

**U.S. DEPARTMENT OF EDUCATION**  
Washington, DC 20202



## **Eligibility 2023**

For FY23 Grant Applications

**Application Package to Request  
Designation as an Eligible Institution  
Under the Following Titles III, V, and VII Programs:**

- Strengthening Institutions Program (SIP)
- Alaska Native and Native Hawaiian-Serving Institutions (ANNH) Program
- Native American-Serving Nontribal Institutions (NASNTI) Program
- Developing Hispanic-Serving Institutions (HSI) Program
- Hispanic-Serving Institutions STEM and Articulation (HSI STEM) Program
- Promoting Post-baccalaureate Opportunities for Hispanic Americans (PPOHA) Program
- Asian American and Native American Pacific Islander-Serving (AANAPISI) Program
- Predominantly Black Institutions (PBI) Program
- Waiver of the Non-Federal Cost-Share Requirement

**CLOSING DATE:**

**January XX, 2023 for Eligibility Designation  
and  
Non-Federal Cost-Share Waiver**

**CFDA Number: 84.031  
OMB Number: 1840-0103, ED Form 1049**

**Expires:**

**XX/XX/XXXX**

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## Dear Applicant:

We are pleased to provide the application package for the FY 2023 Designation as an Eligible Institution under the following Titles III, V, and VII programs of the Higher Education Act of 1965, as amended.

- STRENGTHENING INSTITUTIONS PROGRAM (SIP)
- ALASKA NATIVE AND NATIVE HAWAIIAN-SERVING INSTITUTIONS (ANNH) PROGRAM
- NATIVE AMERICAN-SERVING NONTRIBAL INSTITUTIONS (NASNTI) PROGRAM
- DEVELOPING HISPANIC-SERVING INSTITUTIONS (HSI) PROGRAM
- HISPANIC-SERVING INSTITUTIONS STEM and ARTICULATION (HSI STEM) PROGRAM
- PROMOTING POSTBACCALAUREATE OPPORTUNITIES FOR HISPANIC AMERICANS (PPOHA) PROGRAM
- ASIAN AMERICAN AND NATIVE AMERICAN PACIFIC ISLANDER-SERVING INSTITUTIONS (AANAPISI) PROGRAM
- PREDOMINANTLY BLACK INSTITUTIONS (PBI) PROGRAM

The purpose of the Titles III, V, and VII programs is to provide funds to eligible institutions of higher education to increase their self-sufficiency by improving their academic programs, institutional management, and fiscal stability.

Beginning December XX, 2022, an institution of higher education (IHE) will be able to review its eligibility for grants under the above programs directly by examining its entry in the Eligibility Matrix (EM) data system. The EM is a list of all potentially eligible postsecondary institutions. Based on data submitted by the institutions to the Integrated Postsecondary Education Data System (IPEDS) for the 2020-21 academic year, the Department of Education will use enrollment and fiscal data to compute an eligibility determination for grant applications in FY23. You will be able to check your eligibility in the EM data system before you begin an application for eligibility. If the EM shows your institution meets the requirements, you will not have to complete an application for eligibility and you may print out the eligibility letter immediately.

Eligibility designation qualifies an institution of higher education (IHE) to apply for grants under one or more of the above Titles III, V, and VII programs, provided the institution meets certain additional program-specific eligibility requirements.

If your IHE has been determined to require a waiver, or if you choose to provide alternate data to substantiate a claim of eligibility, you will be able to enter an application to apply for the waiver option appropriate to your institution.

In addition, this application package may be used by IHEs to apply for a waiver of certain non-Federal cost-share requirements under the following programs:

- FEDERAL WORK-STUDY (FWS) PROGRAM
- FEDERAL SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANTS (FSEOG) PROGRAM

- TRIO STUDENT SUPPORT SERVICES (SSS) PROGRAM
- UNDERGRADUATE INTERNATIONAL STUDIES AND FOREIGN LANGUAGE (UISFL) PROGRAM

Branch campuses are not included in the EM, but can apply for eligibility if they meet the requirements for being an eligible branch campus. If your institution only grants degrees in vocational-religious areas or programs, your institution is not eligible for Titles III, V, or VII grants but may be eligible to apply for a waiver of certain non-Federal cost-share requirements. If your institution's status has recently changed, please contact Jason Cottrell at 202-453-7530 or [Jason.cottrell@ed.gov](mailto:Jason.cottrell@ed.gov).

Read this package in its entirety before you begin to complete the application. It is essential that you provide sufficient responses to all applicable questions and enter the correct data throughout the application. To best support your claims, please provide supporting documentation whenever possible.

- All institutions interested in applying for a new FY23 Titles III, V, or VII grants and/or the non-Federal Cost-Share Waiver **MUST** have provided the required data into the Integrated Postsecondary Education Data System (IPEDS) database for the academic year immediately preceding the most recent complete academic year. For FY23, which corresponds to the academic year 2023-24, the data are based on the academic year immediately preceding academic year 2021-22 (most recently complete), academic year 2020-21.
- The determination of your institution's low-income student levels will be made with data provided by the Federal Student Aid database. The term "low income individual" means an individual from a family whose taxable income for the preceding year did not exceed 150 percent of an amount equal to the poverty level established by the U.S. Census Bureau.
- Your institution must be designated as an eligible institution each year that you wish to apply for a new grant award even if (a) you have a currently active grant and/or (b) Titles III, V, and VII grants, in subsequent fiscal years, are made by funding down a slate from a previous competition. **Institutions should confirm in the EM data system and apply (if not predetermined eligible) for eligibility annually.**
- IHEs currently receiving Titles III, V, or VII funds do not need to have a designation of eligibility unless they intend to apply for a new grant. IHEs designated as Historically Black Colleges and Universities or Tribally Controlled Colleges and Universities are exempt from the non-Federal cost-share match requirement and do not need to apply for eligibility designation.
- If you are a current Titles III, V, or VII grant recipient or are awarded a Titles III, V, or VII grant, the non-Federal cost-sharing is waived for FWS and FSEOG for the duration of the grant.
- **Only the main institution may receive the waiver of the non-Federal cost-share requirements for FWS and FSEOG. Branch campuses are ineligible to receive this waiver. The waiver is effective for one year.** If you have questions, contact 1-800-848-0978 or [CODSupport@ed.gov](mailto:CODSupport@ed.gov).
- If you receive a grant from the UISFL or SSS program, you may receive a waiver or reduction of the required non-Federal share for institutions for the duration of the grant.

All applications (including those for a waiver) must be submitted electronically. The deadline is January XX, 2023.

Once you submit your eligibility application online, save and print a copy for your records. If you receive a letter of eligibility, save and print a copy for your records.

If you need further assistance, contact us at the telephone numbers or e-mail addresses cited in this application package.

Sincerely,

Beatriz Ceja-Williams  
Senior Director  
Institutional Programs

## ELIGIBILITY HIGHLIGHTS

- If your institution's legal name has changed notify Jason Cottrell. This **MUST** be done in writing prior to applying for eligibility designation. The eligibility staff's contact information can be found on page 6.
- You must submit data to the IPEDS and FSA databases in your institution's legal name. If you are planning to submit an application for new funds, the eligibility application **and** the application for funding **MUST** be in the same name or your application for funding will be rejected.
- To check your institution's eligibility in the EM data system, visit <https://HEPIS.ed.gov/>.
  - Log into the system using your email address and password.
    - If you're not sure whether you have an account in the system or not, click the "New User" button on the home page. If you have an account, it will walk you through set up. If not, it will take you to a new account request form. Note that it may take up to five business days to verify user identity and to complete new account setup, so please allow yourself enough time.
  - If it's your first-time logging into the new system, set up your "Two Factor Authentication" method.
    - Two Factor Authentication provides an added layer of security and is now required on all Department of Education websites. You may set up authentication via a smart phone app, a text message, or a voice phone call. The website will walk you through this process.
  - If the Grant Eligibility Application (GEA) system is open, click the link on your dashboard to check your institution's eligibility status.
    - If the system is not open, the opening date will be displayed on your dashboard.
- Click the "View Pre-Eligibility Information" button. Your institution's eligibility information will display.
  - If your institution meets the "needy student" and "core expenses" requirements, you will be able to view and print your letter by clicking the "View/Print Your Eligibility Letter" button. You do not need to complete an application. The Titles III, V, and VII programs for which your institution is eligible to apply are listed at the bottom of the page.
  - If your institution does not meet the "needy student" and/or "core expenses" requirements, you will be able to enter an application and/or apply for a waiver.
- Click the "Start Eligibility Application" button and complete the fields displayed on the form. The Titles III, V, and VII programs for which your institution is potentially eligible to apply if the waiver is approved are listed at the bottom of the page.
- You will need to know your institution's unique 8-digit identifier, referred to as the Office of Postsecondary Education Identification (OPEID) number, in order to apply for a waiver.
- It is the applicant's responsibility to upload ALL supporting documentation at the time of submission. Supporting documentation is used to verify your claims for the waiver.

- You are responsible for verifying the accuracy and completeness of the data you submit. We are unable to notify institutions of errors or missing data.
- You must click SUBMIT to officially upload your application.
- Eligible institutions may view and print their letters upon submission. Institutions that applied for a waiver, may view their letter after the date displayed on the submission confirmation page.
- The Department will not mail letters to applicants.
- Applications must be submitted by 11:59 p.m. Washington, DC time on the closing date for waivers, January XX, 2023, with all supporting documentation.

## **BEFORE YOU GET STARTED**

READ THIS ENTIRE APPLICATION BOOKLET AND COLLECT THE REQUIRED DATA BEFORE YOU ATTEMPT TO COMPLETE THE APPLICATION ONLINE. This application package may be obtained on the Help page at the following website:

<https://HEPIS.ed.gov>

For any questions regarding the Eligibility application, you may contact the individual listed below:

[Jason.Cottrell@ed.gov](mailto:Jason.Cottrell@ed.gov) or 202-453-7530

Throughout this application package we refer to certain sections of program regulations. In the event that you wish to reference the regulations governing the Titles III, V, and VII programs, you may do so at the following Web site:

[34 CFR Part 606](#)

[34 CFR Part 607](#)

Only individual accredited institutions, including eligible branch campuses, may apply for a waiver. The regulations at 34 CFR Part 606.2(a)(6) and 607.2(a)(4) outline the accreditation requirements. **A higher education system, foundation, or district may not apply on behalf of individual institutions.**

Only submit data pertinent to your individual institution. Do not include data that are reported as part of a single filing by a higher education system or district.



## Designation as an Eligible Branch Campus

To be designated as an eligible branch campus, the branch campus must meet the needy student enrollment requirement, the Core Expenses per FTE requirement, and the definition of a branch campus. The regulations at 34 CFR Part 606.7(b) and 34 CFR Part 607.7(e) define “branch campus” as a unit of a college or university that is geographically apart from the main campus and independent of that main campus. We consider a unit of a college or university to be independent of the main campus if the unit is permanent in nature; offers courses for credit and programs leading to an associate or bachelor’s degree; is autonomous to the extent that it has its own faculty and administrative or supervisory organization; and its own budgetary and hiring authority. **If your institution is applying for eligibility as a branch campus, provide the eligibility data pertinent to the branch campus.**

All waiver narratives must be submitted electronically by **January XX, 2023** at:

<HTTPS://HEPIS.ed.gov>

You may submit your application in paper format if:

You do not have access to the internet; or  
You do not have the capacity to upload the data online.

You must 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. We must receive the faxed statement no later than two weeks before the application deadline (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). 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.

Address and mail or fax your statement to: Jason Cottrell, U.S. Department of Education, 400 Maryland Avenue SW, Room 2B-127, Washington, DC 20202. Fax: (202)401-8466. Your paper waiver application must be submitted in accordance with the mail or hand delivery instructions provided in the official notice published in the Federal Register.

**IMPORTANT NOTE:** Before submitting your application electronically, double check for accuracy and print a copy for yourself. When you press the submit button, the system will display a message confirming that you have successfully submitted your application. Save and print this confirmation as proof that you have submitted your application electronically. If you do not receive this confirmation, you should assume that we did not receive your application.

Do not wait until the due date (**January XX, 2023**) to submit your application for Eligibility Designation and the non-Federal Cost-Share Waiver.

# Instructions for Completing Waiver Application (ED Form 1049)

(ELECTRONIC SUBMISSION REQUIRED)

The eligibility requirements for the programs authorized under Part A of Title III of the HEA are in Sections 312 and 317-320 of the HEA (20 U.S.C. 1058, 1059d-1059g) and in the Department's implementing regulations at 34 CFR 607.2 through 607.5. The regulations may be accessed at: <http://www.gpo.gov/fdsys/pkg/CFR-2001-title34-vol3/xml/CFR-2001-title34-vol3-part607.xml>.

The eligibility requirements for the programs authorized by Part F of Title III of the HEA are in Section 371 of the HEA (20 U.S.C. 1067q). There are currently no specific regulations for these programs.

If the EM data system shows your institution to be eligible to apply for a grant for a particular program, you may print out the eligibility certification immediately. No more action is needed.

If it's your first-time logging into the system this year, please click the "Verify/Update Institution Details" button before proceeding, and update any of the institution and/or contact information as necessary.

## **PART I – Identity of Applicant Institution**

### **ITEM 1. INSTITUTION/CAMPUS OPEID NUMBER**

You will need your institution's unique 8-digit identifier, referred to as the Office of Postsecondary Education Identification (OPEID) number, to complete a valid eligibility waiver application form or to add a branch campus.

### **ITEM 2. NAME OF INSTITUTION/CAMPUS**

Use your institution's complete name. If your institution is a branch campus, use the parent institution's name but follow it with the name of the branch campus (see definition of branch campus on page 6 of the application package). For example, if you are referring to Brockport Campus, you would cite, "State University of New York, Brockport Campus".

Enter the name of the institution in the spaces provided.

If your institution's name has changed within the last two years, include the former name on the appropriate line provided in Part V of the eligibility application form.

### **ITEMS 3 THROUGH 6**

Self-explanatory.

### **ITEM 7. UNIQUE ENTITY IDENTIFIER (UEI) NUMBER**

Enter your institution's UEI number in the spaces provided.

UEI Number: On April 4, 2022, the unique entity identifier used across the federal government changed from the DUNS Number to the Unique Entity ID (generated by SAM.gov). Your institution's 12-character UEI number is an alphanumeric ID assigned to an entity by SAM.gov. Your business office will likely know your institution's UEI number. If not, you can obtain it at no charge by visiting SAM.gov or the Federal Service Desk FSD.gov. [www.SAM.gov](http://www.SAM.gov)

**ITEM 8. TYPE OF INSTITUTION**

Enter your institution's type: Identify the institution as either a two-year or four-year IHE.

If your institution recently changed its status from two-year to four-year, identify the institution as four-year.

If the institution offers both undergraduate and graduate education, identify it as a four-year institution.

**ITEM 9. CONTROL OF INSTITUTION**

Identify the institution as either a private nonprofit institution or a public institution.

## **PART II – Institutional Enrollment**

### **ITEM 1. TOTAL INSTITUTIONAL ENROLLMENT (Fall 2020 Head Count)**

Determine the institution's 2020 fall semester head count of enrolled undergraduate and graduate students.

Do not include foreign students who are not eligible to participate in Title IV need-based financial assistance programs.

Enter this number in the space provided.

### **ITEM 2. TOTAL MINORITY ENROLLMENT (Fall 2020 Head Count)**

Determine the institution's 2020 fall semester head count of enrolled minority undergraduate and graduate students.

Do not include foreign students who are not eligible to participate in Title IV need-based financial assistance programs.

The regulations at 34 CFR Part 606.7(b) and Part 607.7(e) define minority student as a student who is Alaskan Native, American Indian, Asian-American, Black (African-American), Hispanic American, Native Hawaiian, or Pacific Islander.

Enter this number in the space provided.

## **PART III – Institutional Statistics**

### **ITEM 1. NEEDY STUDENT REQUIREMENT**

#### ***ITEM 1.A. Fall 2020 Head Count Enrollment of Undergraduate and Graduate Degree Students***

Determine the institution's total 2020 fall semester head count of undergraduate and graduate students who were enrolled in a degree program. The regulations at 34 CFR Part 606.7(b) and at 34 CFR Part 607.7(e) define “degree student” as a student who enrolls at an institution for the purpose of obtaining a degree, certificate, or other recognized educational credential offered by that institution. We consider the transcript that a student receives for the successful completion of a two-year transfer program to be an “other recognized educational credential.”

Do not include foreign students who are not eligible to participate in Title IV need-based assistance programs.

Determine the undergraduate student head count by including all undergraduate students who were enrolled in a program that resulted in the award of a bachelor’s degree. Include those enrolled in a two-year transfer program and those enrolled in a two-year educational program that resulted in the award of an associate’s degree. Include those enrolled in a vocational or technical program of at least two years in length that resulted in the award of a certificate that testifies that the student qualifies to work as a technician or at the semiprofessional level in technological fields. **(This includes students who are enrolled in a certificate program that is at least two years in length.)**

Enter the total in the space provided under Part III, Item 1.A.

#### ***ITEM 1.B. Fall 2020 Recipients of Title IV Need-Based Financial Assistance***

Determine the institution's total 2020 fall semester unduplicated student head count of degree-seeking students who received any of the following Title IV need-based assistance: Federal Pell Grant, Federal Work Study, Federal Perkins Loan, and/or Federal Supplemental Educational Opportunity Grant (FSEOG). To compute the unduplicated student head count, count each student who received Title IV need-based assistance, regardless of the number of need-based programs in which the student participated. If a student participates in multiple need-based programs, that student is to be counted only once.

Enter the total in the space provided under item Part III, Item 1.B.

#### ***ITEM 1.C. Fall 2020 Enrollment of Half-Time, up to, and including Full-Time, Undergraduate Students***

Determine the institution's total 2020 fall semester undergraduate head count of students who were enrolled at least half time in degree programs at your institution.

Do not include foreign students who are not eligible for Title IV need-based financial assistance.

Enter the total in the space provided under Part III, Item 1.C.

***ITEM 1.D. Fall 2020 Pell Grant Recipients Only***

Determine your institution's total 2020 fall semester undergraduate head count of students who received Pell Grants for the 2020-21 academic term. Include Pell Grant recipients who were enrolled in a program on at least a half-time basis.

Enter the total undergraduate head count of Pell Grant recipients in the space provided under Part III, Item 1.D.

**ITEM 2. CORE EXPENSES REQUIREMENT (FORMERLY KNOWN AS EDUCATIONAL AND GENERAL (E&G) EXPENDITURES REQUIREMENT)**

***ITEM 2.A. Undergraduate Full-Time Equivalent, fall 2020 Enrollment***

Determine your institution's full-time equivalent (FTE) 2020 fall semester enrollment of undergraduate students. The regulations at 34 CFR Part 606.7(b) and 34 CFR Part 607.7(e) describe how to calculate FTE enrollment and the regulations are paraphrased below.

Based on full-time load at your institution, count a full-time undergraduate student as one FTE.

Determine the FTE for part-time undergraduate students by entering the total number of credit hours of all part-time undergraduate students. The total will automatically be divided by 12. The result is the FTE for part-time undergraduate students.

The system will then add the total (full-time AND part-time) undergraduate students. The result is the total number of undergraduate FTE for 2020 enrollment.

NOTE: This number should not exceed the total institutional enrollment entered under Part II, Item 1.

***ITEM 2.B. Graduate Full-Time Equivalent 2020 Enrollment***

Determine the institution's FTE 2020 fall semester enrollment of graduate students, if any, including both full-time and part-time students, as explained here.

Based on the full-time load at your institution, count a full-time graduate student as one FTE.

Determine the FTE for part-time graduate students by entering the total number of credit hours of all part-time graduate students. That number will automatically be divided by 12. The result is the FTE for part-time graduate students.

Calculate the total graduate FTE by adding the FTE of full-time graduate students to the FTE of part-time graduate students, then multiply this total by a factor of 2.5. This final figure is the graduate FTE. The use of the 2.5 factor is required by the Department's regulations at 34 CFR 606.4(a)(2) and 607.4(a)(2) to account for higher educational and general expenditures (Core Expenses) for graduate versus undergraduate students.

The system will then add the total (full-time plus part-time) graduate students. The result is the total number of graduate FTE for 2020 enrollment.

**ITEM 2.C. Total Core Expenses**

Determine the institution's Core Expenses for 2020-21. Core Expenses are defined as the total expenses for the essential education activities of the institution. Core Expenses for public institutions reporting under the Governmental Accounting Standards Board (GASB) standards include expenses for instruction, research, public service, academic support, student services, institutional support, operation and maintenance of physical plant, depreciation, scholarships and fellowships, interest and other operating and non-operating expenses. Core Expenses for institutions reporting under the Financial Accounting Standards Board (FASB) standards (primarily private, not-for-profit and for-profit) include expenses for instruction, research, public service, academic support, student services, institutional support, net grant aid to students, and other expenses. For both FASB and GASB institutions, core expenses exclude expenses for auxiliary enterprises (e.g., bookstores, dormitories), hospitals, and independent operations. (<http://nces.ed.gov/ipeds/glossary/?charindex=C>).

Enter the total 2020-21 Core Expenses in the space provided under Part III, Item 2.C.

**ITEM 2.D. Average Core Expenses per FTE Student**

The system will calculate the institution's average Core Expenses per FTE for 2020-21 as the result of dividing total FTE (total graduate FTE plus total undergraduate FTE) into the sum of Core Expenses.

**PART IV. SPECIFIC INSTITUTIONAL ELIGIBILITY REQUIREMENTS**

**PART IV, ITEM 1. Needy Student Requirement**

Use the following calculations to determine whether your institution meets the needy student requirement in **at least** one of two possible ways.

Your institution meets the needy student requirement if:

A. At least 50% of your 2020 fall semester, unduplicated student head count of undergraduate degree-seeking students received financial assistance under one or more of the following programs: Federal Pell Grant, Federal College Work-Study, Federal Perkins Loan, or Federal Supplemental Educational Opportunity Grant (FSEOG) Programs (Part III, 1B). If a student received financial assistance from more than one of these programs, only count the student once.

Or

B. The percentage of your 2020 fall semester, undergraduate degree-seeking students who were enrolled on at least a half-time basis and received Federal Pell Grants exceeded the average (mean) percentage of undergraduate degree-seeking students who were enrolled on at least a half-time basis and received Federal Pell Grants at comparable institutions that offered similar instruction (Part III, 1D).

**ITEM 1. A. At Least 50% or More of Fall 2020 Degree-Seeking Students were Recipients of Need-Based Financial Support**

If your institution meets the needy student requirement because 50 percent or more of your 2020 fall semester enrolled degree-seeking students received the above-mentioned Title IV need-based financial

assistance, select Part IV, Item 1.A. If the percentage turns out to be less than 50%, **DO NOT** select Part IV, Item 1.A.

**EXAMPLE:** Needy Student Calculation

To determine whether your institution meets the statutory needy student requirement for FY 2023, divide the number of 2020 fall semester, Title IV recipients (Part III, Item 1.B) by the 2020 fall semester enrollment of degree students (Part III, Item 1.A). The result (Part III, 1.B., divided by Part III, 1.A) is the percentage of needy students enrolled in the institution for the base year. If the result is 50 percent or more, your institution meets the statutory needy student requirement threshold. The regulations at 34 CFR Part 606.3(a)(1) and at 34 CFR Part 607.3(a)(1) describe the needy student requirement.

Example

2020 fall semester enrollment (Part III, 1.A) = 800 degree students

2020 fall semester Title IV recipients (Part III, 1.B) = 600 students

Percentage of recipients of need-based financial support

$$= 75\% (600 \text{ divided by } 800)$$

The example institution meets the needy student requirement because 50 percent or more of its 2020 fall semester degree-seeking students received need-based financial support.

***ITEM 1.B. The Percentage of Federal Pell Grant Recipients at the Applicant Institution Exceeded the Average Percentage at Similar Institutions***

If your institution meets the statutory needy student requirement because the percentage of its 2020 fall semester enrolled students that received Pell Grants exceeded the average Federal Pell Grant percentage for its category of institutions (see below), check Part IV, Item 1.B. If your percentage does not exceed the average Federal Pell Grant percentage for your category of institutions, do not check Part IV, Item 1.B.

If the institution meets both Part IV, Items 1.A and 1.B, select Part IV, Item 1.A only.

**EXAMPLE:** Needy Student Calculation

To determine if your institution meets the statutory needy student requirement for FY 2023, divide the number of 2020 fall semester Pell Grant recipients (Part III Item 1.D) by the 2020 fall semester enrollment of half-time up to and including full-time degree seeking students (Part III Item 1.C). The result (Part III, 1.D, divided by Part III, 1.C) is the percentage of Pell Grant recipients enrolled in the institution for the base year. If this result exceeds the "Average Federal Pell Grant Percentage" for your category (type and control) of institutions, your institution meets the statutory needy student requirement threshold.



Example

2020 fall semester enrollment of half-time up to full-time degree students (Part III, 1.C) = 1000

2020 fall semester Pell Grant recipients (Part III, 1.D) = 500

2020 Pell Grant percentage

= 50% (500 divided by 1000)

Here are the average Federal Pell Grant percentages or thresholds for base year 2020-21:

2-year public institutions, the average = 36%

2-year non-profit private institutions, the average = 55%

4-year public institutions, the average = 37%

4-year non-profit private institutions, the average = 39%

Since in our example, the institution's Pell Grant percentage is **greater** than the average Pell Grant percentage for any category of institution except 2-year non-profit private institutions, the example institution meets the needy student requirement except for 2-year non-profit private institutions.

***ITEM 1.C. Requesting a waiver of the Needy Student Requirement***

If the institution does not meet the statutory needy student requirement, you may request a waiver of this requirement. Review the six possible waivers below. These waivers correspond to the six options listed in the regulations at 34 CFR Part 606.3(b) and 34 CFR Part 607.3(b).

Select Part IV, Item 1.C, denoting that you are requesting a waiver.

After you review the six waivers for the needy student requirement, select the waiver(s) that applies to your institution's particular situation. You may apply for more than one waiver.

You must respond to all components of the waiver option. Prepare a separate narrative for each waiver option(s). Provide the required evidence (supporting documentation) for the chosen waiver option(s) and demonstrate that the waiver(s) applies to your particular institution. The narrative must contain compelling evidence. Mere statements of fact may not be enough to support your request. Provide supporting documentation (relevant studies, recent reports and/or data, etc.) to justify your request for a waiver. You may also upload supporting documentation when addressing the waiver(s).

**Needy Student Waiver Option #1,**  
**34 CFR 606.3(b)(1) and 607.3(b)(1)**

Provide evidence that the state provided more than 30 percent of your institution's budget for the 2020-21 base year.

Provide evidence that your institution charged not more than \$99.00 per student for tuition and fees for the 2020-21 base year.

1. Identify the resources provided by the state, citing specific dollar amounts.
2. Show actual tuition and fees charged per student.
3. Provide the institution's posted tuition and fees.

**Needy Student Waiver Option #2,**  
**34 CFR 606.3(b)(2) and 607.3(b)(2)**

Provide evidence that at least 30 percent of the students served by your institution in the 2020-21 base year were students from low-income families.

The regulations at 34 CFR Part 606.7(c) and 34 CFR 607.7(e) define a low income individual to be one from a family whose taxable income for the base year did not exceed 150% of an amount equal to the poverty level as determined by the U.S. Census Bureau. In the Federal Register Closing Date Notice, we state the low-income figures for 2020.

Provide evidence (statistical and whole numbers baseline data) that verifies your claim that at least 30 percent of your enrolled students were from low-income families.

**Needy Student Waiver Option #3,**  
**34 CFR 606.3(b)(3) and 607.3(b)(3)**

Provide evidence your institution, in the 2020-21 base year, substantially increased the higher education opportunities for low-income students who were also educationally disadvantaged, or from groups underrepresented in postsecondary education, or were minority students.

The program regulations at 34 CFR 606.7(b) and 607.7(e) define "*educationally disadvantaged*," "*minority student*" and "*underrepresented*."

Include the following information:

1. A description of the student body characteristics, including the racial/ethnic composition and the number of low-income students, for the 2020-21 base year.
2. The number of low-income students for the 2020-21 base year that were also educationally disadvantaged, from groups underrepresented in postsecondary education, or minority students.

3. A description of the programs and services in place during the 2020-21 base year that were specifically designed to increase the educational opportunities for the low income students who were also educationally disadvantaged, from groups underrepresented in postsecondary education, or minority students.
4. A longitudinal progression detailing the number of these students served by the institution's programs and services during the past five academic periods: 2016-17, 2017-18, 2018-19, 2019-20 and 2020-21.

***Needy Student Waiver Option #4,  
34 CFR 606.3(b)(4) and 607.3(b)(4)***

Provide evidence that your institution substantially increased the higher education opportunities in the 2020-21 base year for individuals who resided in an area that is not included in a "Metropolitan Statistical Area" (MSA) as defined by the Office of Management and Budget and who were underserved by other postsecondary institutions.

Include the following information:

1. The geographical areas of residence for enrolled students in the 2020-21 base year including:
  - a. The percentage of enrolled students from MSA.
  - b. The percentage of enrolled students from locations outside MSAs.
2. In the supporting documents section, please upload a map or scale drawing showing the geographically isolated or rural nature of your institution's location including:
  - a. The institution's geographic relationship to the nearest other institution(s) of higher education and nearest MSA.
  - b. The mileage between the institution and other institutions.
  - c. The mileage between the institution and the nearest MSA.
3. A description of the geographic barriers and climatic and other conditions that limit the options of individuals to attend other institutions.
4. A brief longitudinal progression detailing the number of enrolled students served by the applicant institution during the past five academic periods: 2016-17, 2017-18, 2018-19, 2019-20 and 2020-21 who resided in areas outside the boundaries of an MSA.

***Needy Student Waiver Option #5,  
34 CFR 607.3(b)(5)***

Provide evidence that your institution is located on or within 50 miles of an American Indian reservation or of a substantial population of American Indians, and that the institution will substantially increase higher education opportunities for American Indians.

When addressing "higher education opportunities for American Indians;" include both student enrollment and retention.

Include the following information:

1. A map or scale drawing showing your institution's location in relation to the American Indian reservation or population center.
  - a. Include the mileage between the institution and the reservation or population center.
2. A description of the student body characteristics for the 2020-21 base year and the two academic years preceding the base year (2018-19 and 2019-20).
  - a. Include the racial/ethnic composition and specifically identify the number and percentage of American Indian students by full-time and part-time status.
3. Describe the programs and services in place during the 2020-21 base year and the two academic years preceding the base year (2018-19 and 2019-20) that were specifically designed to increase the higher educational opportunities for American Indians.
4. Describe your institution's plans to develop and implement programs and services specifically designed to increase the higher educational opportunities for American Indians.
5. Describe the institution's enrollment goals for American Indian students for these academic years (2022-23, 2023-24, and 2024-25).
  - a. Provide a detailed explanation of the institution's plans to meet these goals.

**Needy Student Waiver Option #6,**  
**34 CFR 607.3(b)(7) and 606.3(b)(5)**

Provide evidence that your institution will substantially increase higher education opportunities for Black or African Americans, Hispanic Americans, Native Americans, Asian Americans or Pacific Islanders, including Native Hawaiians.

Or

Provide evidence that your institution will substantially increase higher educational opportunities for Hispanic Americans.

When addressing "higher education opportunities" include both student enrollment and retention.

Include the following information:

1. A description of the student body characteristics for the 2020-21 base year and the two academic years preceding the base year (2018-19 and 2019-20). Include the racial/ethnic composition and specifically identify the number and the percentage for each racial/ethnic group listed above by full-time and part-time status.
2. Describe the programs and services in place during the 2020-21 base year and the two academic years preceding the base year (2018-19 and 2019-20) that were specifically designed to increase the higher educational opportunities for one or more of the racial/ethnic groups listed above.
3. Describe the programs and services your institution **is currently developing** that are specifically designed to increase the higher educational opportunities for one or more of the racial/ethnic groups listed above. Include the projected date(s) for the implementation of these programs and services.
4. Describe your institution's enrollment goals for one or more of the racial/ethnic groups listed above for these academic years (2022-23, 2023-24 and 2024-25).

- a. Provide a detailed explanation of the institution's plans to meet these goals.

**PART IV, ITEM 2. Core Expenses Requirement**

Your institution meets the Core Expenses requirement if its average Core Expenses per FTE student cited in Part III, Item 2.D, is **less than** the average Core Expenses per FTE for the same category (control and type) of institution. The average 2020-21 Core Expenses per FTE student for each category (control and type) of institution is the following:

2-year, public institution	=	\$14,194	per FTE student
2-year, non-profit private	=	\$15,960	per FTE student
4-year, public institution	=	\$31,578	per FTE student
4-year, non-profit private	=	\$40,752	per FTE student

**PART IV, ITEM 2.A**

Check Item 2.A only if your institution's 2020-21 average Core Expenses per FTE are **less than** the average Core Expenses per FTE student for its category of institution.

**PART IV, ITEM 2.B**

If the institution does not meet the Core Expenses threshold, you may request a waiver of this requirement. Review the five possible waiver options below. These options correspond to the five options listed in the regulations at 34 CFR Part 606.4(d) and 34 CFR Part 607.4(d).

Select Item 2.B if your institution **exceeded** the Core Expenses threshold and you are requesting a waiver.

After you review the five possible waiver options for the Core Expenses requirement, select the option(s) that applies to your institution's particular situation. You may apply for more than one option.

Prepare a separate narrative for each waiver option(s) that provides the required evidence for the chosen waiver option(s) and demonstrates that the waiver(s) applies to your particular institution. The narrative must contain compelling evidence. Mere statements of fact may not be enough to support your request. Provide supporting documentation (relevant studies, recent reports, and/or data, etc.) to justify your request for a waiver. You may also upload supporting documentation when addressing the waivers.

You must respond to all components of the waiver option and provide supporting documentation (relevant studies, recent reports and/or data, etc.) to justify your request for a waiver.

**Core Expenses Waiver Option #1,**  
**34 CFR 606.4(d)(1) and 607.4(d)(1)**

Low student enrollment in the fall 2020 distorted your institution's Core Expenses per FTE undergraduate student and the institution's eligible designation is otherwise consistent with the purposes of the Titles III, V, or VII program.

Provide detailed evidence to support your claim that low student enrollment in 2020 distorted your Core Expenses.

1. Show that enrollments in the years prior to and after 2020-21 were greater, citing specific numbers.
2. Include comparisons with similar IHEs.

**Core Expenses Waiver Option #2,**  
**34 CFR 606.4(d)(2) and 607.4(d)(2)**

Location of the institution in an unusually high cost-of-living area distorted your institution's Core Expenses per FTE undergraduate student and the institution's eligible designation is otherwise consistent with the purposes of the Titles III, V, or VII program.

1. Provide documentation from a governmental source to substantiate the high cost of living in the area.
2. Provide documentation (statistics) from local, state and/or national sources.
  - a. Include comparisons with similar IHEs.

**Core Expenses Waiver Option #3,**  
**34 CFR 606.4(d)(3) and 607.4(d)(3)**

High energy costs distorted your institution's Core Expenses per FTE undergraduate student and the institution's eligible designation is otherwise consistent with the purposes of the Titles III, V, or VII program.

1. Provide documentation to substantiate the high energy costs.
2. Provide comparisons with similar IHEs.

**Core Expenses Waiver Option #4,**  
**34 CFR 606.4(d)(4) and 607.4(d)(4)**

An increase in State funding, that was part of a desegregation plan for higher education, distorted your institution's Core Expenses per FTE undergraduate student and the institution's eligible designation is otherwise consistent with the purposes of the Titles III, V, or VII program.

1. Provide documentation to substantiate your request.

**Core Expenses Waiver Option #5,**  
**34 CFR 606.4(d)(5) and 607.4(d)(5)**

Operation of high cost professional schools such as medical and dental schools (post-baccalaureate programs) distorted your institution's E&G expenditures per FTE undergraduate student, and the institution's eligible designation is otherwise consistent with the purposes of the Titles III, V, or VII program.

1. Provide documentation to substantiate your request.
  - a. Include enrollment and cost comparisons with similar IHEs.

## **PART V. CERTIFICATION**

A duly authorized representative of the institution must check the box in Part V to certify that to the best of his or her knowledge that all data in the application are true and correct and that the applicant institution will comply with the required assurances. By checking this box and submitting this application, the applicant institution also certifies that they meet the accrediting requirements and, if applicable, meet the definition of a branch campus.



## **APPENDICES**

1. Application for Designation as an Eligible Institution  
(ED Form 1049)

UNITED STATES DEPARTMENT OF EDUCATION  
WASHINGTON, D.C. 20202

**2023 APPLICATION FOR DESIGNATION AS AN ELIGIBLE INSTITUTION**

To apply for grants under  
Title III Programs SIP, ANNH, ANNAPISI, NASNTI, HSI STEM, and PBI  
Title V Programs HSI and PPOHA  
Authority: 34 CFR Part 606 and 607 Programs  
Important: You are required to provide the information requested  
in order to obtain or retain a benefit.

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 1840-0103. Public reporting burden for this collection of information is estimated to average 7.00 hours per response, including the 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 (34 CFR Part 606 and 607 Programs). If you have comments or concerns regarding the status of your individual submission of this application, please contact Institutional Service, U.S. Department of Education, 400 Maryland Avenue SW, Washington, D.C., 20202 directly. [Note: Please do not return the completed application to this address.]

\* This form must be completed electronically.

**Part I. Identity of Applicant Institution**

1. Institution/Campus OPEID Number:
2. Name of Institution/Campus Requesting:
3. Address (Street # or P.O. Box and Street Name, City, State, Zip):
4. Contact Person's Name: (Last Name, First Name, Middle Initial):
5. Contact Person's Title, Phone Number, Extension:
6. E-mail Address:
7. Unique Entity Identifier (UEI Number):
8. Type (mark one): ( ) Two-Year Institution ( ) Four-Year Institution
9. Control (mark one): ( ) Private Non-Profit Institution ( ) Public Institution

**Part II. Institutional Enrollment**

1. Total Institutional Enrollment (Fall 2020 Head Count):
2. Total Minority Enrollment (Fall 2020 Head Count):

Part III. Institutional Statistics

**1. Needy Student Requirement**

A. Fall 2020 Head Count Enrollment of Undergraduate and Graduate Degree Students:

B. Fall 2020 Recipients of Title IV Need-Based Financial Assistance:

(Include Only Pell Grant, Supplemental Educational Opportunity Grant, College Work Study, and Perkins Loan)

C. Fall 2020 Enrollment of Half-Time up to and including Full-Time Undergraduate Students:

D. Fall 2020 Pell Grant Recipients:

**2. Core Expenses Requirement**

A. Undergraduate Full-Time Equivalent Fall 2020 Enrollment

a. Total Full-Time Undergraduate Students:

b. Total Number of Credit Hours for all Part-Time Undergraduate Students:

B. Graduate Full-Time Equivalent Fall 2020 Enrollment:

a. Total Full-Time Graduate Students:

b. Total Number of Credit Hours for all Part-Time Graduate Students:

C. Total 2020-21 Core Expenses:

D. Average 2020-21 Core Expenses per FTE =  $C/(A+B)$ :

Part IV. Specific Institutional Eligibility Requirements

**1. Needy Student Requirement (mark A, B, or C)**

( ) A. According to the result, after dividing item 1B by item 1A in Part III of this form, at least 50% of Degree Students are recipients of Need-Based Financial Support; or

( ) B. According to the result, after dividing item 1D by item 1C in Part III of this form, our enrollment exceeds the pertinent threshold for Substantial Percentage of Students Receiving Pell Grants for the 2020-21 year.

( ) C. Requesting Waiver (Section 607.3(b) and Section 606.3(b) option(s):

Check an option, and attach the narrative justification to this form.

**2. Core Expenses Requirement (mark A or B)**

- ( ) A. The Core Expenses per FTE Student are less than the pertinent threshold for base year 2020-21.
- ( ) B. Requesting Waiver (Section 607.4(c) and (d) and Section 606.4(c) and (d) option(s):

Check an option, and attach the narrative justification to this form.

Part V. Certification  
(Although this Certification requirement is waived for applicants applying online,  
the Department reserves the right to require a signed form on request.)

To the best of my knowledge and belief, all data in this application are true and correct. The governing body of the applicant has duly authorized this document and the applicant will comply with the required assurances. We meet the accrediting requirements and, if applicable, we meet the definition of a branch campus as defined in 34 CFR Part 606.7(b) and 34 CFR 607.7(e).

Authorized Representative's Name: \_\_\_\_\_

Title: \_\_\_\_\_

Authorized Representative's Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Email: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Fax Number: \_\_\_\_\_

Former Name of Applicant: \_\_\_\_\_

Institution/Campus (if applicable): \_\_\_\_\_

