

U.S. DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Washington, DC 20006-8515



Fiscal Year XXXX

**APPLICATION FOR GRANTS UNDER THE
PREDOMINANTLY BLACK INSTITUTIONS PROGRAM
(CFDA NUMBER: 84.382A)**

Form Approved

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CLOSING DATE: XXXX

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[Insert Date]

Dear Applicant:

Thank you for your interest in applying for a grant under the Predominantly Black Institutions (PBI) program. This letter and the “Competition Highlights” section note some of the requirements for applying for a grant under the fiscal year (FY) XXXX competition. You should review the entire application package carefully before preparing and submitting your application.

The PBI program is authorized under Title III, Part F, Section 371 of the Higher Education Act of 1965 (HEA), as amended. This program supports the strengthening of PBIs to carry out programs in the following areas: science, technology, engineering, or mathematics (STEM); health education; internationalization or globalization; teacher preparation; or improving educational outcomes of African American males.

This letter highlights a few items in the FY XXXX application package that will be important to you in applying for a grant under this program. Information on the PBI program is accessible at the program website at:

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

The Department of Education (the Department) is requiring that applications for FY XXXX grants under the PBI program be submitted electronically using the Government wide Grants.gov Apply site at www.Grants.gov. You are urged to acquaint yourself with the requirements of Grants.gov early. A more thorough discussion is included in this package.

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 the size of your application and the speed of your Internet connection. The application submission process must be completed prior to the deadline for transmittal of applications.

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 XXXX published in the Federal Register. The document published in the Federal Register (the Closing Date Notice) is the official document, and you should not rely upon any information that is inconsistent with the guidance contained within the official document.

Finally, we would like to share with you the importance of ensuring that your application includes a strong evaluation plan and that you provide baseline data for each performance measure. 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 measures for the PBI program. 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 and milestones 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 the Project Narrative section of this application regarding the development of your evaluation activity. A technical assistance workshop was held to help grantees design and implement strong evaluations. This workshop emphasized the need for developing strong project-level performance objectives and measures that capture the impact of the activities grantees pursue toward their project goals. The Department is committed to helping grantees use data to achieve their goals and, in turn, the goals of the PBI program.

If you have questions, please contact [insert contact name] at [insert email address] or by telephone at [insert telephone number].

We look forward to receiving your application and appreciate your efforts to strengthen your institution.

Sincerely,

Lynn B. Mahaffie
Acting Deputy Assistant Secretary
Higher Education Programs

COMPETITION HIGHLIGHTS

1. Electronic submission of applications through Grants.gov is required; therefore, you must submit an electronic application unless you follow the procedures outlined in the Federal Register notice inviting applications for new awards (the Closing Date Notice) for FY XXXX and qualify for one of the exceptions to the electronic submission requirement. If you think you may need an exception, you are urged to review the requirement promptly.
2. You are urged to acquaint yourself with the requirements of Grants.gov early. A more thorough discussion is included later in this application package. Grants.gov is accessible through its portal page at:

www.Grants.gov

3. The application must be received on or before the deadline date and time. Late applications will not be accepted. **We suggest that you submit your application several days before the deadline.** The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date.
4. Please review and familiarize yourself with the program authorizing legislation. The authorizing legislation will be found in this package.
5. New awards under the Predominantly Black Institutions (PBI) program will be awarded on a competitive basis.
6. 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.
7. In the Program Profile page, you will be required to provide the Department with documentation the institution relied upon in determining that at least 40 percent of the institution's undergraduate unduplicated enrollment are Black and at least 50 percent of the enrolled undergraduate are low-income individuals. The Department will cross-reference, for verification, data reported to the Integrated Postsecondary Education Data System (IPEDS), the institution's state reported enrollment data, and the institutional annual report. If there are any differences in the percentages reported to the above references, the institution should justify the differences as a part of their eligibility documentation. When providing eligibility documentation to support your PBI assurances, please note that the Department does not consider a replication of the instructions sufficient justification. If the Department receives a replica of the instructions and/or cannot validate assurances, the application will be deemed ineligible.
8. All applicants are required to adhere to the page limit for the Program Narrative portion of the application. You must limit the section of the narrative that addresses the selection criteria to no more than 40 pages.

INTRODUCTION

PREDOMINANTLY BLACK INSTITUTIONS PROGRAM

AUTHORIZATION

Title III, Part F, Section 371 of the Higher Education Act of 1965, as amended (HEA).

PROGRAM REGULATIONS

Education Department General Administrative Regulations (EDGAR) 34 CFR parts 74, 75, 77, 79, 81, 82, 85, 86, 97, 98, and 99.

PURPOSE

The purpose of the Predominantly Black Institutions (PBI) program is to strengthen predominantly Black institutions to carry out programs in the following areas: science, technology, engineering, or mathematics (STEM); health education; internationalization or globalization; teacher preparation; or improving educational outcomes of African American males.

ELIGIBLE APPLICANTS

To receive a grant under this program, institutions of higher education (IHE) must meet the following conditions:

- (A) Have an enrollment of needy students as defined by Title III, Part F, Section 371 of the HEA, as amended by the College Cost Reduction and Access Act of 2007.
- (B) Have an average educational and general expenditure which is low, per full-time equivalent undergraduate student in comparison with the average educational and general expenditure per full-time equivalent undergraduate student of institutions of higher education that offer similar instruction, except that the Secretary may apply the waiver requirements described in section 392(b) to this subparagraph in the same manner as the Secretary applies the waiver requirements to section 312(b)(1)(B);
- (C) Have an enrollment of undergraduate students—
 - (i) that is at least 40 percent Black American students;
 - (ii) that is at least 1,000 undergraduate students;
 - (iii) of which not less than 50 percent of the undergraduate students enrolled at the institution are low-income individuals or first-generation college students (as that term is defined in section 402A(g)); and
 - (iv) of which not less than 50 percent of the undergraduate students are enrolled in an educational program leading to a bachelor's or associate's degree that the institution is licensed to award by the State in which the institution is located;
- (D) Is legally authorized to provide, and provides within the State, an educational program within the State, an educational program for which the institution of

higher education awards a bachelor's degree, or in the case of a junior or community college, an associate's degree;

- (E) Is accredited by a nationally recognized accrediting agency or association determined by the Secretary to be a reliable authority as to the quality of training offered, or is, according to such an agency or association making reasonable progress toward accreditation; and
- (F) Is not receiving assistance under Part B of Title III of the HEA.

ALLOWABLE ACTIVITIES

Institutions may use Federal funds to establish or strengthen programs in the following areas:

1. Science, technology, engineering, or mathematics (STEM);
2. Health education;
3. Internationalization or globalization;
4. Teacher preparation; or
5. Improving educational outcomes of African American males.

SUPPLEMENTAL INFORMATION

The following information supplements the information provided in the "Dear Applicant" letter and the Federal Register Notice.

1. Certification of PBI Eligibility

All applicant institutions under the Predominantly Black Institutions (PBI) program must submit the Program Profile Sheet, which requires data enrollment that certifies their eligibility to be considered for funding.

2. Estimated Funding and Project Period

Estimated Available Funds for FY 2011: \$15,000,000

Estimated Size of Awards: \$600,000 per year

Estimated Number of New Awards: 25

Project Period for New Awards: Up to 48 months

The U.S. Department of Education is not bound by these estimates.

3. Intergovernmental Review of Federal Programs - Executive Order 12372

Intergovernmental Review of Federal Programs was issued to foster an intergovernmental partnership and to 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.pdf>.

4. Appendices to Applications

Please limit the appendices to the following:

a. Curricula vitae of key personnel; including the U.S.-based project personnel and the overseas center personnel; language program staff; biographical information for consultants, evaluators, and other persons who are vital to the proposed project.

b. Position descriptions for positions proposed for the funding cycle.

c. The Program Profile sheet must be signed by the authorized representative of the applicant, ensuring that the institution meets the PBI provisions specified under Title III, Part F, Section 371 of the HEA.

5. Evaluation of Applications

Panels of three non-Federal reviewers will evaluate assigned applications. Each reviewer assigns points for each selection criterion and prepares evaluation comments.

6. Selection Criteria

The selection criteria in EDGAR 34 CFR Part 75, sections 75.209(a) and 75.210 are used to evaluate applications. The selection criteria and maximum possible points are included in the Notice.

7. Notice to Successful Applicants

The Department’s Office of Legislation and Congressional Affairs will inform the Congress regarding applications approved for new PBI program grants. Successful applicants will receive official Grant Award Notices (GAN) by mail shortly after the Congress is notified. No funding information will be released before the Congress is notified.

8. Notice to Unsuccessful Applicants

Unsuccessful applicants will be notified in writing following the notice to successful applicants.

9. Reporting Requirements

If you receive a new grant award under the PBI program, you will be required to complete an interim performance report after the initial six months into the grant period, an annual performance report, and a final performance report at the end of the project grant period.

10. Contact Information

For PBI program-related questions and assistance, please contact:

Bernadette D. Miles, Program Officer at (202) 502-7616 or via e-mail at: bernadette.miles@ed.gov .

For Grants.gov related questions and assistance, please contact:

Support Desk: Grants.gov Contact Center

Telephone or Email: 1-800-518-4726 or support@grants.gov

Also, refer to “Grants.gov Submission Procedures and Tips for Applicants” found in this application booklet.

AUTHORIZING LEGISLATION

The Predominantly Black Institutions (PBI) program is authorized under Title III, Part F, Section 371 of the Higher Education Act of 1965, as amended. Legislation governing the PBI program can be accessed from the following Web site:

<http://www2.ed.gov/programs/pbi/legislation.html>

Executive Order 12372 (INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS)

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, S.W. , 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 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.

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 Predominantly Black Institutions (PBI) Competitive grant program?

The performance indicators for the PBI program are part of the Department's plan for meeting Goal 3.

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.

- The percentage change of the number of full-time degree-granting undergraduate students enrolled at PBIs.

- The percentage of first-time, full-time, degree-seeking undergraduate students at four-year PBIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same four-year PBI.
- The percentage of first-time, full-time, degree-seeking undergraduate students at two-year PBIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same two-year PBI.
- The percentage of first-time, full-time, degree-seeking undergraduate students enrolled at four-year PBIs who graduate within six years of enrollment.
- The percentage of first-time, full-time, degree-seeking undergraduate students enrolled at two-year PBIs who graduate within three years of enrollment.

Efficiency measure: Federal cost per undergraduate at PBIs.

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.

PREDOMINANTLY BLACK INSTITUTIONS PROGRAM PROFILE

INSTRUCTIONS: *ALL applicants must complete this page. DO NOT MODIFY OR AMEND THIS PAGE.*

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. PREDOMINANTLY BLACK INSTITUTIONS PROGRAM CERTIFICATION:

• **By checking this box (or placing an "X" beside it),** the applicant certifies pursuant to the statutory requirements governing the Predominantly Black Institutions Program, authorized under Title III, Part F, Section 371 of the Higher Education Act of 1965, as amended, that: it has an enrollment of financially needy undergraduate students; and enrollment of undergraduate students at least 40% of whom are Black; and, has at least 1,000 undergraduate students of whom not less than 50% enrolled at the institution are low-income or first generation and registered in a BA or AA program leading to a degree.

Total undergraduate unduplicated enrollment 2008 - 2009: _____

Black American undergraduate unduplicated enrollment: # _____ %

Low-income or first generation: # _____ %

Registered in a BA or AA program: # _____ %

Authorized Representative

Name:

Date:

Telephone:

APPLICATION CHECKLIST

Before you submit the application package, please review the following list to ensure that you have attached all required materials/files in the prescribed format.

- Part I: Application for Federal Assistance – SF 424
Department of Education Supplemental Information Form for
SF 424
- Part II: Department of Education Budget Summary Form – ED 524
Sections A & B
- Part III: Project Abstract
Project Narrative
Budget Narrative
 Other Attachments
- Curricula vitae
 - Position descriptions
 - Program profile form
- Part IV: Assurances, Certifications, and Survey Forms
- GEPA Section 427
 - Assurances – Non-Construction Programs (SF424B)
 - Survey of Ensuring Equal Opportunity for Applicants
 - Disclosure of Lobbying Activities (SF-LLL)

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. Public reporting burden for this collection of information is estimated to average 35 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Higher Education Opportunity Act (HEOA) of 2008). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email ICDocketMgr@ed.gov and reference the OMB Control Number 1840-0797. Note: Please do not return the completed Predominantly Black Institutions application to this address.