Application Package for
Historically Black Colleges and Universities (HBCU) and
Historically Black Graduate Institutions (HBGI) Programs

Estimated Public Reporting Burden

Dear Colleague:

This package contains the necessary forms and information to apply for a new grant under the Historically Black Colleges and Universities (HBCU) program, and the Historically Black Graduate Institutions (HBGI) program. The Title III, Part B programs provide financial assistance to establish or strengthen the academic resources, endowment building capacity, management capabilities and physical plants of historically Black colleges and universities and historically Black graduate institutions.

Institutions of higher education legally designated as a HBCU or HBGI are eligible to apply. Additional information and the regulations governing these programs can be accessed from the following Web site:

http://www2.ed.gov/about/offices/list/ope/idues/index.html

The specifics regarding this year's application procedures are contained in this application package. We encourage applicants to review the Key Application Highlights found in the application package for an overview of important items.

Please note there are two deadlines for submitting information. Phase I Formula Data must be submitted by INSERT DATE and Phase II, the Project Plan, must be submitted by INSERT DATE.

If you have any questions or require additional information, please contact Nalini Lamba-Nieves via email at: nalini.lamba-nieves@ed.gov or by phone at (202) 502-7562.

We appreciate your continued interest in and support of Title III, Part B Historically Black Colleges and Universities program and Historically Black Graduate Institutions program and look forward to receiving your application.

Sincerely,

Leonard Haynes, Ph.D.
Director
Institutional Service

INTRODUCTION
HISTORICALLY BLACK COLLEGES AND UNIVERSITIES PROGRAM AND HISTORICALLY BLACK GRADUATE INSTITUTIONS PROGRAM

PURPOSE

The HBCU program and the HBGI program authorized under Title III, Parts B and F of the Higher Education Act of 1965, as amended (HEA) provide financial assistance to establish or strengthen the academic resources, endowment building capacity, management capabilities and physical plants of historically Black colleges and universities.

ELIGIBLE APPLICANTS

Institutions of higher education legally designated as a Title III eligible historically Black college or university, or graduate institution or qualified graduate program are the only entities eligible to apply.

ACTIVITIES FUNDED UNDER THIS PROGRAM

HBCU grantees may use Title III, Part B funds to carry out the following activities:

- Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.
- Construction, maintenance, renovation, and improvement in classrooms, libraries, laboratories, and other instructional facilities, including purchase or rental of telecommunications and technology equipment or services.
- Support of faculty exchanges, faculty development, and faculty fellowships to assist in attaining advanced degrees in the field of instruction of the faculty.
- Academic instruction in disciplines in which Black Americans are underrepresented.
- Purchase of library books, periodicals, and other educational materials, including telecommunications program material.
- Tutoring, counseling, and student service programs designed to improve academic success.
- Funds management, administrative management, and acquisition of equipment for use in strengthening funds management.
- Joint use of facilities, such as laboratories and libraries.
- Establishing or improving a development office to strengthen or improve contributions from alumni and the private sector.

- Establishing or enhancing a program of teacher education designed to qualify students to teach in a public elementary or secondary school in the State that shall include, as part of such program, preparation for teacher certification.
- Establishing community outreach programs which will encourage elementary and secondary students to develop the academic skills and the interest to pursue postsecondary education.
- Establishing or improving an endowment fund.
- Acquisition of real property in connection with the construction, renovation, or addition to or improvement of campus facilities.
- Education or financial information designed to improve the financial literacy and economic literacy of students or the students' families, especially with regard to student indebtedness and student assistance programs Title IV of the HEA.
- Services necessary for the implementation of projects or activities that are described in the grant application and that are approved, in advance, by the Secretary, except that not more than two percent of the grant amount may be used for this purpose.
- Other activities proposed in the application that contribute to carrying out the purposes of the HBCU program and are approved by the Secretary.

HBCU grantees may use Title III, Part F funds (Student Aid and Fiscal Responsibility Act (SAFRA)) to carry out the following activities:

- Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes;
- Construction, maintenance, renovation, and improvement in classroom, library, laboratory, and other instructional facilities, including purchase or rental of telecommunications technology equipment or services;
- Academic instruction in disciplines in which Black Americans are underrepresented;
- Purchase of library books, periodicals, microfilm, and other educational materials, including telecommunications program materials;
- Establishing or enhancing a program of teacher education designed to qualify students to teach in a public elementary or secondary school in the State that shall include, as part of such program, preparation for teacher certification; and
- Other activities, consistent with the institution's comprehensive plan and designed to increase the institution's capacity to prepare students for careers in the physical or natural sciences, mathematics, computer science or information technology or sciences, engineering, language instruction in the less-commonly taught languages or international affairs, or nursing or allied health professions.

HBGI grantees may use Title III, Part B funds to carry out the following activities:

- Purchase, rental or lease of scientific or laboratory equipment for educational purposes, including instructional or research purposes;
- Construction, maintenance, renovation, and improvement in classroom, library, laboratory, and other instructional facilities, including purchase or rental of telecommunications technology equipment or services;
- Purchase of library books, periodicals, technical and other scientific journals, microfilm, microfiche, and other educational materials, including telecommunications program materials;
- Scholarships, fellowships, and other financial assistance for needy graduate and professional students to permit the enrollment of the students in and completion of the doctoral degree in medicine, dentistry, pharmacy, veterinary medicine, law, and the doctorate degree in the physical or natural sciences, engineering, mathematics, or other scientific disciplines in which African Americans are underrepresented;
- Establishing or improving a development office to strengthen and increase contributions from alumni and the private sector;
- Assisting in the establishment or maintenance of an institutional endowment to facilitate financial independence pursuant to section 331 of the HEA, as amended;
- Funds and administrative management, and the acquisition of equipment, including software, for use in strengthening funds management and management information systems;
- Acquisition of real property that is adjacent to the campus in connection with the construction, renovation, or addition to or improvement of campus facilities;
- Education or financial information designed to improve the financial literacy and economic literacy of students or the students' families, especially with regard to student indebtedness and student assistance programs under Title IV of the HEA;
- Services necessary for the implementation of projects or activities that are approved, in advance, by the Secretary, except that not more than two percent of the grant amount may be used for this purpose;
- Tutoring, counseling, and student service programs designed to improve academic success; and
- Other activities proposed in the application that contribute to carrying out the purposes of the HBGI program and are approved by the Secretary.

FY 20XX KEY APPLICATION HIGHLIGHTS

The Department of Education is conducting all competitions electronically. HBCUs and HBGIs should submit the institution's Phase I data via e-mail. Institutions may use digital signatures or, if not available, scan the Phase I data documents and send them as a PDF.

It is Department policy that all applications must be submitted using the Grants.gov system. The Grants.gov system is a government-wide application system. Therefore, you may see references to items that are not applicable to the HBCU and HBGI programs, such as: the Closing Date Notice (CDN); submitting applications by 4:30:00 pm; and submitting applications by mail. The HBCU program and the HBGI program do not publish a CDN. All application instructions are contained in this booklet. Your application must be submitted by the deadline date; however, HBCU and HBGI applications are not required to be in by 4:30:00 pm on the closing date. Lastly, all HBCU and HBGI applicants must submit their applications electronically. No paper application submissions will be accepted.

To read the Grants.gov registration and transmittal instructions, as well as submission tips, please refer to the instructions located after the Authorizing Legislation section of this booklet.

HBCUs:
- This application booklet should be used for new Title III, Part B HBCU and new Title III, Part F HBCU (SAFRA) applications.

HBGIs:
- The information that follows provides an explanation of the changes to the HEA made as a result of the Higher Education Opportunity Act of 2008 (HEOA) and the effect the changes will have on your fiscal year (FY) 20XX HBGI award.

  Section 311(c) of the HEOA of 2008 amends section 326 of the HEA to add six (6) institutions or qualified graduate programs (QGP) that are now eligible to receive funding under the HBGI program. The Funding Rule in section 326(f) of HEA was amended by section 311(d) of the HEOA, and reflects that the 18 HBGIs listed prior to the reauthorization of the HEA will continue to receive grants; however, the 6 new institutions will only receive funding if Congress appropriates funds above $56,900,000. Furthermore, any amount appropriated, in excess of $62,900,000, will be made available to the eligible institutions pursuant to a formula developed by the Secretary using the elements outlined in Section 326(3)(A) through (E) of the HEA. Lastly, section 311(e) of the HEOA amends the date of the Hold Harmless Rule in section 326(g) of the HEA and no institution or QGP that received a grant in FY 2008 and is eligible to receive a

grant in subsequent fiscal years, shall receive a grant that is less than the amount of their FY 2008 grant award.

AUTHORIZING LEGISLATION

Institutions submitting applications for a five year grant are required to submit a Comprehensive Development Plan (CDP) in accordance with Section 608.21 of the regulations for HBCUs and Section 609.21 for HBGIs. The CDP is a part of the Phase II Project Plan. The legislation and regulations governing the HBCU and HBGI programs can be accessed from the following Web sites:

Legislation

- HBCU: Higher Education Act of 1965, as amended; Strengthening Historically Black Colleges and Universities; Title III, Part B, Sections 321341; CFDA 84.031B.

- HBCU/HEA; Title III, Part F, Section 371 (Student Aid and Fiscal Responsibility Act (SAFRA) (P.L. 111-152)

- HBGI: Higher Education Act of 1965, as amended; Strengthening Historically Black Colleges and Universities; Title III, Part B, Section 326; CFDA 84.031B

- Higher Education Opportunity Act of 2008 (P.L. 110-315)

Regulations:

- HBCU--34 CFR Part 608

- HBGI—34 CFR Part 609

- HBCU and HBGI: Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 81, 82, 84, 85, 86, 97, 98, and 99

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.

ATTENTION – Adobe Forms and PDF Files Required
Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov. We strongly recommend that you review these details on www.Grants.gov before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Also, applicants are required to upload their attachments in .pdf format only. (See details below under "Attaching Files – Additional Tips.") If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

Also, applicants should be aware that on October 11, 2010, Grants.gov implemented a new security build which requires each organization's e-Biz POC (Point of Contact) update their Grants.gov registration. To complete this step, the e-Biz POC must have their DUNS number and CCR MPIN. We recommend this step be completed several days before application submission unless the e-Biz POC has already responded to this requirement. For more information on this topic, please visit this Grants.gov information link: http://www.grants.gov/securitycommebiz/.

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. [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 on the deadline date. While there is no 4:30:00 pm time deadline for HBCU and HBGI applicants, you must submit your applications by midnight on the deadline date.

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

3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov 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 received should be the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

   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/applicants/applicant_faqs.jsp#54. For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Error Messages document at http://www.grants.gov/assets/AdobeReaderErrorMessages.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 http://www.grants.gov/contactus/contactus.jsp, or use the customer support available on the Web site: http://www.grants.gov/applicants/applicant_help.jsp.

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 the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov.**

Please go to 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.

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 submitting your application early, to ensure it goes through the system.

MAC Users

For MAC compatibility information, review the Operating System Platform Compatibility Table at the following Grants.gov link: http://www.grants.gov/help/download_software.jsp. If electronic submission is required and you are concerned about your ability to submit electronically as a non-windows user, please contact Nalini Lamba-Nieves via email at: nalini.lamba-nieves@ed.gov or by phone at (202) 502-7562. You may also contact Karen W. Johnson, Team Leader, via email at: Karen.johnson@ed.gov or by phone at (202) 502-7642.

Attaching Files – Additional Tips

Please note the following tips related to attaching files to your application, especially the requirement that applicants **only include .pdf files** in their application:

1. Ensure that you attach *.**PDF files only** for any attachments to your application. PDF files are the only Education approved file type. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files. Any attachments uploaded that are not .PDF files or are password protected files will not be read. If you need assistance converting your files to a .pdf format, please refer to this Grants.gov webpage with links to conversion programs:
   http://www.grants.gov/help/download_software.jsp#pdf_conversion_programs

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

3. When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded files must be less than 50 characters, contain no spaces, no special characters (example: -, &, *, %, /, #, \) including periods (.), blank spaces and accent marks. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.

4. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

Grants.gov ORGANIZATION REGISTRATION INSTRUCTIONS

The following instructions provide registration guidance for a company, academic or research institution, state, local or tribal government, not-for-profit, or other type of organization. Registration is a one-time process that is required before representatives of an organization can submit grant application packages electronically through Grants.gov. **The registration process can take up to four weeks** depending on your organization and whether all steps are taken in a timely manner. For more information, visit http://www07.grants.gov/applicants/get_registered.jsp.

Note: If you are an individual applying for a grant on your own behalf and not on behalf of a company, academic or research institution, state, local or tribal government, not-for-profit, or other type of organization, visit http://www.grants.gov/applicants/individual_registration.jsp. If you apply as an individual to a grant designated for organizations, your application will be rejected.

STEP 1: OBTAIN DATA UNIVERSAL NUMBER SYSTEM (DUNS) NUMBER

WHY?
- The federal government has adopted the use of DUNS numbers to track how federal grant money is allocated. DUNS numbers identify your organization.

HOW?
- Ask the grant administrator, chief financial officer, or authorizing official of your organization to identify your DUNS number.
- If your organization does not know its DUNS number or needs to register for one, visit Dun & Bradstreet at http://fedgov.dnb.com/webform/displayHomePage.do.

TIME REQUIRED?
- Same day. You will receive DUNS number information online.

STEP 2: REGISTER WITH CENTRAL CONTRACTOR REGISTRATION (CCR)

WHY?
- Registering with the CCR is required for organizations to use Grants.gov.

HOW?
- Ask the grant administrator, chief financial officer, or authorizing official of your organization if your organization has registered with the CCR.
- If your organization is not registered, apply online at http://www.ccr.gov.

- When your organization registers with CCR, you must designate an E-Business Point of Contact (E-Biz POC). This person will identify a special password called an MPIN.
- This MPIN gives the E-Biz POC authority to designate which staff members from your organization are allowed to submit applications electronically through Grants.gov. These designated staff members are called Authorized Organization Representatives (AORs).

TIME REQUIRED?
- If your organization already has an Employment Identification Number (EIN) or Taxpayer Identification Number (TIN), allow one to three business days to complete the entire CCR registration.
- If your organization does not have an EIN or TIN, allow two weeks for obtaining the EIN or TIN from the Internal Revenue Service (IRS) if requested via phone or Internet.
- *Your organization needs to renew its CCR registration once a year, which may take up to five business days. You will not be able to move on to Step 3 until this step is completed.*

STEP 3: CREATE GRANTS.GOV USERNAME & PASSWORD

WHY?
- An AOR username and password serves as an "electronic signature" when submitting a Grants.gov application.

HOW?
- To create a username and password, AORs must complete a profile on Grants.gov (using their organization's DUNS number) at https://apply07.grants.gov/apply/OrcRegister.
- AORs must wait one business day after their organization registers with the CCR before creating a profile.

TIME REQUIRED?
- Same day. After the AOR has completed their profile they will be prompted to create a username and password that will allow the user to log in and check their approval status immediately.

STEP 4: AOR AUTHORIZATION

WHY?
- Only the E-Biz POC can approve AORs, who then have the ability to submit applications on behalf of the organization.

HOW?

- When an AOR registers with Grants.gov, that organization's E-Biz POC is notified by email.
- The E-Biz POC must then log in to Grants.gov (using the organization's DUNS number for the username and the MPIN password obtained in Step 2) and approve the AOR, thereby giving him or her permission to submit applications.
- When an E-Biz POC approves an AOR, Grants.gov will send the AOR a confirmation email.

TIME REQUIRED?

- This depends on how long it takes the E-Biz POC to log in and approve the AOR. Once the approval is completed, the AOR can immediately submit an application.

STEP 5: TRACK AOR STATUS

WHY?

- To verify that the organization's E-Biz POC has approved the AOR.

HOW?

- AORs can log in using their username and password (obtained in Step 3) to check if they have been approved by the E-Biz POC.

TIME REQUIRED?

- Logging in as an applicant is instantaneous. The approval process depends on how long it takes the E-Biz POC to log in and approve the AOR

APPLICATION SUBMISSION INSTRUCTIONS

ATTENTION ELECTRONIC APPLICANTS: Please note that you must follow the Application Procedures as described in the application booklet.

This program requires the electronic submission of applications; specific requirements can be found in the application booklet.

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 Grants.gov portal site (http://www.grants.gov) on or before the deadline date. Applications received by Grants.gov are date and time stamped.

Submission of Paper Applications by Mail:
If you qualify for an exception to the electronic submission requirement, you may submit your application in paper format by mail (through the U.S. Postal Service or a commercial carrier), you must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number **84.031B**)
LBJ Basement Level 1
400 Maryland Avenue, SW
Washington, DC 20202-4260

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

If you mail your application through the U.S. Postal Service, we do **not** accept either of the following as proof of mailing:
(1) A private metered postmark.
(2) A mail receipt that is not dated by the U.S. Postal Service.

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.

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 **84.031B**)
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 4:30:00 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; and
(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

SUPPLEMENTAL INFORMATION

1. Appendices to Applications
Please limit the appendices to the following:
        a. Curricula vitae of key personnel (project director and activities directors).
        b. Curricula position descriptions for positions proposed for the funding cycle.

2. Interim and Annual Performance Report Requirements
When you receive an initial grant award under Title III, Part B or Part F, you are required to submit an interim (first six months of your project) and annual performance reports for each year during the funding cycle (including any time extensions) using the IDUES Reporting System Annual Performance Reports for Title III and Title V Grantees. This online system collects narratives and data about funded projects to enable Department program officers to determine if a grantee is making substantial progress toward meeting approved project objectives. The annual performance report used for this program can be found at **https://apr.ed.gov.**

Contact Information:

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Or

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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**: Improve student achievement, with a focus on bringing all students to grade level in reading and mathematics by 2014.
> **Goal 2**: Increase the academic achievement of all high school students.
> **Goal 3**: Ensure the accessibility, affordability, and accountability of higher education and better prepare students and adults for employment and future learning.

What are the performance indicators for the Title III, Part B HBCU and HBGI programs?

The performance indicators for the Title III, Part B programs are part of the Department's plan for meeting Goal 3: Ensure the accessibility, affordability, and accountability of higher education, and better prepare students and adults for employment and future learning.

Program Goal: **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.**

GPRA—Program Goals

HBCU Program

Objective 1 of 3: Increase enrollments at historically Black colleges and universities (HBCU).
Measure 1.1 of 1: The percentage change, over the five-year grant period, of the number of full-time degree-seeking undergraduates enrolled at HBCUs.

Objective 2 of 3: Increase the persistence rate for students enrolled at HBCUs.
Measure 2.1 of 3: The percentage of first-time, full-time degree-seeking 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 HBCU.
Measure 2.2 of 3: The percentage of first-time, full time degree-seeking undergraduate students at four-year HBCUs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same HBCU.
Measure 2.3 of 3: The persistence rate of first-time, full time degree-seeking undergraduate students at two-year HBCUs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same HBCU.

Objective 3 of 3: Increase the graduation rate for students enrolled at HBCUs.
Measure 3.1 of 3: Federal cost per undergraduate and graduate degree at HBCUs.
Measure 3.2 of 3: The percentage of first-time, full-time degree-seeking undergraduate students enrolled at four-year HBCUs who graduate within six years of enrollment.
Measure 3.3 of 3: The percentage of first-time, full-time degree-seeking undergraduate students enrolled at two-year HBCUs who graduate within three years of enrollment.

HBGI Program

Objective 1 of 2: Increase enrollments at Historically Black Graduate Institutions (HBGI).
Measure 1.1 of 1: The percentage change, over the five-year grant period, of the number of full-time graduate students enrolled at HBGIs.

Objective 2 of 2: Increase the number of graduate degrees awarded at HBGIs.
Measure 2.1 of 2: Federal cost per graduate degree at HBGIs.
Measure 2.2 of 2: The number of Ph.D., first professional, and Master's degrees awarded at HGBIs.

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 plan can be viewed at
U.S. Department of Education FY 2010 Annual Performance Report:
http://www2.ed.gov/about/reports/annual/2010report/fy2010-apr.pdf

HBCU:
http://www2.ed.gov/about/reports/annual/2010plan/g3aidhbcu.doc

HBGI:
http://www2.ed.gov/about/reports/annual/2010plan/g3aidblkgrad.doc

HBCU and HBGI
PHASE I Formula Data

HBCU PHASE I FORMULA GRANT DATA

HISTORICALLY BLACK COLLEGES AND UNIVERSITIES PROGRAM
FY 20XX FORMULA GRANT DATA WORKSHEET

In order for the Department to determine the level of funding for an institution, the information below is required. Refer to Section 608.31 of the program regulations for additional information.

NOTE: This form must be submitted as part of your initial application as well as annually during your approved project period.   *Be sure to use this form and this form <u>only</u> when submitting your Phase I data. The Department will not accept any other versions of this form. These data will be used to formulate your FY 20XX Title III, Part B HBCU and Title III, Part F HBCU (SAFRA) award allocations.*

NAME OF INSTITUTION**:**

_____

CITY: _____ STATE: _____

YEAR OF GRADUATION FROM UNDERGRADUATE SCHOOL	TOTAL NUMBER OF GRADUATES IN THE UNDERGRADUATE CLASS	STUDENTS ADMITTED TO AND IN ATTENDANCE AT A GRADUATE OR PROFESSIONAL SCHOOL IN A DEGREE PROGRAM IN DISCIPLINES IN WHICH BLACKS ARE UNDERREPRESENTED
(A)	**(B)**	**(C)**
Year 1 – 2006		
Year 2 – 2007		
Year 3 – 2008		
Year 4 – 2009		
Year 5 – 2010		
TOTALS		

1. Enter the total for column B in item 3 below.
2. Enter the total for column C in item 4 below.
3. Please review Section 608.31 of the HBCU regulations for information required in columns B and C.

HBCU PHASE I FORMULA GRANT DATA

1. Number of Pell Grant recipients attending the applicant institution during the school year immediately preceding the beginning of the fiscal year in which the applicant applies for a grant. (July 1, 2009 – June 30, 2010)

_____ (1)

2. Number of graduates of the applicant institution during the school year immediately preceding the beginning of the fiscal year in which the applicant applies for a grant. Enter the total from Year 5, Column B. (July 1, 2009 – June 30, 2010). 34 CFR Section 608.4 defines "graduates" as a student who has attended an institution for at least three semesters and fulfilled academic requirements for undergraduate studies in not more than five consecutive school years.

_____ (2)

3. Enter the total from Column B, Years 1-5 (July 1, 2006 – June 30, 2010).

_____ (3)

4. Enter the total from Column C (Total for July 1, 2006– June 30, 2010). Do not count a student attending graduate school for more than one reporting year.

_____ **(4)**

PLEASE USE THE FORMULA ABOVE TO CALCULATE THE TOTALS FOR ITEMS 3 AND 4. AS A CHECKPOINT, THE TOTAL IN ITEM 3 SHOULD BE LARGER THAN THE TOTAL IN ITEM 4. SEE SECTION 608.31(B) (1).

I attest to the accuracy of the data provided.

President's Name (typed): _____

President's Signature: _____

Dated:

HBGI PHASE I FORMULA DATA

HISTORICALLY BLACK GRADUATE INSTITUTIONS PROGRAM
FY 20XX FORMULA GRANT WORKSHEET

Section 326 (f) of the Higher Education Act of 1965, as amended, requires that HBGI annual appropriations in excess of $62,900,000 be allocated according to a formula comprised of five elements. The five elements of the formula, as stated in the law, with instructions for completing the data form are identified below.

Formula Element A. "The ability of the institution to match Federal funds with non-Federal funds."

Formula Element B. "The number of students enrolled in the programs for which the eligible institution received funding under this section in the previous year."

Provide the number of students enrolled (fall full-time equivalent enrollment) in the qualified graduate program (QGP) at your eligible HBGI which received funding under Section 326 in the previous year. Also provide the name of the QGP in which the students were enrolled for the previous year.

Formula Element C. "The average cost of education per student, for all full-time graduate or professional students (or the equivalent) enrolled in the eligible professional or graduate school, or for doctoral students enrolled in the qualified graduate programs."

Provide the average cost of education per student, for all full-time graduate or professional students (or equivalent) enrolled in the eligible professional or graduate school, or for doctoral students enrolled in the qualified graduate programs.

NOTE: The average cost of education for each qualified graduate program should include the following elements: instruction, research, public service, academic support (including library expenditures), student services, institutional support, scholarships and fellowships, operation and maintenance of physical plant, and any mandatory transfers that the institution is required to pay by law that are related to the institution's qualified graduate programs. Please explain the methodology used for arriving at the average cost of education for your institution's qualified graduate programs.

Formula Element D. "The number of students in the previous year who received their first professional or doctoral degree from the programs for which the eligible institution received funding under this section in the previous year."

Provide the number of students in the previous academic year (20XX-XX) that received their first professional or doctoral degree from the programs for which the eligible institution received funding under Section 326 in the previous year.

Formula Element E. "The contribution, on a percent basis, of the programs for which the institution is eligible to receive funds under this section to the total number of African Americans receiving graduate or professional degrees in the professions or disciplines related to the programs for the previous year."

List each QGP for which your institution awarded graduate or professional degrees in the previous year. For each of these QGPs, provide the total number of African American graduates of these programs by degree level (masters, first professional, or doctorate).

DATA COLLECTION FOR FORMULA TO ALLOCATE EXCESS HBGI GRANT AWARD FUNDS UNDER SECTION 326 (f) "FUNDING RULE"

NOTE: This data must be submitted as part of your initial application as well as annually during your approved project period. The deadline date for submitting the data for FY 20XX is INSERT DATE.

Name of Institution: _____
State: _____

1. Formula Element A – Ability to Match

Has your institution matched HBGI funds prior to the past five years?
Circle one: YES   NO

If NO, has your institution matched Federal grant funds under some other Federal program in the past five years?
Circle one: YES   NO

If YES, please provide the name of the Federal program and the amount of the institution's matching contribution under that program and the year of the match.

Name of Program: _____
Amount: $ _____   Year: _____

2. Formula Element B - Student Enrollment

Name of QGP	**Number of Students**
_____	_____
_____	_____
_____	_____
_____	_____

3. Formula Element C - Average Cost of Education

Average Cost of Education Per Student: $ _____

4. Formula Element D – Graduates - Professional Programs

No. of Students	**Professional\Doctoral Degree Program**
_____	_____
_____	_____
_____	_____

5. Formula Element E – Graduates – African Americans

QGP	Type of Degree	Total # of Graduates	Total # of African Amer. Graduates
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
4. _____	_____	_____	_____

I attest to the accuracy of the data provided.

President's Name (typed): _____

President's Signature: _____

Dated:

HBCU and HBGI Phase II
The Project Plan

Phase II: The Project Plan

Phase II, the Project Plan is a compilation of the Comprehensive Development Plan (CDP), activity abstracts, activity budgets and budget narratives, summary budget, and all applicable forms and certifications. Below is a checklist to help you in the submission process.

Applicant Checklist

Use This Checklist While Preparing Your Application Package.
All items listed on this checklist are required, except as noted.

___ Application for Federal Assistance (SF424)

___ Department of Education Supplemental Information for SF424

___ Department of Education Budget Information Non-Construction Programs Form – Sections A & B (ED524)

___ Abstract (Use ED Abstract Form)

___ Budget Narrative (Use Budget Narrative Attachment Form)

___ Project Narrative (Use Project Narrative Attachment Form)

> **Note: Have you addressed all application requirements for the Comprehensive Development Plan?**

___ Other Attachments (Curricula vitae of key personnel (project director and activities directors) and curricula position descriptions for positions proposed for the funding cycle.) (Use Other Attachments Form)

___ Narrative addressing GEPA Section 427

___ Assurances and Certifications

    ___ Assurances for Non-Construction Programs (SF424B)

    ___ Lobbying Disclosure Form (SF LLL) (if applicable; refer to instructions)

    ___ Certification Regarding Lobbying (ED 80-0013)

    ___ Survey on Ensuring Equal Opportunity for Applicants

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

Attachments must be submitted in .pdf format.

GUIDANCE FOR PHASE II - THE PROJECT PLAN

Developing the Comprehensive Development Plan

The Secretary evaluates an application on the basis of the applicant's response to the elements of the Comprehensive Development Plan (CDP) as defined in 34 CFR 608.21 and 609.21.

To facilitate the review of the application, applicants must address the following:

The CDP must describe an institution's strategy for achieving growth and self-sufficiency by strengthening its financial management and academic programs.

Elements of the CDP are as follows:

1. An assessment of the strengths and weaknesses of the institution's financial management and academic programs. Here is where you want to describe the institution's current state, identifying more than the strengths and weaknesses to be addressed by Title III B, but also present a comprehensive picture that describes the mission goals and objectives (short and long-term) that can be used to highlight the institution.

2. A delineation of the institution's goals for its financial management and academic programs, based on the outcomes of the assessments of these areas for which Title III funds will be used;

3. A listing of measurable objectives, with accompanying timeframes, designed to assist the institution to reach each goal for which Title III funds will be used for achieving the objectives; and,

4. A description of methods, procedures and processes that will be used by the college or university to institutionalize financial management and academic program practices and improvements developed under the proposed funded activities.

Suggested Outline for Developing the CDP

Introduction/Institutional Overview – the introduction should describe the institution's challenges and opportunities, and the institutional overview should address the history and mission, academic programs offered and areas of strength, enrollment data and student profile, graduation rates, and graduate school/professional school placement success.

Summary of the Institution's Planning Process – identify major institutional priorities.

Overview of Current Long-range Plan – describe major emphases and goals for the current planning period.

CDP Focus – describe areas targeted for improvement; list goals related to improve academic quality, fiscal stability, institutional management, and student services; summary of activities to address CDP goals; and CDP assessment strategies.

Conclusion – provide information addressing institutionalization as required by element 4 and relevant supporting documentation.

Suggested Outline for Developing the Project Plan:

The CDP should be used to guide the formation of the **Project Plan**. Separately, and for <u>each</u> proposed activity you must:

PROVIDE AN ABSTRACT OF THE ACTIVITY – Provide a brief (one paragraph) description of the proposed activity. Each activity must be titled using the most relevant title from the list of allowable activities authorized in the program regulations (34 CFR Section 608.10 for the HBCU program and 34 CFR Section 609.10 for the HBGI program). In brief detail, describe the purpose of each activity. A comprehensive Project Plan should include <u>Project Administration</u> as one of its proposed activities.

DESCRIBE AND DEFINE OBJECTIVES AND PERFORMANCE INDICATORS FOR EACH PROPOSED ACTIVITY - For each proposed activity, applicants must state their annual objectives, which, when combined with their performance indicators, are measurable and realistic (not too high, not too low). Connect each activity to the problem or weakness it should address and to the legislatively allowable activities (LAAs). List only the objectives that an activity is designed to accomplish. Describe the objectives in outcome-oriented, measurable terms (i.e. provide/establish baseline data, goal for that fiscal year—in number or percentage—, date by which you expect it to be completed, etc.). Objectives should be updated for each year in which funds are requested.

DESCRIBE THE IMPLEMENTATION STRATEGY AND TIMETABLE FOR EACH PROPOSED ACTIVITY – For each proposed activity, describe, in a comprehensive manner, who will do what, how, and when it will be done to meet the objectives of each activity.

PROVIDE AN INDIVIDUAL ACTIVITY BUDGET & NARRATIVE – For each proposed activity, applicants must prepare a separate, detailed itemized budget (in dollars) and a budget narrative 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.

Note: You must provide details so that we can determine if the costs are allowable, necessary and reasonable. Do not include a budget narrative (as a separate activity) for endowment investing. Requests for endowments investing should go under the "Other" category.

COMPLETE A BUDGET SUMMARY (ED 524) FORM – For each proposed project year, provide an itemized budget for each of the five years of the project. Applicants need only to provide a detailed budget narrative and justification for the first (initial) year of their proposed five-year project.

INTEGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS EXECUTIVE ORDER 12372

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

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

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

http://www.whitehouse.gov/omb/grants/spoc.pdf

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

Proof of mailing will be determined on the same basis as applications (see 34 CFR §75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (eastern time) on the closing date indicated in this notice.

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

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 <u>not</u> sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers.

<u>NOTE:</u>

Applicants for new awards must include information in their applications to address this provision in order to receive funding under this program.