidance contained within this application package. I urge you to carefully read all the information contained in this package, including the eligibility requirements found in Sections 316 and 317 of the HEA and the highlights of key changes, before preparing your application.

Finally, we would like to share with you the importance of ensuring that your application includes a strong evaluation plan. The peer reviewers will be instructed to look closely at the potential of applicants to successfully reach their individual project goals, which are driven by the performance indicators for the Title III, Part A programs. The evaluation plan should not only include formative and summative measures, but also, address the use of appropriate controls and techniques that provide for independent evaluation. The evaluation plan should shape the development of the project from the beginning of the grant period and provide benchmarks for the monitoring of progress and measurement of that progress throughout the grant award period. You should pay close attention to the information provided in the Instructions for Project Narrative section of this application regarding the development of your evaluation activity.

If you have questions, please contact Darlene B. Collins, Team Leader, at (202) 502-7576.

Sincerely,

/signed/  
Vickie L. Schray  
Acting Deputy Assistant Secretary  
for Higher Education Programs

## COMPETITION HIGHLIGHTS

1. **All applications submitted for FY 2009 must be submitted electronically using Grants.gov.** You are urged to acquaint yourself with the requirements of Grants.gov early, as the registration procedures may require 5 or more days to complete. A more thorough discussion is included later in this application package. Grants.gov is accessible through its portal page at:

<http://www.grants.gov>

2. It is important to know that the Grants.gov site works differently than the Department's e-Application system, used in previous competitions.

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 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.

3. For 2009, TCCU has been partially designated as a formula-based program. Each applicant will be requested to provide student data on enrollment of Indian students and non-Indian students as well as credit hours for both groups. The five-year development grants will be awarded based on program formula. The one-year construction grant applicants will continue to submit their applications based on the current selection criteria for TCCU. All grant applicants for either funding opportunity must first apply and receive FY 2009 Designation of Eligibility. Applicants failing to apply for eligibility will not have their application entered in the review process.
4. **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 single-spaced page and must be uploaded into the "ED Abstract Form" in the Grants.gov application package. Please note the additional instructions for preparing the Program Abstract located in the "Instructions for Completing the Application Package." The abstract must be uploaded as a **word document only**.

Applicants are also required to copy and paste the Program Profile, which contains the tie-breaker information, 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.

Applicants are asked to carefully read question #4 on the Program Profile information and, if applicable, to check the box or place an X next to the box certifying that they will comply with the statutory requirements and program assurances (regarding endowments) cited in the program regulations.

5. Please note that you must submit your application by 4:30:00 p.m. (Washington, D.C. time) on or before the application deadline date. Late applications will not be accepted. **We suggest that you submit your application several days before the deadline.** The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date and time.
6. Electronic submission of applications 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 2009 and qualify for one of the exceptions to the electronic submission requirement.
7. All applicants are required to adhere to the following page limits for the Program Narrative portion of the application:  
  
50 pages for 5-year individual development grants;  
70 pages for cooperative arrangement development grants; and  
35 pages for 1-year construction and renovation grants.
8. All attachments must be in .DOC, .RTF, or .PDF format. Other types of files will not be accepted.
9. Please note that Grants.gov does not currently support the new Microsoft Vista Operating system. The PureEdge software used by Grants.gov for forms is not compatible with Vista. In addition, the new version of Microsoft Word saves documents with the extension .DOCX. The Grants.gov system does not process Microsoft Word documents with the extension .DOCX. When submitting Microsoft Word attachments to Grants.gov, please use the version of Microsoft Word that ends in .DOC. If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

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 same DUNS number that was used when your organization registered with the CCR.

For help with Grants.gov, please go to <http://www.grants.gov/ForApplicants> and click on "help" at the top of the screen. Also, refer to the "Submission Procedures and Tips for Applicants" found in this application booklet.

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 guidelines contained within the official document.

10. For FY 2009, applicants can only receive funding under one program.

IMPORTANT – PLEASE READ FIRST

**U.S. Department of Education**

**GRANTS.GOV SUBMISSION PROCEDURES AND TIPS FOR APPLICANTS**

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

- 1) **REGISTER EARLY** – Grants.gov registration may take five or more business 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 registration steps are complete. For detailed information on the Registration Steps, please go to: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). [Note: Your organization will need to update its Central Contractor Registry (CCR) registration annually.]
- 2) **SUBMIT EARLY** – **We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded.** The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30:00 pm on the deadline date.

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

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov and the Department of Education receive your Grants.gov submission timely and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m. 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 4:30:00 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/help/submit\\_application\\_faqs.jsp#10](http://www.grants.gov/help/submit_application_faqs.jsp#10). For more

detailed information on why an application may be rejected, you can review Application Error Tips <http://www.grants.gov/section910/ApplicationErrorTips.pdf>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

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

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or use the customer support available on the Web site: [http://www.grants.gov/applicants/applicant\\_help.jsp](http://www.grants.gov/applicants/applicant_help.jsp).

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 4:30:00 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. **You must provide on your application the same DUNS number that was used when your organization registered with the CCR.**

Please go to [http://www.grants.gov/applicants/applicant\\_help.jsp](http://www.grants.gov/applicants/applicant_help.jsp) for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov [http://www.grants.gov/help/submit\\_application\\_faqs.jsp](http://www.grants.gov/help/submit_application_faqs.jsp).

### **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 the Citrix solution discussed on Grants.gov or a Windows Emulation program to submit an application using Grants.gov. For additional information, review the FAQs for non-windows users [http://www.grants.gov/resources/download\\_software.jsp#non\\_window](http://www.grants.gov/resources/download_software.jsp#non_window). Also, to view the white paper for Macintosh users published by Pure Edge go to the following link: <http://www.grants.gov/section678/PureEdgeSupportforMacintosh.pdf>, and/or contact Grants.gov Customer Support (<http://www.grants.gov/contactus/contactus.jsp>) for more information. **If electronic submission is required and you are concerned about your ability to submit electronically as a non-windows user, 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.)

### ATTENTION – Microsoft Vista and Word Users

Please note that Grants.gov does not currently support the new Microsoft Vista Operating system. The PureEdge software used by Grants.gov for forms is not compatible with Vista. In addition, the new version of Microsoft Word saves documents with the extension .DOCX. The Grants.gov system does not process Microsoft Word documents with the extension .DOCX. When submitting Microsoft Word attachments to Grants.gov, please use the version of Microsoft Word that ends in .DOC. If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

## GRANTS.GOV REGISTRATION INSTRUCTIONS FOR ORGANIZATIONS

The Grants.gov registration process involves three basic steps:

1. Register your organization
  - Obtain a DUNS Number (see below for instructions)
  - Register with the Central Contractor Registry (see below for instructions)
2. Register yourself as an Authorized Organization Representative (AOR)
  - Obtain a username and password from the Grants.gov credential provider (<https://apply.grants.gov/OrcRegister>)
  - Register with Grants.gov (<https://apply.grants.gov/GrantsgovRegister>)
3. Get authorized as an AOR by your organization
  - Receive approval from your organization's E-Business POC (see CCR instructions below for details)
  - If you are both the E-Business POC and an AOR, you should authorize your own AOR request

For more information, go to [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).

Note: If you are a grant applicant who is submitting a grant application on your own behalf and not on behalf of a company, institution, state, local or tribal government, or other type of organization, refer to <http://www.grants.gov/assets/IndividualRegCheck.pdf>. If you apply as an individual to a grant application package designated for organizations, your application will be rejected.

### DUNS NUMBER INSTRUCTIONS

To successfully submit an application using Grants.gov, you must provide your organization's DUNS Number. The DUNS Number is a unique nine-digit number issued by Dunn and Bradstreet (D&B), a global information services provider, that identifies your organization and is used by the Federal government to track how Federal money is distributed. Most large organizations, libraries, colleges, and research universities already have DUNS numbers. Ask your grant administrator or chief financial officer to provide your organization's DUNS Number.

If your organization does not have a DUNS Number, you can obtain one at no charge by calling 1-866-705-5711 or by completing a DUNS Number Request Form ([http://www.dnb.com/US/duns\\_update/index.html](http://www.dnb.com/US/duns_update/index.html)). You will need to provide the following information:

- Legal name
- Tradestyle, doing business as (DBA), or other name by which your organization is commonly recognized
- Physical address, city, state and zip code
- Mailing address (if separate)
- Telephone number
- Contact name
- SIC code (Line of Business)
- Number of employees at your location
- Headquarters name and address (if there is a reporting relationship to a parent corporate entity)
- Is this a home-based business?

Obtaining a DUNS Number places your organization on D&B's marketing list, which is sold to other companies. You can request not to be added to this list during your application.

Live help from D&B is available Monday-Friday, 8 a.m. – 5 p.m. (EST) at 1-888-814-1435.

## **CENTRAL CONTRACTOR REGISTRATION (CCR) INSTRUCTIONS**

The CCR is a web-enabled government-wide application that collects, validates, stores, and disseminates business information about the Federal government's trading partners in support of the contract award, grants, and electronic payment processes. Check to see if your organization is already registered at the CCR website (<http://www.bpn.gov/ccrinq/scripts/search.asp>).

If your organization is already registered, take note of who is listed as your E-Business Point of Contact (E-Business POC). This person will be responsible for authorizing who within your organization is able to submit applications using Grants.gov.

If your organization is not already registered, you can register using the CCR website (<https://www.bpn.gov/ccr/scripts/indexnew.asp>) or by phone (1-888-227-2423). When your organization registers with CCR, you will need to designate an E-Business Point of Contact (POC). This designee authorizes individuals to submit grant applications on behalf of the organization. A special Marketing Partner ID Number (MPIN) is established as a password to verify the E-Business POC.

The E-Business POC will be notified by e-mail when individuals from their organization register with Grants.gov. This registration is a request to be designated as an Authorized Organization Representative (AOR). To assign AOR rights, E-Business POCs need to log into Grants.gov ([http://www.grants.gov/applicants/e\\_biz.jsp](http://www.grants.gov/applicants/e_biz.jsp)) using the organization's DUNS Number and MPIN. Grants.gov will send the AOR a confirmation e-mail when this process has been completed.

**Please note that your CCR registration must be renewed once a year.** You can check your registration status using the CCR search page (<http://www.bpn.gov/ccrinq/scripts/search.asp>).

If you have further questions about creating, updating or renewing your CCR registration, please visit the CCR Frequently Asked Questions page (<http://www.ccr.gov/FAQ.asp>) or contact the CCR Help Desk at 1-888-227-2423.

## 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 by mail, commercial carrier or by hand delivery.

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

### **Applications Submitted Electronically**

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

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

If you submit your application in paper format by mail (through the U. S. Postal Service or a commercial carrier), you must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

**U.S. Department of Education  
Application Control Center  
Attention: CFDA# (84.031N; 84.031T; or 84.031W)  
LBJ Basement Level 1  
400 Maryland Avenue, SW  
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 Service

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

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

Special Note: Due to potential disruption to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Postal 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.”

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

If you submit your application in paper format by hand delivery, you (or a courier service) 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 – Stop 4260  
Attention: CFDA# (84.031N; 84.031T; or 84.031W)  
550 12<sup>th</sup> Street, SW  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260**

### **Application Control Center Hours of Operation**

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

### **Mail or Hand Delivery of Paper Applications**

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

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

## FOR ALL GRANT APPLICATIONS

This section provides you with information critical to your successful completion and submission of a grant application for these programs.

When developing your application, be sure to address the selection criteria (34 CFR §607.22(b)-(g)) **separately for each proposed activity**, as precisely as possible to ensure your application contains the information readers will need to judge the quality of the proposed development project.

**Your development grant application (individual or cooperative arrangement) must contain the following:**

### **1. Application for Federal Assistance (SF 424)**

Use the Application for Federal Assistance (SF 424) as the official request for Title III funding. This form is accessible on-line using our Grants.gov system. Be sure to download the correct application (by CFDA number) and to specify, on the SF 424, the type of grant (individual development, cooperative arrangement development, construction, or renovation) for which you are applying.

### **2. Department of Education Supplemental Information Form for the SF 424**

### **3. ED Abstract Form**

Applicants are required to submit a one page single-spaced Project Abstract. Please include in the Project Abstract the name of the institution, city, and purpose. The Project Abstract must be uploaded into the "ED Abstract Form" in the Grants.gov system.

### **4. Program Profile Page (To be attached to the “Other Attachments Form”).** This form is used to profile each applicant. It also addresses endowment funding, dual submission certification, and cooperative arrangements. The Profile Page also records the certifying data on each institution.

### **5. Selection Criteria - Program Narrative Attachment**

As part of addressing the selection criteria and developing the Comprehensive Development Plan (CDP), we presume that your institution has analyzed the major problems affecting it, and designed specific strategies to address and possibly resolve these problems. You should be ready to carry out the proposed project once you receive the grant and should not use the funds for intensive planning activities.

Be sure to include a Table of Contents. The Table of Contents will not be included in the page count. Prepare your complete program narrative in a .DOC, .RTF, or .PDF format and attach it to the “Project Narrative Attachment Form” in the application package downloaded from Grants.gov.



**Content:** This is the narrative portion of your application where you address the weighted selection criteria that the readers will use to evaluate your application and to assess the strengths and weaknesses of your application. **These pages will be included in the mandatory page count.**

**For each proposed activity**, separately address the selection criteria ((a) through (g)), in the same order as they appear below and as precisely as possible, to ensure your application contains the information readers will need to judge the quality of the proposed development (individual or cooperative arrangement) grant activities.

Title each activity so that the reader readily knows your focus. The HEA lists the allowable activities for the American Indian Tribally Controlled Colleges and Universities Program, the Alaska Native- Serving Institutions Program, and the Native Hawaiian-Serving Institutions Program. See Sections 316, and 317 of the HEA, respectively.

**(a) Quality of the Applicant’s Comprehensive Development Plan  
(Maximum: 25 points).**

**(1)** The strengths, weaknesses, and significant problems of the institution’s academic programs, institutional management, and fiscal stability are clearly and comprehensively analyzed and result from a process that involved major constituencies of the institution.

**Content:** Separately describe and analyze your institution's strengths, weaknesses, and significant problems in the following three areas as they relate to each proposed activity:

1. Academic programs,
2. Institutional management, and
3. Fiscal stability.

We are considering “weaknesses” and “significant problems” to be one and the same. Use the grant funds to address some of these weaknesses and problems. Here are some guidelines for stating the problems:

- State what is “too high” or what is “too low”. For example, the percentage of freshmen students who fail four courses is too high. When you state the problem this way, the objectives become obvious. Such as, “to decrease, from 42 percent to 30 percent, the percentage of freshmen students who fail four courses.”
- Avoid problem statements that declare the problem as "the lack of " or "the need for" the very solution you are proposing for funding. Such as, "the problem with our academic programs is a lack of or need for student services outside the classroom. Thus, we propose an activity to establish those student services." This type of statement usually contains circular reasoning.

- Provide summaries of or excerpts from recent data, reports, evaluations or studies that demonstrate that you have objectively and thoroughly analyzed your institution's main problems.
- Describe the process you used to formulate the above information.
- Provide evidence of the extent and nature of the faculty, staff, students, community, industry, and other major constituents' involvement in this process. You may rely on previously written information, such as a self-study for accreditation, as long as your process for developing the information involved the major constituencies' representatives and reflects your institution's current situation.

(2) The goals for the institution's academic programs, institutional management, and fiscal stability are realistic and based on comprehensive analysis.

**Content:** Based on a comprehensive analysis of your institution's strengths, weaknesses, and significant problems, separately state the institutional goals as they relate to each proposed activity you plan to address using Title III, Part A funds.

(3) The objectives stated in the plan are measurable, related to institutional goals, and if achieved, will contribute to the growth and self-sufficiency of the institution.

**Content:** Focusing only on the institutional objectives that are specifically related to your proposed Title III, Part A activities, separately provide measurable objectives for how you will reach each of the goals as you discussed in #2. Achieving the objectives outlined should contribute to the growth and self-sufficiency of the institution.

**Describe in measurable terms how objectives are related to the goals of the institution. The description should include details on the following:**

Specific Tasks

Institutionalize personnel, programs and services.

Methods Involved

Operational funding budgeted and allocated to sustain improvements.

Tangible Results

Program, services and personnel fully institutionalized.

(4) The plan clearly and comprehensively describes the methods and resources the institution will use to institutionalize practices and improvements developed under the proposed project, including, in particular, how operational costs for personnel, maintenance, and upgrades of equipment will be paid with institutional resources.

**Content:** In this section, separately describe the following for each proposed activity:

The methods your institution will use to integrate practices and improvements developed into its operations and, if appropriate, continue them after the grant ends. For example, provide specifics on how your institution will obtain approval from appropriate internal and/or external governance authorities to conduct new or revised curricula and use new intervention strategies. What will the time period be for these actions?

1. The resources you will need to institutionalize newly developed practices and improvements and, most importantly, how you will fund them. In particular, discuss how your institution will fund operational costs such as personnel, maintenance, and upgraded equipment. For example, one way to ensure that positions continue after the grant ends is for your institution to pay a percentage of the salary during the grant and increase that percentage during years two, three, four, and five.
2. If you are applying under the TCCU or ANNH Program, incorporate your institution's five-year plan for improving the assistance it provides to the target student population (American Indian, Alaska Native or Native Hawaiian) within your CDP. If you are an applicant under the TCCU Program, you will also need to address your institution's plan to increase rates at which American Indian secondary school students enroll in higher education, and to increase overall post-secondary retention rates for American Indian students.

**(b) Quality of Activity Objectives (Maximum: 15 Points).**

**(1) The extent to which the objectives for each activity are realistic and defined in terms of measurable results.**

**Content:** State your annual objectives, separately for each activity, which, when combined with their performance indicator(s), are measurable and realistic (not too high, not too low). Connect each objective to the problem or weakness it should address, as you described in the CDP. In addition:

- DO NOT identify process objectives such as: "To establish a college-wide committee", whose measurement is: "We formed a committee." Identify processes or tasks under the Implementation Strategy, as discussed next.
- DO use words such as "to increase" or "to decrease" since you are more likely to be describing a genuine, outcome objective.
- DO NOT begin your objective with words such as "to provide," "to develop," or "to establish." This heightens the likelihood you may be describing a process or task rather than an outcome objective.

- DO provide a realistic number of objectives and performance indicators for each proposed activity and for each year you are requesting funds for that activity.

**(2) The extent to which the objectives for each activity are directly related to the problems to be solved and to the goals of the comprehensive development plan.**

**Content:** Separately describe how meeting the objectives of each proposed activity will address a problem identified in the CDP and affect your institution's ability to address its goals for its academic programs, institutional management, or fiscal stability.

If you need funds for more than one activity, you may propose different start and end dates and vary the duration of each. For example, you may need only three years to develop a new curriculum but five years to develop a new management information system. Any proposed activity should address a critical problem that the CDP describes as hindering institutional growth and self-sufficiency. If you propose to use up to 20% for endowment investing, do not write an activity narrative regarding this use of endowment investing, as we do not consider it an activity in the usual sense.

**(c) Quality of Implementation Strategy (Maximum: 20 Points).**

**(1)** The extent to which the implementation strategy for each activity is comprehensive.

**(2)** The extent to which the rationale for the implementation strategy for each activity is clearly described and is supported by the results of relevant studies or projects.

**Content:** For each proposed activity, explain why you chose a specific method for implementing that activity. Include how you determined that method to be most effective, indicating relevant studies or projects that you reviewed and experts that you consulted.

**(3)** The timetable for each activity is realistic and likely to be attained.

- Chart an implementation strategy to meet your objectives for each year you are requesting funds and for each activity.
- Use time frames that are realistic for completing a task. Chart each of the five years using the budget period of October 1 to September 30.
- Describe in a comprehensive, sequential and clear manner who will do what and how they will do it to meet the objectives of each activity.
- Identify, by title, the primary participants who will carry out the tasks to meet the objectives. Describe how the personnel will perform the tasks and the results you expect from them.

**(d) Quality of Key Personnel (Maximum: 7 Points).**

(1) The extent to which the experience and training of key professional personnel are directly related to the stated activity objectives.

(2) The extent to which the time commitment of key personnel is realistic.

**Content:** For each proposed activity, list, by title and name (if available) which positions are being proposed using Title III funds and describe the qualifications you require of that position and the amount of time each person will allot to the proposed activity.

If you want to use a consultant, explain why a consultant is more advantageous than using the institution's personnel.

**(e) Quality of Project Management Plan (Maximum: 10 Points).**

(1) The extent to which procedures for managing the project are likely to ensure efficient and effective project implementation.

(2) The extent to which project coordinator and activity directors have sufficient authority to conduct the project effectively, including access to the president or chief executive officer.

The following information applies to the Title III, Part A, coordinator position:

- Under "Quality of Key Personnel", be sure to include the coordinator's required qualifications (education, experience, training) and the specific duties of the position. Directly relate the duties to the stated purposes and objectives of the project.
- Indicate how much time the Title III, Part A, coordinator will commit to the project. Make the time commitment realistic, not too high nor too low, relative to the tasks the individual will perform.

Note: Your Title III, Part A coordinator's time commitment to a project may vary considerably from that in another project or another institution's project. One project focused on developing a management information system, for example, may have a coordinator who is the director of technology in the ordinary hierarchy of the college. He or she may allot 10 percent time to coordinate the project for which the college will pay. On the other hand, a new coordinator of a faculty development project may be an instructional developer with a 50 percent time or maybe 100 percent time commitment paid for with Title III, Part A, funds. Carefully think through the management structure and time commitment that will work best at your institution and specify the reasons for your choice.

- Describe the procedures the project coordinator (project director) will use to manage and monitor the project's progress such as how information will be

provided to key administrators so they can integrate project activities with related, on-going institutional activities.

- Describe the project coordinator's (project director) administrative authority over the activity director(s) who is normally responsible for accomplishing a specific activity's objectives. Also, describe the administrative authority of the activity director(s) over subordinates.
- Chart the lines of authority of the project coordinator to key institutional decision makers, including the president.

**(f) Quality of Evaluation Plan (Maximum: 15 Points).**

**(1)** The extent to which the data elements and the data collection procedures are clearly described and appropriate to measure the attainment of activity objectives and to measure the success of the project in achieving the goals of the comprehensive development plan.

**Content:** For each proposed activity, describe the data collection procedures the institution will use to identify the data elements, objectives, and goals identified in the CDP. Include measure attainment of each proposed activity. Include procedures for analyzing and using both formative and summative data.

**(2)** The extent to which the data analysis procedures are clearly described and are likely to produce formative and summative results on attaining activity objectives and measuring the success of the project on achieving the goals of the comprehensive development plan.

**Content:** For each proposed activity, describe in detail the project's evaluation plan, including who, what, when and how. Define the baseline indicators of progress that you will use.

The detailed evaluation plan should:

- Produce a valid assessment of your implementation strategies;
- Result in annual, quantifiable evidence of the extent to which you attained your objectives for each activity and your goals for which funding is requested;
- Include the data elements and collection procedures that you will use; and
- Describe procedures for analyzing and using both formative and summative data.

All applicants must submit a plan to conduct a project evaluation as part of their grant activities. The planned evaluation should be systematic in assessing the worth of a project and useful in guiding project objectives and focus primarily on determining the outcomes and impacts of the project relative to those objectives. The evaluation should also serve to strengthen the management of the project and lead to better knowledge of what works in producing the desired outcomes.

An individual or organization, independent of the project team (and all of its partners), but not necessarily external to the grantee institution, should execute the project evaluation plan. This independent evaluator should assist in the initial preparation of the evaluation plan and be willing to work alongside the project team throughout the duration of the project. The evaluator should possess good evaluation skills commonly found among practitioners of the American Evaluation Association. Helpful Web sites to consult when preparing an evaluation plan include:

- Department of Education's Fund for the Improvement of Postsecondary Education: <http://www.ed.gov/about/offices/list/ope/fipse/evaluate.html>
- National Science Foundation: [http://www.nsf.gov/pubs/2004/nsf04016/nsf04016\\_4.htm](http://www.nsf.gov/pubs/2004/nsf04016/nsf04016_4.htm)
- Kellogg Foundation: <http://www.wkkf.org/default.aspx?tabid=75&CID=281&NID=61&LanguageID=0> (for their evaluation handbook)
- Academic Competitiveness Council [http://hub.mspnet.org/search/?action=true&search\\_text=evaluation](http://hub.mspnet.org/search/?action=true&search_text=evaluation)

The project director and team should be committed to gathering the best evaluation data possible for formative and summative purposes. Projects should collect baseline data before the project starts as a basis for measuring progress.

A summary of the evaluation report must be included in the final performance report submitted by the project to the Department of Education. The report, which also includes fiscal and management performance information, is due within 90 days after expiration of the award. The evaluation report should be included as an appendix to the final performance report as well as available upon request. (Please see 34 CFR 75.217 for information on how project performance may affect future funding).

For the Title III, Part A Programs, the evaluation plan should produce a valid assessment of the implementation strategies. It should also result in annual, quantifiable evidence of the attainment of objectives for each activity and of the goals in the CDP.

**(g) Budget (This selection criteria must be included in the program narrative document attached to the "Project Narrative Attachment Form.") (Maximum: 8 Points).**

The extent to which the proposed costs are necessary and reasonable in relation to the project's objectives and scope.

**Content:** Review the program regulations (34 CFR 607.10 and 607.30) for guidance on which activities and costs are allowable. For example, you may not use your grant funds to:

- Recruit students,
- Carry out activities that are operational rather than developmental,
- Carry out student activities such as entertainment, cultural or social enrichment programs, student publications, social clubs or associations,
- Pay for organized fund raising,
- Cover indirect costs.

Prepare a separate, detailed, budget narrative for each proposed activity for each year you are requesting grant funds. Demonstrate and justify that all costs are reasonable in today's market and necessary to accomplish your activity objectives. Please pay particular attention in your justification to those (per item) costs exceeding \$25,000, excluding salaries and fringe benefits. For each activity, provide itemized costs (in dollars), and a narrative justification to support your request for:

- o Personnel
- o Fringe Benefits
- o Travel
- o Equipment
- o Supplies
- o Contractual
- o Construction
- o Other
- o Total

You must provide details so we can determine if the costs are allowable, necessary and reasonable.

**NOTE: The Title III, Part A, Strengthening Institutions Programs, CFDA 84.031T, N, and W do not reimburse grantees for indirect costs they incur in carrying out a project funded under these programs. Therefore, applicants should not show any dollar amounts for indirect costs on either line 10 of the application budget form (ED 524) or in their budget narrative. Applicants should also be aware that un-reimbursed indirect costs under grants of this program may not be charged as direct cost items in the same award, used to satisfy matching or cost-sharing requirements, or charged to another Federal award.**

Do not include a budget narrative (as a separate activity) for endowment investing.

**Note:** Check all combined totals for the proposed activity budgets and compare it to the total on the ED 524. The totals must match.



## **6 U. S. Department of Education Budget Information Non-Construction Programs (Section A - Budget Summary U.S. Department of Education Funds and Section B – Budget Summary Non-Federal Funds (ED 524 form)).**

First, carefully read the instructions contained in this document. Then, using the Department of Education Budget Information for Non-Construction Programs (ED524) form, prepare a budget for the entire project that totals all the costs for each year of the grant. If you choose to use up to 20 percent of grant funds to establish or increase your institution’s endowment fund through endowment investing, enter the amount of your contribution in the summary budget on the “other” line. If you have additional items for the other category, separate the endowment contribution from the other items and make two entries for “other.” Endowment monies should be listed first.

## **7. Required Assurances and Certifications**

All applicants must submit these forms electronically, as a part of your application.

- ✓ Assurances – Non-Construction Programs (SF 424-B)
- ✓ Grants.gov Lobbying Form (used in place of ED 80-0013)
- ✓ Disclosure of Lobbying Activities (SF – LLL)
- ✓ ED GEPA 427 Form - General Education Provisions Act Section 427 Requirements. Please refer to the GEPA 427 requirements outlined in the “Notice to All Applicants” for instructions on completing this statement
- ✓ Survey on Ensuring Equal Opportunity for Applicants (OMB No. 1890-0014) [voluntary submission]

Carefully read the instructions for each form and be sure to provide all the requested information.

4000-01-U

DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

American Indian Tribally Controlled Colleges and Universities (TCCU), and Alaska Native-serving and Native Hawaiian-serving Institutions (ANNH) programs

Notice inviting applications for new awards for fiscal year (FY 2009)

Catalog of Federal Domestic Assistance (CFDA) Number:

84.031T, 84.031N and 84.031W

Dates:

Applications Available: [INSERT DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Transmittal of Applications: [INSERT DATE 30 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Intergovernmental Review: [INSERT DATE 90 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The TCCU and the ANNH programs authorized by Title III, Part A of the Higher Education Act of a 1965, as amended by the Higher Education Opportunity Act of 2008 provide grants to eligible institutions of higher education (IHEs) to help them become self sufficient

and expand their capacity to serve low-income students by providing funds to improve and strengthen their academic quality, institutional management and fiscal stability. Section 371 of the HEA, as added by the Higher Education Opportunity Act (HEOA), Public Law 110-315, makes funds available in FY 2009 to certain minority-serving institutions eligible for Title III Part A programs including an additional \$30 million to the TCCU program, of which \$7 million is available for new awards; and \$15 million to the ANNH program, of which \$10 million is available for new awards. Awards under these programs are hereafter referred to as "TCCU-section 371 and ANNH-section 371."

Program Authority: (20 U.S.C. 1057 - 1059d and Pub. L. 110-84.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99. (b) The regulations for this program in 34 CFR Part 607.

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

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

## II. Award Information

Type of Award: Discretionary grants. TCCU one-year construction grants, ANNH five-year individual development grants, and ANNH one-year renovation grants will be awarded in FY 2009. Planning grants will not be awarded in FY 2009. The 2008 HEOA changed the TCCU five-year development grants from discretionary grants to formula grants. Eligible TCCUs may be awarded development grants based on a formula.

Estimated Available Funds: \$30,000,000 for the TCCU program and \$18,880,000 for the ANNH program for FY 2009.

Average Size of Awards: See following chart.

Estimated Average Size of Awards: See following chart.

Estimated Number of Awards: See following chart.

Program Name and Type of Award	Maximum Award Amount	Estimated Number of Awards	Estimated Average Award Amount
Tribally Controlled Colleges and Universities Program (84.031T) 1-year Construction Grants	\$1,000,000	7	\$1,000,000
Alaska Native and Native Hawaiian Program (84.031N and 84.031W) 5-year Individual Development Grants	\$500,000	6	\$400,000
1-year Renovation Grants	\$1,500,000	10	\$1,000,000

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

Project Period: Up to 60 months for development and cooperative arrangement, and 12 months for one-year TCCU construction and ANNH renovation grants.

### III. Eligibility Information

1. Eligible Applicants: An IHE that qualifies as an eligible institution under the TCCU, and the ANNH programs may apply for grants under this notice. These programs are authorized by Title III, Part A, of the HEA. To qualify as an eligible institution under any Title III, Part A program, an institution must, among other requirements-

(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 607.3; and B) has low average educational and general expenditures per full-time

equivalent (FTE) undergraduate student as described in 34 CFR 607.4.

Relationship between the Title III, Part A programs and the Hispanic-Serving Institutions (HSI) program.

Note 1: A grantee under the Developing Hispanic-Serving Institutions (HSI) program, which is authorized under 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 SIP, TCCU and ANNH. 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 2008 grant under all Title III, Part A programs for which it is eligible, as well as receive consideration for a grant under the HSI program. However, a successful applicant may receive only one grant.

Note 3: An eligible IHE 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 IHE for the same award year as the IHE's existing cooperative arrangement development grant award.

Note 4: The Department will make five-year awards for individual development grants and five-year awards for cooperative arrangement development grants in rank order from separate funding slates according to the average score received from a panel of three readers.

2. Cost Sharing or Matching: This program does not require cost sharing or matching 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. 1057(d)(2)).

#### IV. Application and Submission Information

1. Address to Request Application Package: Darlene B. Collins, U.S. Department of Education, 1990 K Street, NW, 6<sup>th</sup> Floor, Washington, DC 20006-8513. Telephone: (202) 502-7576 or by e-mail: [darlene.collins@ed.gov](mailto:darlene.collins@ed.gov).

If you use a telecommunications device for the deaf (TDD), 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:

Requirements concerning the content of an application, together with the forms you must submit, are in the application package for these programs.

Page Limits: We have established mandatory page limits for the applications to be submitted under this notice. You must limit your application to the equivalent of no more than 50 pages for an individual development grant, and 35 pages for a construction or renovation grant under the TCCU or the ANNH programs, 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. Page numbers and an identifier may be outside the 1" margin.

- 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, figures, and graphs. Charts, tables, figures, and graphs in the application narrative may be single spaced and will count toward the page limit.

- Use a font that is either 12-point or larger and no smaller than 10 pitch (characters per inch).



- 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 be rejected.

The page limit does not apply to Part I, the Application for Federal Assistance Face Sheet (SF 424); the Supplemental Information for SF 424 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 and the Program Abstract. If you include any attachments or appendices, these items will be counted as part of the Program Narrative (Part III of the application) 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: [INSERT DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Transmittal of Applications: [INSERT DATE 30 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Applications for grants under this 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 in paper format 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:

Deadline for Intergovernmental Review: [INSERT DATE 90 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

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

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in section VII in this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

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 these programs.

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 Title III, Part A programs must comply with Executive Order 13202 signed by President George W. 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 these programs that include construction activity will be provided a copy of this Executive Order and will be asked to certify that they will adhere to it.

6. Other Submission Requirements: Applications for grants under the TCCU, and ANNH programs 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 TCCU, and ANNH programs (CFDA Numbers 84.031T, 84.031N and 84.031W), must be submitted electronically using the Governmentwide 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 TCCU and ANNH programs at <http://www.Grants.gov>. You must search for the downloadable application package for this program competition by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.031, not 84.031A).

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 date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30:00 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 and time stamped by the Grants.gov system later than 4:30:00 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 and time

stamped by the Grants.gov system after 4:30:00 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 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 steps in the Grants.gov registration process (see [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp)). These steps include (1) registering your organization, a multi-part process that includes registration with the Central Contractor Registry (CCR); (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/section910/Grants.govRegistrationBrochure.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 submit successfully an application via Grants.gov. In addition you will need to update your CCR registration on an annual basis. This may take three or more business days to complete.

- 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 Department of Education Supplemental Information for SF 424 form (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 from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number.

(This notification indicates receipt by Grants.gov only, not receipt by the Department.) The Department then will retrieve your application from Grants.gov and send a second notification to you by e-mail. This second notification indicates that the Department has received your application and has assigned your application 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 experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.



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 4:30:00 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 described elsewhere in this notice.

If you submit an application after 4:30:00 p.m., please contact the person listed under For Further Information Contact in section VII in this notice and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that the problem affected your ability to submit your application by 4:30:00 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: The extensions to which we refer 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 application 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: Darlene B. Collins, U.S. Department of Education, 1990 K Street, NW, 6<sup>th</sup> floor, 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 84.031T, 84.031N or 84.031W)  
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 84.031T, 84.031N or 84.031W)  
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, or
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

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

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

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 84.031T, 84.031N or 84.031W)  
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 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application.

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

#### V. Application Review Information

1. Selection Criteria: The selection criteria for this program are in 34 CFR 607.22(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 maximum score for each criterion is noted in parentheses.

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

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

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

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

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

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

(g) Budget (Total 8 Points).

2. Review and Selection Process: For five-year individual development grants and one-year construction and renovation grants, two-year renovation, construction and development grants, awards will be made in rank order according to the average score received from a panel of three readers.

Tie-breaker for Development Grants. In tie-breaking situations for development grants described in 34 CFR

607.23(b), the regulations for the Title III Part A programs 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 IHE. We 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. We also add one additional point to an application to an IHE that proposes to carry out one or more of the following activities—

- (i) Faculty development;
- (ii) Funds and administrative management;
- (iii) Development and improvement of academic programs;
- (iv) Acquisition of equipment for use in strengthening management and academic programs;
- (v) Joint use of facilities; and
- (vi) Student services

For the purpose of these funding considerations, we use 2006-2007 data.

If a tie remains after applying the tie-breaker mechanism above, priority will be given in the case of

applicants for: a) individual development grants to applicants that have the lowest endowment values per FTE student; and b) cooperative arrangement development grants to applicants in accordance with section 394(b) of the HEA, if the Secretary determines that the cooperative arrangement is geographically and economically sound or will benefit the applicant institution.

## 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 notify you informally.

If your application is not evaluated or not selected for funding, we will notify you by written correspondence.

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 in 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 and 34 CFR 606.31.

4. Performance Measures: The Secretary has established the following key performance measures for assessing the effectiveness of the Title III, Part A programs:

a. The number of full-time degree-seeking undergraduates enrolling at IHEs. Note that this is a long-term measure, which will be used to periodically gauge performance, beginning in FY 2009;

b. 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;

c. The percentage of students enrolled at 4-year IHEs graduating within 6 years of enrollment; and

d. The percentage of students enrolled at 2-year IHEs graduating within 3 years of enrollment.

## VII. Agency Contacts

For Further Information Contact: Darlene B. Collins, U.S. Department of Education, 1990 K Street, NW, 6<sup>th</sup> Floor, Washington, DC 20006-8513. Telephone: (202) 502-7576 or by e-mail: [darlene.collins@ed.gov](mailto:darlene.collins@ed.gov).

If you use a telecommunications device for the deaf (TDD), call the Federal Relay System (FRS), toll free, 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 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: [www.gpoaccess.gov/nara/index.html](http://www.gpoaccess.gov/nara/index.html).

Dated:

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Vickie L. Schray  
Acting Deputy Assistant Secretary  
for Higher Education Programs.

## TITLE III---INSTITUTIONAL AID

### **SEC. 301. FINDINGS AND PURPOSES.**

(a) **FINDINGS.** --The Congress finds that--

(1) there are a significant number of institutions of higher education serving high percentages of minority students and students from low-income backgrounds, that face problems that threaten their ability to survive;

(2) the problems relate to the management and fiscal operations of certain institutions of higher education, as well as to an inability to engage in long-range planning and development activities, including endowment building;

(3) in order to be competitive and provide a high-quality education for all, institutions of higher education should improve their technological capacity and make effective use of technology;

(4) the title III program prior to 1985 did not always meet the specific development needs of historically Black colleges and universities and other institutions with large concentrations of minority, low-income students;

(5) the solution of the problems of these institutions would enable them to become viable, fiscally stable and independent, thriving institutions of higher education;

(6) providing assistance to eligible institutions will enhance the role of such institutions in providing access and quality education to low-income and minority students;

(7) these institutions play an important role in the American system of higher education, and there is a strong national interest in assisting them in solving their problems and in stabilizing their management and fiscal operations, and in becoming financially independent; and

(8) there is a particular national interest in aiding those institutions of higher education that have historically served students who have been denied access to postsecondary education because of race or national origin and whose participation in the American system of higher education is in the Nation's interest so that equality of access and quality of postsecondary education opportunities may be enhanced for all students.

(b) **PURPOSE.** --It is the purpose of this title to assist such institutions in equalizing educational opportunity through a program of Federal assistance.

### **PART A STRENGTHENING INSTITUTIONS**

#### **SEC. 311. PROGRAM PURPOSE.**

(a) **GENERAL AUTHORIZATION.** --The Secretary shall carry out a program, in accordance with this part, to improve the academic quality, institutional management, and fiscal stability of eligible institutions, in order to increase their self-sufficiency and strengthen their capacity to make a substantial contribution to the higher education resources of the Nation.

(b) **GRANTS AWARDED; SPECIAL CONSIDERATION.**C(1) From the sums available for this part under section 399(a)(1), the Secretary may award grants to any eligible institution with an application approved under section 351 in order to

assist such an institution to plan, develop, or implement activities that promise to strengthen the institution.

(2) Special consideration shall be given to any eligible institution--

(A) which has endowment funds (other than any endowment fund built under section 332 of this Act as in effect on September 30, 1986, and under part B) the market value of which, per full-time equivalent student, is less than the average current market value of the endowment funds, per full-time equivalent student (other than any endowment fund built under section 332 of this Act as in effect on September 30, 1986, and under part B) at similar institutions; or

(B) which has expenditures per full-time equivalent student for library materials which is less than the average of the expenditures for library materials per full-time equivalent student by other similarly situated institutions.

(3) Special consideration shall be given to applications which propose, pursuant to the institution's plan, to engage in

(A) faculty development;

(B) (B) funds and administrative management;

(C) development and improvement of academic programs;

(D) acquisition of equipment for use in strengthening funds management and academic programs;

(E) joint use of facilities such as libraries and laboratories;

and

(F) student services.

(c) AUTHORIZED ACTIVITIES.--Grants awarded under this section shall be used for 1 or more of the following activities:

(1) Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.

(2) Construction, maintenance, renovation, and improvement in classrooms, libraries, laboratories, and other instructional facilities, including the integration of computer technology into institutional facilities to create smart buildings.

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

(4) Development and improvement of academic programs.

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

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

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

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

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

(10) Establishing or improving an endowment fund.

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

(12) Other activities proposed in the application submitted pursuant to subsection (c) that-

- (A) contribute to carrying out the purposes of the program assisted under this part; and
- (B) are approved by the Secretary as part of the review and acceptance of such application.
- (d) ENDOWMENT FUND.
  - (1) IN GENERAL.--An eligible institution may use not more than 20 percent of the grant funds provided under this part to establish or increase an endowment fund at such institution.
  - (2) MATCHING REQUIREMENT.--In order to be eligible to use grant funds in accordance with paragraph (1), the eligible institution shall provide matching funds from non-Federal sources, in an amount equal to or greater than the Federal funds used in accordance with paragraph (1), for the establishment or increase of the endowment fund.
  - (3) COMPARABILITY.--The provisions of part C, regarding the establishment or increase of an endowment fund, that the Secretary determines are not inconsistent with this subsection, shall apply to funds used under paragraph (1).

**SEC. 312. DEFINITIONS; ELIGIBILITY.**

- (a) EDUCATIONAL AND GENERAL EXPENDITURES. -- For the purpose of this part, the term “educational and general expenditures” means the total amount expended by an institution of higher education 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 any mandatory transfers which the institution is required to pay by law.
- (b) ELIGIBLE INSTITUTION. -- For the purpose of this part, the term “eligible institution” means --
  - (1) an institution of higher education--
    - (A) which has an enrollment of needy students as required by subsection (c) of this section;
    - (B) except as provided in section 392(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;
    - (C) which is
      - (i) legally authorized to provide, and provides within the State, an educational program for which such institution awards a bachelor’s degree;
      - (ii) a junior or community college; or
      - (iii) the College of the Marshall Islands, the College of Micronesia/Federated States of Micronesia, and Palau Community College;
    - (D) which 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 which is, according to such an agency or association, making reasonable progress toward accreditation;
    - (E) which meets such other requirements as the Secretary may prescribe; and
    - (F) located in a State; and

(2) any branch of any institution of higher education described under paragraph (1) which by itself satisfies the requirements contained in subparagraphs (A) and (B) of such paragraph.

For purposes of the determination of whether an institution is an eligible institution under this paragraph, the factor described under paragraph (1)(A) shall be given twice the weight of the factor described under paragraph (1)(B).

(c) ENDOWMENT FUND.-- For the purpose of this part, the term "endowment fund" means a fund that--

(1) is established by State law, by an institution of higher education, or by a foundation that is exempt from Federal income taxation;

(2) is maintained for the purpose of generating income for the support of the institution; and

(3) does not include real estate.

(d) ENROLLMENT OF NEEDY STUDENTS. -- For the purpose of this part, the term "enrollment of needy students" means an enrollment at an institution of higher education or a junior or community college which includes--

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

(2) a substantial percentage of students receiving Pell Grants in the second fiscal year preceding the fiscal year for which determination is being made, in comparison with the percentage of students receiving 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 subdivision is waived under section 392(a).

(e) FULL-TIME EQUIVALENT STUDENTS. For the purpose of this part, 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 of all part-time students divided by 12) at such institution.

(f) JUNIOR OR COMMUNITY COLLEGE.--For the purpose of this part, the term "junior or community college" means an institution of higher education--

(1) 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;

(2) that does not provide an educational program for which it awards a bachelor's degree (or an equivalent degree); and

(3) that--

(A) provides an educational program of not less than 2 years that is acceptable for full credit toward such a degree, or

(B) 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 at the semiprofessional level in engineering, scientific, or other technological fields requiring the understanding and application of basic engineering, scientific, or mathematical principles of knowledge.

(g) HISTORICALLY BLACK COLLEGE OR UNIVERSITY.--For the purposes of this section, no historically black college or university which is eligible for and

receives funds under part B of this title is eligible for or may receive funds under this part.

**SEC. 313. DURATION OF GRANT.**

(a) AWARD PERIOD.--The Secretary may award a grant to an eligible institution under this part for 5 years.

(b) LIMITATIONS.--In awarding grants under this part the Secretary shall give priority to applicants who are not already receiving a grant under this part, except that for the purpose of this subsection a grant under subsection (c) and a grant under section 394(a)(1) shall not be considered a grant under this part.

(c) PLANNING GRANTS.--Notwithstanding subsection (a), the Secretary may award a grant to an eligible institution under this part for a period of one year for the purpose of preparation of plans and applications for a grant under this part.

(d) WAIT-OUT-PERIOD.--Each eligible institution that received a grant under this part for a 5-year period shall not be eligible to receive an additional grant under this part until 2 years after the date on which the 5-year grant period terminates.

**SEC. 314. APPLICATIONS.**

Each eligible institution desiring to receive assistance under this part shall submit an application in accordance with the requirements of section 391.

**SEC. 315. GOALS FOR FINANCIAL MANAGEMENT AND ACADEMIC PROGRAM.**

(a) GOALS.-- Any application for a grant under this part shall describe measurable goals for the institution's financial management and academic programs, and include a plan of how the applicant intends to achieve those goals.

(b) CONTINUATION REQUIREMENTS. -- Any continuation application shall demonstrate the progress made toward achievement of the goals described pursuant to subsection (a).

**Sec. 316 AMERICAN INDIAN TRIBALLY CONTROLLED COLLEGES AND UNIVERSITIES.**

(a) PROGRAM AUTHORIZED. -- The Secretary shall provide grants and related assistance to Indian Tribal Colleges and Universities to enable such institutions to improve and expand their capacity to serve Indian students.

(b) DEFINITIONS. -- In this section:

(1) INDIAN. -- The term "Indian" has the meaning given the term in section 2 of the Tribally Controlled College or University Assistance Act of 1978.

(2) INDIAN TRIBE. -- The term "Indian tribe" has the meaning given the term in section 2 of the Tribally Controlled College or University Assistance Act of 1978.

(3) TRIBAL COLLEGE OR UNIVERSITY. -- The term "Tribal College or University" has the meaning give the term "tribally controlled college or university" in section 2 of the Tribally Controlled College or University Assistance Act of 1978, and includes an institution listed in the Equity in Educational Land Grant Status Act of 1994.



(4) INSTITUTION OF HIGHER EDUCATION.--The term "institution of higher education" means an institution of higher education as defined in section 101(a), except that paragraph (2) of such section shall not apply.

(c) AUTHORIZED ACTIVITIES.--

(1) IN GENERAL. --Grants awarded under this section shall be used by Tribal Colleges or Universities to assist such institutions to plan, develop, undertake, and carry out activities to improve and expand such institutions' capacity to serve Indian students.

(2) EXAMPLES OF AUTHORIZED ACTIVITIES.--The activities described in paragraph (1) may include--

(A) purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes;

(B) construction, maintenance, renovation, and improvement in classrooms, libraries, laboratories, and other instructional facilities, including purchase or rental of telecommunications technology equipment or services;

(C) support of faculty exchanges, faculty development, and faculty fellowships to assist in attaining advanced degrees in the faculty's field of instruction;

(D) academic instruction in disciplines in which Indians are underrepresented;

(E) purchase of library books, periodicals, and other educational materials, including telecommunications program material;

(F) tutoring, counseling, and student service programs designed to improve academic success;

(G) funds management, administrative management, and acquisition of equipment for use in strengthening funds management;

(H) joint use of facilities, such as laboratories and libraries;

(I) establishing or improving a development office to strengthen or improve contributions from alumni and the private sector;

(J) establishing or enhancing a program of teacher education designed to qualify students to teach in elementary schools or secondary schools, with a particular emphasis on teaching Indian children and youth, that shall include, as part of such program, preparation for teacher certification;

(K) establishing community outreach programs that encourage Indian elementary school and secondary school students to develop the academic skills and the interest to pursue postsecondary education; and

(L) other activities proposed in the application submitted pursuant to subsection (d) that--

(i) contribute to carrying out the activities described in subparagraphs (A) through (K); and

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

(3) ENDOWMENT FUND.--

(A) IN GENERAL.-- A Tribal College or University may use not more than 20 percent of the grant funds provided under this section to establish or increase an endowment fund at the institution.

(B) MATCHING REQUIREMENT.-- In order to be eligible to use grant funds in accordance with subparagraph (A), the Tribal College or University shall provide matching funds, in an amount equal to the Federal funds used in accordance with subparagraph (A), for the establishment or increase of the endowment fund.

(C) COMPARABILITY. -- The provisions of part C regarding the establishment or increase of an endowment fund, that the Secretary determines are not inconsistent with this paragraph, shall apply to funds used under subparagraph (A).

(d) APPLICATION PROCESS--

(1) INSTITUTIONAL ELIGIBILITY.--To be eligible to receive assistance under this section, a Tribal College or University shall be an eligible institution under section 312(b).

(2) APPLICATION.-- Any Tribal College or University desiring to receive assistance under this section shall submit an application to the Secretary at such time, and in such manner, as the Secretary may by regulation reasonably require. Each such application shall include--

(A) a 5-year plan for improving the assistance provided by the Tribal College or University to Indian students, increasing the rates at which Indian secondary school students enroll in higher education, and increasing overall postsecondary retention rates for Indian students; and

(B) such enrollment data and other information and assurances as the Secretary may require to demonstrate compliance with paragraph (1).

(3) SPECIAL RULE.-- For the purposes of this part, no Tribal College or University that is eligible for and receives funds under this section may concurrently receive other funds under this part or part B.

### **SEC. 317. ALASKA NATIVE AND NATIVE HAWAIIAN-SERVING INSTITUTIONS.**

(a) PROGRAM AUTHORIZED. -- The Secretary shall provide grants and related assistance to Alaska Native-serving institutions and Native Hawaiian-serving institutions to enable such institutions to improve and expand their capacity to serve Alaska Natives and Native Hawaiians.

(b) DEFINITIONS.-- For the purpose of this section--(1) the term "Alaska Native" has the meaning given the term in section 9308 of the Elementary and Secondary Education Act of 1965;

(2) the term "Alaska Native-serving institution" means an institution of higher education that--

(A) is an eligible institution under section 312(b); and (B) at the time of application, has an enrollment of undergraduate students that is at least 20 percent Alaska Native students;

(3) the term "Native Hawaiian" has the meaning given the term in section 9212 of the Elementary and Secondary Education Act of 1965; and

(4) the term "Native Hawaiian-serving institution" means an institution of higher education which--

(A) is an eligible institution under section 312(b); and (B) at the time of application, has an enrollment of undergraduate students that is at least 10 percent Native Hawaiian students.

(c) AUTHORIZED ACTIVITIES.--

(1) TYPES OF ACTIVITIES AUTHORIZED.-- Grants awarded under this section shall be used by Alaska Native-serving institutions and Native Hawaiian-serving institutions to assist such institutions to plan, develop, undertake, and carry out

activities to improve and expand such institutions' capacity to serve Alaska Natives or Native Hawaiians.

(2) EXAMPLES OF AUTHORIZED ACTIVITIES. -- Such programs may include--

(A) purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes;

(B) renovation and improvement in classroom, library, laboratory, and other instructional facilities;

(C) support of faculty exchanges, and faculty development and faculty fellowships to assist in attaining advanced degrees in the faculty's field of instruction;

(D) curriculum development and academic instruction;

(E) purchase of library books, periodicals, microfilm, and other educational materials;

(F) funds and administrative management, and acquisition of equipment for use in strengthening funds management;

(G) joint use of facilities such as laboratories and libraries;

and

(H) academic tutoring and counseling programs and student support services.

(d) APPLICATION PROCESS.--

(1) INSTITUTIONAL ELIGIBILITY.-- Each Alaska Native-serving institution and Native Hawaiian-serving institution desiring to receive assistance under this section shall submit to the Secretary such enrollment data as may be necessary to demonstrate that the institution is an Alaska Native-serving institution or a Native Hawaiian-serving institution as defined in subsection (b), along with such other information and data as the Secretary may by regulation require.

(2) APPLICATIONS.-- Any institution which is determined by the Secretary to be an Alaska Native-serving institution or a Native Hawaiian-serving institution may submit an application for assistance under this section to the Secretary. Such application shall include--

(A) a 5-year plan for improving the assistance provided by the Alaska Native-serving institution or the Native Hawaiian-serving institution to Alaska Native or Native Hawaiian students; and

(B) such other information and assurance as the Secretary may require.

(e) SPECIAL RULE.-- For the purposes of this section, no Alaska Native-serving institution or Native Hawaiian-serving institution which is eligible for and receives funds under this section may concurrently receive other funds under this part or part B.

## **PART F--GENERAL PROVISIONS**

### **SEC. 391. APPLICATIONS FOR ASSISTANCE.**

(a) APPLICATIONS.--(1) APPLICATIONS REQUIRED.-- Any institution which is eligible for assistance under this title 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 the assistance. Subject to the availability of appropriations to carry out this title, the Secretary may approve an application for assistance under this title only if the Secretary determines that--

- (A) the application meets the requirements of subsection (b);
  - (B) the applicant is eligible for assistance in accordance with the part of this title under which the assistance is sought; and
  - (C) the applicant's performance goals are sufficiently rigorous as to meet the purposes of this title and the performance objectives and indicators for this title established by the Secretary pursuant to the Government Performance and Results Act of 1993 and the amendments made by such Act.
- (2) PRELIMINARY APPLICATIONS.-- In carrying out paragraph (1), the Secretary may develop a preliminary application for use by eligible institutions applying under part A prior to the submission of the principal application.
- (b) CONTENTS.-- An institution, in its application for a grant, shall--
- (1) set forth, or describe how the institution (other than an institution applying under part C, D or E) 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 title);
  - (2) set forth policies and procedures to ensure that Federal funds made available under this title 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 311(b) or 323, and in no case supplant those funds;
  - (3) 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;
  - (4) 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;
  - (5) provide (A) for making such reports, in such form and containing such information, as the Secretary may require to carry out the 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 (B) for keeping such records and affording such access thereto, as the Secretary may find necessary to assure the correctness and verification of such reports;
  - (6) provide that the institution will comply with the limitations set forth in section 357, except that for purposes of section 316, paragraphs (2) and (3) of section 396 shall not apply;
  - (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 which consists of several components (as described by the applicant pursuant to subparagraph (A)), a statement identifying those components which, if separately funded, would be sound investments of Federal funds and those components which 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 applicant);
    - (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) include such other information as the Secretary may prescribe.

(c) **PRIORITY CRITERIA PUBLICATION REQUIRED.**-- The Secretary shall publish in the Federal Register, pursuant to chapter 5 of title 5, United States Code, all policies and procedures required to exercise the authority set forth in subsection (a). No other criteria, policies, or procedures shall apply.

(d) **ELIGIBILITY DATA.**-- The Secretary shall use the most recent and relevant data concerning the number and percentage of students receiving need-based assistance under title IV of this Act in making eligibility determinations under section 312 and shall advance the base-year forward following each annual grant cycle.

**Sec. 392. (20 U.S.C. 1068a) WAIVER AUTHORITY AND REPORTING REQUIREMENT.**

(a) **WAIVER REQUIREMENTS; NEED-BASED ASSISTANCE STUDENTS.**-- The Secretary may waive the requirements set forth in section 312(b)(1)(A) in the case of an institution--

- (1) which 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) which 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) located on or near an Indian reservation or a substantial population of Indians, if the Secretary determines that the waiver will substantially increase higher education opportunities appropriate to the needs of American Indians;
- (6) that is a tribally controlled college or university as defined in section 2 of the Tribally Controlled College or University Assistance Act of 1978; or
- (7) wherever located, if the Secretary determines that the waiver will substantially increase higher education opportunities appropriate to the needs of Black Americans, Hispanic Americans, Native Americans, Asian Americans, or Pacific Islanders, including Native Hawaiians.

(b) **WAIVER DETERMINATIONS; EXPENDITURES.**-- (1) The Secretary may waive the requirements set forth in section 312(b)(1)(B) 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 such parts.

(2) The Secretary shall submit to the Congress every other year a report concerning the institutions which, although not satisfying the criterion contained in section 312(b)(1)(B), have been determined to be eligible institutions under part A institutions which enroll significant numbers of Black American, Hispanic, Native American, Asian American, or Native Hawaiian students under part A, as the case may be. 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 subparagraphs (A) and (B) of section 312(b)(1); 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.

(3) The Secretary may waive the requirement set forth in section 312(b)(1)(E) in the case of an institution located on or near an Indian reservation or a substantial population of Indians, if the Secretary determines that the waiver will substantially increase higher education opportunities appropriate to the needs of American Indians.

### **SEC. 393. APPLICATION REVIEW PROCESS.**

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

(2) The Secretary shall take care to assure that representatives of historically and predominantly Black colleges, Hispanic institutions, Tribal Colleges and Universities, and institutions with substantial numbers of Hispanics, Native Americans, Asian Americans, and Native American Pacific Islanders (including Native Hawaiians) are included as readers.

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

(A) explanations and examples of the types of activities referred to in section 311(b) that should receive special consideration for grants awarded under part A and of the types of activities referred to in section 323 that should receive special consideration for grants awarded under part B;

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

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

(b) RECOMMENDATIONS OF PANEL.-- In awarding grants under this title, the Secretary shall take into consideration the recommendations of the panel made under subsection (a).

(c) NOTIFICATION.-- Not later than June 30 of each year, the Secretary shall notify each institution of higher education 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.

(d) EXCLUSION.-- The provisions of this section shall not apply to applications submitted under part D.

#### **SEC. 394. COOPERATIVE ARRANGEMENTS.**

(a) GENERAL AUTHORITY.-- The Secretary may make grants to encourage cooperative arrangements

(1) with funds available to carry out part A, between institutions eligible for assistance under part A and between such institutions and institutions not receiving assistance under this title; or

(2) with funds available to carry out part B, between institutions eligible for assistance under part B and institutions not receiving assistance under this title; for the activities described in section 311(b) or section 323, as the case may be, so that the resources of the cooperating institutions might be combined and shared to achieve the purposes of such parts and 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 institution.

(c) DURATION. -- Grants to institutions having a cooperative arrangement may be made under this section for a period as determined under section 313 or section 323.

#### **SEC. 395. ASSISTANCE TO INSTITUTIONS UNDER OTHER PROGRAMS.**

(a) ASSISTANCE ELIGIBILITY.-- Each institution which the Secretary determines to be an institution eligible under part A or an institution eligible under part B may be eligible for waivers in accordance with subsection (b).

(b) WAIVER APPLICABILITY.-- (1) Subject to, and in accordance with, regulations promulgated for the purpose of this section, in the case of any application by an 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 part D or title IV of this Act.

(c) LIMITATION. -- The Secretary shall not waive, under sub-section (b), 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. 396. LIMITATIONS.**

The funds appropriated under section 360 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 such institution;
- (3) for an activity that is inconsistent with a State plan of higher education applicable to such institution; or
- (4) for purposes other than the purposes set forth in the approved application under which the funds were made available to the institution.

**SEC. 397. 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 title 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. 398. CONTINUATION AWARDS**

The Secretary shall make continuation awards under this title for the second and succeeding years of a grant only after determining that the recipient is making satisfactory progress in carrying out the grant.

**SEC. 399. AUTHORIZATIONS OF APPROPRIATIONS.**

(a) AUTHORIZATIONS.--

(1) PART A.--(A) There are authorized to be appropriated to carry out part A, \$135,000,000 (other than section 316) for fiscal year 1999, and such sums as may be necessary for each of the 4 succeeding fiscal years.

(B) There are authorized to be appropriated to carry out section 316, \$10,000,000 for fiscal year 1999 and such sums as may be necessary for each of the 4 succeeding fiscal years.

(C) There are authorized to be appropriated to carry out section 317, \$5,000,000 for fiscal year 1999 and such sums as may be necessary for each of the 4 succeeding fiscal years.

(2) PART B.--(A) There are authorized to be appropriated to carry out part B (other than section 326), \$135,000,000 for fiscal year 1999, and such sums as may be necessary for each of the 4 succeeding fiscal years.

(B) There are authorized to be appropriated to carry out section 326, \$35,000,000 for fiscal year 1999, and such sums as may be necessary for each of the 4 succeeding fiscal years.

(3) PART C.-- There are authorized to be appropriated to carry out part C, \$10,000,000 for fiscal year 1999, and such sums as may be necessary for each of the 4 succeeding fiscal years.

(4) PART D.-- (A) There are authorized to be appropriated to carry out part D (other than section 345(7), but including section 347), \$110,000 for fiscal year



1999, and such sums as may be necessary for each of the 4 succeeding fiscal years.

(B) There are authorized to be appropriated to carry out section 345(7), such sums as may be necessary for fiscal year 1999 and each of the 4 succeeding fiscal years.

(5) PART E.-- There are authorized to be appropriated to carry out part E, \$10,000,000 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 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 recipient.

**INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS**  
**EXECUTIVE ORDER 12372**

Intergovernmental Review of Federal Programs was issued to foster an intergovernmental partnership and strengthen federalism by relying on state and local processes for the coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. A listing of the Single Point of Contact for each State may be viewed at: <http://www.whitehouse.gov/omb/grants/spoc.html>.

**GENERAL EDUCATION PROVISIONS ACT (GEPA)**  
**SECTION 427**

Section 427 of GEPA requires all applicants for new awards to include in their applications a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally-assisted programs for students, teachers, and other program beneficiaries with special needs. The provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: *gender, race, national origin, color, disability, or age*.

A general statement of an applicant's nondiscriminatory hiring policy is not sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers.

**NOTES:**

- **Applicants for new awards must include information in their applications to address this provision in order to receive funding under this program.**
- **Applicants are required to address this provision by attaching a statement to the ED GEPA 427 Form that must be downloaded from Grants.gov.**

# Government Performance and Results Act (GPRA)

## What is GPRA?

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

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

As required by GPRA, the Department of Education has prepared a strategic plan for 2007-2012. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

*Goal 1: Increase student achievement, reward qualified teachers, and renew troubled schools so that every student can read and do math at grade level by 2014, as called for by the No Child Left Behind Act.*

*Goal 2: Encourage more rigorous and advanced coursework to improve the academic performance of our middle and high school students.*

*Goal 3: Work with colleges and universities to improve access, affordability, and accountability, so that our higher education system remains the world's finest.*

## What are the Performance Indicators for the Title III, Part A Programs?

The performance indicators for the Title III, Part A Programs are part of the Department's plan for meeting Goal 3. The Department's specific goal for this program is "to increase enrollments of Strengthening Institutions Program (SIP) institutions."

The Title III, Part A Programs' overarching goal is "to improve the capacity of minority-serving institutions, which traditionally have limited resources and serve large numbers of low-income and minority students, to improve student success and to provide high-quality educational opportunities for their students.

The performance indicators for the Title III, Part A Programs are:

1. The number of full-time degree-seeking undergraduates enrolled at institutions of higher education (IHEs). Note that this is a long-term measure, which will be used periodically to gauge performance, beginning in FY 2009.
2. 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.
3. The cost per successful program outcome: federal cost per undergraduate and graduate degree at institutions.
4. The percentage of students enrolled at four-year IHEs graduating within six years of enrollment.
5. The percentage of students enrolled at two-year IHEs who graduate within three years of enrollment.

**How does the Department of Education determine whether performance goals have been met?**

An applicant that receives a grant award will be required to submit annual progress reports and a final report as a condition of the award. The reports will document the extent to which project goals and objectives are met.

The most recent version of this program's annual performance report can be viewed at <http://www.ed.gov/programs/iduestitle3a/performance.html>.

# Instructions for Completing the Application Package

The Title III, Part A program applications consist of four parts. These parts are organized in the same manner that the submitted application should be organized. The parts are as follows:

## **Part I: 424 Forms**

Application for Federal Assistance – (SF424)  
Department of Education Supplemental Information Form for SF424

### **\*Notes:**

Applicants must complete the SF 424 form first because some of the information you provide here is automatically inserted into other sections of the Grants.gov application package.

Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although the form accepts attachments, the Department of Education will only review materials/files attached to the forms listed below.

## **Part II: 524 Forms**

Department of Education Budget Summary Form – (ED 524)  
Sections A & B  
(Section C – Budget Narrative should be included in the Budget Narrative Attachment Form, located in Part III.)

## **Part III: Attachments**

ED Abstract Form  
Project Narrative Attachment Form  
Budget Narrative Attachment Form  
Other Attachments Form

The Department of Education Abstract Form (found in the Grants.gov application package) is where you attach a one page abstract narrative in **word format** to include an overview of your proposed project and a description of your institution's distinguishing features, including:

- Your institution's level (2-year/4-year); control (private/public); affiliation; primary service population; and programs of study (e.g., liberal arts, technical programs).
- Student Body Characteristics: include the number of students-either full-time equivalent or headcount - and the racial, ethnic, age, and gender breakdown.
- Faculty Characteristics: include the number of full-time and adjunct faculty and faculty to

student ratio.

In preparing your Project Abstract for posting to the Web, the following guidelines must be followed:

- Acronyms are placed in parentheses after the words are spelled out the first time;
- The word *percent* should be spelled out (except in tables and charts);
- Numbers 0-9 should be spelled out;
- Create a table for text in columns and rows;
- Use the same font and font size throughout your document;
- Use uppercase, bold, and large fonts for emphasis only (i.e., headings and subheadings); and
- Be consistent throughout your document.

The “**Project Narrative Attachment Form**” (found in the Grants.gov application package) is where applicants will attach their narrative responses to the selection criteria that will be used to evaluate applications submitted for this competition. The “budget narrative” is part of the selection criteria and is to be included in the narrative attached to the “Project Narrative Attachment Form.” **Remember to submit a single narrative document that addresses each proposed activity (except endowment investing). BE SURE TO ADHERE TO THE ESTABLISHED PAGE LIMITATIONS OF:**

- ❑ **50 pages for 5-year individual development grants;**
- ❑ **70 pages for cooperative arrangement development grants; and**
- ❑ **35 pages for 1-year construction and renovation grants.**

The **Budget Narrative Attachment Form** is where you attach a detailed line item budget and any supplemental budget information. The budget should demonstrate and justify that all costs are reasonable and necessary to accomplish the proposed project activities. Include a description of the activities in the budget that respond to the announced invitational priorities.

The “**Other Attachments Form**” (found in the Grants.gov application package) is where applicants will attach the “Program Profile” page. The “Program Profile” page is found in this instructions document. Applicants must cut/copy and paste this page or recreate this page into a separate word document, complete the document with the information requested, and attach it to the “Other Attachments Form” found in the application package downloaded from Grants.gov.

**\*All attachments must be in .DOC, .RTF, or .PDF format. Other types of files will not be accepted.**

**Part IV: Assurances, Certifications, and Survey Forms**

GEPA Section 427 Requirement  
Assurances – Non-Construction Programs (SF 424B)  
Grants.gov Lobbying Form (formerly ED Form 80-0013)  
Survey on Ensuring Equal Opportunity for Applicants  
Disclosure of Lobbying Activities (SF-LLL)



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**84.031N Alaska Native Program Profile**

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**INSTRUCTIONS:** ALL applicants must complete these pages. The completed pages must be attached to the "Other Attachments Form" in the application package in Grants.gov (as either a .doc, .rtf or .pdf document). DO NOT MODIFY OR AMEND THESE PAGES.

OPE ID # \_\_\_\_\_

**1. INSTITUTION (Legal Name):**

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**2. Are you applying as a Branch Campus?**     YES     NO

**3. ADDRESS (Applicants must indicate the address where the project will be located):**

Project Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

**4. ALASKA NATIVE-SERVING INSTITUTIONS CERTIFICATION:**

• **By checking this box (or placing an "X" beside it),** the applicant certifies pursuant to the statutory requirements governing the Alaska Native-Serving Institutions Program, authorized under Title III, Part A of the Higher Education Act of 1965, as amended, that:

The named institution of higher education, at the time of application, has an enrollment of undergraduate students that is at least twenty percent (20%) Alaska Native. The term "Native" means "a citizen of the United States who is a person of one-fourth degree or more Alaska Indian (including Tsimshian Indians not enrolled in the Metlaktla Indian Community) Eskimo, or Aleut blood, or combination thereof. The term includes any Native as so defined either or both of whose adoptive parents are not Natives. It also includes, in the absence of proof of a minimum blood quantum, any citizen of the United States who is regarded as an Alaska Native by the Native village or Native group of which he claims to be a member and whose father or mother is (or, if deceased, was) regarded as Native by any village or group." (See Section 1602 of the "Alaska Native Claims Settlement Act," as codified)

Specifically:

Total Undergraduate Headcount Enrollment: \_\_\_\_\_

Alaska Native Undergraduate Headcount Enrollment: \_\_\_\_\_

Percent of Alaska Native Enrollment of Undergraduate Students: \_\_\_\_\_

**5. COOPERATIVE ARRANGEMENT FOR PARTICIPATING INSTITUTIONS:** *The applicant institution must provide for each Participating Institution: the Institution Name, DUNS Number, Location (City and State).*

**6. Tie-Breaker Information**

If the selection process ends in a tie and funds are not sufficient to fund all institutions, we will use the information provided here to determine who will receive a grant. In accordance with Section 607.23(b), the Secretary will award up to three (3) additional points based on the information provided here.

Content: On a separate page, provide the following information:

TOTAL 2006-2007 FULL-TIME EQUIVALENT (FTE) STUDENTS= \_\_\_\_\_

A. Total market value of endowment fund at the end of 2006-2007\$ \_\_\_\_\_

B. Total expenditures for library materials during 2006-2007 \$ \_\_\_\_\_

C. Check activities applicant proposes to carry out in application:

a. Faculty Development \_\_\_\_\_

b. Funds and administrative management \_\_\_\_\_

c. Development and improvement of academic programs \_\_\_\_\_

d. Acquisition of equipment for use in strengthening Management and academic programs \_\_\_\_\_

e. Joint use of facilities \_\_\_\_\_

f. Student Services \_\_\_\_\_

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**84.031T Tribally Controlled Colleges and Universities Program Profile**

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**INSTRUCTIONS:** *ALL applicants must complete these pages. The completed pages must be attached to the "Other Attachments Form" in the application package in Grants.gov (as either a .doc, .rtf or .pdf document). DO NOT MODIFY OR AMEND THESE PAGES.*

OPE ID # \_\_\_\_\_

**1. INSTITUTION (Legal Name):**

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**2. Are you applying as a Branch Campus?**     YES     NO

**3. ADDRESS (Applicants must indicate the address where the project will be located):**

Project Address:

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City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

**4. ENDOWMENT FUND ASSURANCE:**

• **By checking this box (or placing an "X" beside it)**, an applicant certifies that the institution of higher education proposes to use up to twenty percent (20%) of the Strengthening Institutions Program grant award, made under the authority of Title III, Part A of the Higher Education Act of 1965, as amended, to establish or increase the institution's endowment fund. The institution agrees to abide by the Department of Education's regulations governing the Endowment Challenge Grant Program, 34 CFR Part 628, the program statute, and the program regulations, 34 CFR Part 607. The institution further agrees to raise the required matching funds.

**5. INDIAN STUDENT ENROLLMENT DATA Required to submit:**

• **By checking this box (or placing an "X" beside it)**, the applicant certifies the

a. total number of Indian students enrolled (unduplicated) in your institution from September 1, 2007 to August 30, 2008 = \_\_\_\_\_.

b. total number of all students enrolled (unduplicated) in your institution from September 1, 2007 to August 30, 2008 = \_\_\_\_\_.

c. total number of credit hours for the Indian Students enrolled (unduplicated) from September 1, 2007 through August 30, 2008 = \_\_\_\_\_.

d. total number of credit hours for all students enrolled (unduplicated) from September 1, 2007 to August 30, 2008 = \_\_\_\_\_.

Note: Applicant should retain data used to provide information to the Department for the funding period of the grant.

**6. COOPERATIVE ARRANGEMENT FOR PARTICIPATING INSTITUTIONS:** *The applicant institution must provide for each Participating Institution: the Institution Name, DUNS Number, Location (City and State).*

**7. Tie-Breaker Information**

If the selection process ends in a tie and funds are not sufficient to fund all institutions, we will use the information provided here to determine who will receive a grant. In accordance with Section 607.23(b), the Secretary will award up to three (3) additional points based on the information provided here.

Content: On a separate page, provide the following information:

TOTAL 2006-2007 FULL-TIME EQUIVALENT (FTE) STUDENTS= \_\_\_\_\_

A. Total market value of endowment fund at the end of 2006-2007\$ \_\_\_\_\_

B. Total expenditures for library materials during 2006-2007 \$ \_\_\_\_\_

C. Check activities applicant proposes to carry out in application:

a. Faculty Development \_\_\_\_\_

b. Funds and administrative management \_\_\_\_\_

c. Development and improvement of academic programs \_\_\_\_\_

d. Acquisition of equipment for use in strengthening management and academic programs \_\_\_\_\_

e. Joint use of facilities \_\_\_\_\_

f. Student Services \_\_\_\_\_

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**84.031W Native Hawaiian-Serving Institutions Program Profile**

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**INSTRUCTIONS:** ALL applicants must complete these pages. The completed pages must be attached to the "Other Attachments Form" in the application package in Grants.gov (as either a .doc, .rtf or .pdf document). DO NOT MODIFY OR AMEND THESE PAGES.

OPE ID # \_\_\_\_\_

**1. INSTITUTION (Legal Name):**

---

**2. Are you applying as a Branch Campus?**     YES     NO

**3. ADDRESS (Applicants must indicate the address where the project will be located):**

Project Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

**4. NATIVE HAWAIIAN-SERVING INSTITUTIONS CERTIFICATION:**

- **By checking this box (or placing an "X" beside it)**, the applicant certifies pursuant to the statutory requirements governing the Alaska Native and Native Hawaiian-Serving Institutions Program, authorized under Title III, Part A of the Higher Education Act of 1965, as amended, that:

The institution of higher education, at the time of application, has an enrollment of undergraduate students that is at least ten percent (10%) Native Hawaiian. The term "Native Hawaiian" means any individual who is —

- (A) a citizen of the United States; and
- (B) a descendant of the aboriginal people who, prior to 1778, occupied and exercised sovereignty in the area that now comprises the State of Hawaii, as evidenced by —
  - (i) genealogical records;
  - (ii) Kupuna (elders) or Kamaaina (long-term community residents) verification; or
  - (iii) certified birth records.

(See Section 317(b) (3), of the HEA)

Specifically:

Total Undergraduate Headcount Enrollment: \_\_\_\_\_

Native Hawaiian Undergraduate Headcount Enrollment: \_\_\_\_\_

Percent of Native Hawaiian Enrollment of Undergraduate Students: \_\_\_\_\_

**5. COOPERATIVE ARRANGEMENT FOR PARTICIPATING INSTITUTIONS:** *The applicant institution must provide for each Participating Institution: the Institution Name, DUNS Number, Location (City and State).*

**6. Tie-Breaker Information**

If the selection process ends in a tie and funds are not sufficient to fund all institutions, we will use the information provided here to determine who will receive a grant. In accordance with Section 607.23(b), the Secretary will award up to three (3) additional points based on the information provided here.

Content: On a separate page, provide the following information:

TOTAL 2006-2007 FULL-TIME EQUIVALENT (FTE) STUDENTS=\_\_\_\_\_

A. Total market value of endowment fund at the end of 2006-2007\$\_\_\_\_\_

B. Total expenditures for library materials during 2006-2007 \$\_\_\_\_\_

C. Check activities applicant proposes to carry out in application:

a. Faculty Development \_\_\_\_\_

b. Funds and administrative management \_\_\_\_\_

c. Development and improvement of academic programs \_\_\_\_\_

d. Acquisition of equipment for use in strengthening management and academic programs \_\_\_\_\_

e. Joint use of facilities \_\_\_\_\_

f. Student Services \_\_\_\_\_

## Application Checklist

Use This Checklist While Preparing Your Application Package: All items listed on this checklist are required.

- SF 424 – Application for Federal Assistance
- Department of Education Supplemental Information Form for the SF 424
- Budget Narrative Attachment Form (ED Form 524) Sections A and B
- ED Abstract Form – Attach the one page abstract narrative here
- Project Narrative Attachment Form – Submit a single narrative document that addresses each proposed activity
- Other Attachments Form – Attach the Program Profile here
- Assurances and Certifications
  - Assurances – Non-Construction Programs (ED 424B)
  - Grants.gov Lobbying Form (Formerly ED Form 80-0013)
  - Disclosure of Lobbying Activities (SF LLL)
  - ED GEPA Section 427 Requirement
  - Survey on Ensuring Equal Opportunity for Applicants

### **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 **1840-0114**. The time required to complete this information collection is estimated to vary from 20 to 45 hours per response, with an average of 40 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Strengthening Institutions Program, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202-8510.