

# Archived Information

## U.S. Department of Education

Washington, D.C. 20202-5335



# APPLICATION FOR GRANTS UNDER THE

**NATIVE AMERICAN SERVING NONTRIBAL INSTITUTIONS PROGRAM**  
**CFDA #: 84.031X**

OMB No. 1840-0816, Expiration Date: 06/30/2013

Closing Date: AUG 06, 2010

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DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

Native American-Serving Nontribal Institutions (NASNTI) Program

Notice inviting applications for new awards for fiscal year (FY) 2010.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.031X.

Dates:

Application Available: July 7, 2010

Deadline for Transmittal of Applications: August 6, 2010

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The NASNTI Program provides grants and related assistance to Native American-Serving Nontribal Institutions to enable these institutions to improve and expand their capacity to serve Native Americans and low-income individuals by increasing their self-sufficiency in improving academic programs, institutional management, and fiscal stability.

To qualify for funds under the NASNTI Program, an institution of higher education (IHE) must: be an eligible institution under section 312(b) of the Higher Education Act of 1965, as amended (HEA); have an enrollment of undergraduate students that is at least 10 percent Native American at the time of application for a grant; and not be a Tribal College or University under section 316 of the HEA.

Priorities: Under this competition, we are particularly interested in applications that address the following invitational priorities:

Invitational Priorities: For FY 2010, there are six invitational priorities

for this program. Under 34 CFR 75.105(c)(1) we do not give an application that meets these invitational priorities a competitive or absolute preference over other applications.

These invitational priorities are:

Invitational Priority 1.

Develop programs that meet the unique educational and culturally-related academic needs of Native Americans, particularly in the area of language preservation.

Invitational Priority 2.

Work with Native American tribes to develop programs that meet the unique academic and cultural needs of Native American students.

Invitational Priority 3.

Support activities that will improve the institution's persistence and graduation rates.

Invitational Priority 4.

Work with the appropriate State agencies to develop strategies for using State longitudinal data systems to track outcomes for students attending the grantee institution, including the extent to which the students complete certificates, two-year degrees, and four-year degrees at other institutions.

Invitational Priority 5.

Develop academic programs to improve course completion rates or develop innovative support programs that are designed to increase completion rates.

Invitational Priority 6.

Develop dual enrollment programs that facilitate the transition between high school and college or career pathways programs that integrate basic academic instruction with technical or professional occupational training to advance individuals, particularly adult learners, on a career path toward high-

wage occupations in high-demand industries.

Program Authority: Title III, Part A, Section 319 of the HEA.

Applicable Regulations: The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 82, 84, 85, 86, 97, 98, and 99.

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

II. Award Information

Type of Award: Title III, Part A - Five-year Individual Development grants and five-year Cooperative Arrangement Development grants will be awarded in FY 2010.

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Estimated Available Funds: Title III, Part A \$3,600,000

	Minimum/ Maximum Award Amount	Estimated Number of Awards	
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Program Name and Type of Award			Estimated Average Award Amount
Native American-serving Nontribal Institutions (NASNTI)			
Title III, Part A Five-Year Individual Development Grants	\$200,000-\$400,000	8	\$383,000
Five-Year Cooperative Arrangement Development Grants	\$200,000-\$500,000	1	\$350,000

Note: The Department is not bound by any estimates in this notice. Applicants should periodically check the Title III

Program's Web site for further information. The address is:

<http://www.ed.gov/about/offices/list/ope/idades/index.html>.

Project Period: Up to 60 months.

### III. Eligibility Information

1. Eligible Applicants: An IHE is eligible to receive funds under this program if it is a Native American-Serving Nontribal Institution (NASNTI).

Native American. The term 'Native American' means an individual who is of a tribe, people, or culture that is indigenous to the United States as defined in the Office of Management and Budget's Standards for Maintaining, Collecting, and Presenting Federal Data on Race and Ethnicity as published on October 30, 1997 (62 Fed. Reg. 58789). As part of the application for a grant, applicants

will be required to complete and submit a certification assurance form on which the applicant provides their total undergraduate headcount enrollment and certifies that 10 percent of its enrollment is Native American for the purpose of the NASNTI program. The form must be submitted and signed by an official with the authority to represent the institution.

To qualify as an eligible institution under the NASNTI program, an institution must, among other requirements -

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

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

(3) Be designated as an "eligible institution" by demonstrating that it: A) has an enrollment of needy students as described in 34 CFR 607.3; and B) has low average educational and general expenditures per full-time equivalent (FTE) undergraduate student as described in 34 CFR 607.4.

Note: The notice for applying for designation as an eligible institution for FY 2010 was published on December 7, 2009, 74 FR 64059, and applications were due on January 6, 2010. Only institutions that submitted applications by the deadline date of January 6, 2010 and that the Department determined are eligible may apply for a grant. Relationship between the Title III, Part A programs, and the Hispanic-Serving Institutions (HSI) program.

Note 1: A grantee under the Developing Hispanic-Serving Institutions (HSI) program, which is authorized by Title V of the HEA, may not receive a grant under any HEA, Title III, Part A program including the NASNTI program.

Further, a current HSI program grantee may not give up its HSI grant in order to receive a grant under any Title III, Part A program.

Note 2: An eligible HSI that does not fall within the limitation described in Note 1 (i.e., is not a current grantee under the HSI program) may apply for a FY 2010 grant under all Title III, Part A programs for which it is eligible, as well as receive consideration for a grant under the HSI program. However, a successful applicant may receive only one grant.

Note 3: The Department will make grant awards in rank order from the funding slates according to the average score received from a panel of three readers.

2. Cost Sharing or Matching: This program does not require cost sharing or matching.

#### IV. Application and Submission Information

##### 1. Address to Request Application Package:

You can obtain an application via the Internet using the following address: <http://e-grants.ed.gov>. If you do not have access to the Internet, please contact LaTonya Brown or Darlene Collins, U.S. Department of Education, 1990 K Street, NW, 6<sup>th</sup> floor, Washington, DC 20006-8513. You may contact these individuals at the following e-mail addresses or telephone numbers:

LaTonya.Brown@ed.gov; (202) 502-7619

Darlene.Collins@ed.gov; (202) 502-7576

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

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

2. Content and Form of Application Submission: Requirements concerning the content of an application, together with the forms you must submit, are in

the application package for this program.

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

- A "page" is 8.5" x 11", on one side only, with 1 inch margins at the top, bottom, and both sides. Page numbers and an identifier may be within the 1" margins.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions. However, you may single space all text in charts, tables, figures, and graphs. Charts, tables, figures, and graphs presented in the application narrative count toward the page limit.
- Use a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch). However, you may use a 10-point font in charts, tables, figures, graphs, footnotes, and endnotes.
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

The page limit does not apply to Part I, the Application for Federal Assistance (SF 424); the Supplemental Information for SF 424 Form required by the Department of Education; Part II, the Budget Information Summary Form (ED Form 524); and Part IV, the Assurances and Certifications. The page limit also does not apply to the Table of Contents, the Program one-page Abstract, the resumes, the bibliography, or the letters of support. If you include any

attachments or appendices, these items will be counted as part of the Program Narrative (Part III of the application) for purposes of the page limit requirement. You must include your complete response to the selection criteria in the program narrative.

We will reject your application if you exceed the page limit.

3. Submission Dates and Times:

Applications Available: July 7, 2010

Deadline for Transmittal of Applications: August 6, 2010

Applications for grants under this program must be submitted electronically using the Electronic Grant Application System (e-Application) accessible through the Department's e-Grants web site at: <http://e-grants.ed.gov>. For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 7. Other Submission in Requirements of this notice.

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

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

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

the application package for this program.

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

6. Data Universal Numbering System Number, Taxpayer Identification Number, and Central Contractor Registry: To do business with the Department of Education (1) you must have a Data Universal Numbering System (DUNS) number and a Taxpayer Identification Number (TIN); (2) you must register both of those numbers with the Central Contractor Registry (CCR), the Government's primary registrant database; and (3) you must provide those same numbers on your application.

You can obtain a DUNS number from Dun and Bradstreet. A DUNS number can be created within one business day.

If you are a corporate entity, agency, institution, or organization, you can obtain a TIN from the Internal Revenue Service. If you are an individual, you can obtain a TIN from the Internal Revenue Service or the Social Security Administration. If you need a new TIN, please allow 2-5 weeks for your TIN to become active.

The CCR registration process may take five or more business days to complete. If you are currently registered with the CCR, you may not need to make any changes. However, please make certain that the TIN associated with your DUNS number is correct. Also note that you will need to update your CCR registration on an annual basis. This may take three or more business days to complete.

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

a. Electronic Submission of Applications.

Applications for grants under the NASNTI Program CFDA Number 84.031X must

be submitted electronically using e-Application, accessible through the Department's e-Grants web site at: <http://e-grants.ed.gov>.

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

While completing your electronic application, you will be entering data online that will be saved into a database. You may not e-mail an electronic copy of a grant application to us.

Please note the following:

- You must complete the electronic submission of your grant application by 4:30:00 p.m., Washington, DC time, on the application deadline date. The e-Application system will not accept an application for this program after 4:30:00 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.
- The hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until 8:00 p.m. Sunday, Washington, DC time. Please note that, because of maintenance, the system is unavailable between 8:00 p.m. on Sundays and 6:00 a.m. on Mondays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time. Any modifications to these hours are posted on the e-Grants Web site.
- You will not receive additional point value because you submit your

application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information you typically provide on the following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.

- Please note that two of these forms--the SF 424 and the Department of Education Supplemental Information for SF 424--have replaced the ED 424 (Application for Federal Education Assistance). You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password protected file, we will not review that material.

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

- Prior to submitting your electronic application, you may wish to print a copy of it for your records.

- After you electronically submit your application, you will receive an automatic acknowledgement that will include a PR/Award number (an identifying number unique to your application).

- Within three working days after submitting your electronic application, fax a signed copy of the SF 424 to the Application Control Center after following these steps:

- (1) Print SF 424 from e-Application.

- (2) The applicant's Authorizing Representative must

sign this form.

(3) Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the SF 424.

(4) Fax the signed SF 424 to the Application Control Center at (202) 245-6272.

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

Application Deadline Date Extension in Case of e-Application Unavailability:

If you are prevented from electronically submitting your application on the application deadline date because e-Application is unavailable, we will grant you an extension of one business day to enable you to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if

--

(1) You are a registered user of e-Application and you have initiated an electronic application for this competition; and

(2) (a) E-Application is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or (b) E-Application is unavailable for any period of time between 3:30 p.m. and 4:30:00 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgement of any system unavailability, you may contact either (1) the person listed elsewhere in this notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930. If e-Application is unavailable due to technical problems with the system, the application deadline is extended, an e-mail will be sent to all registered

users who have initiated an e-Application. Extensions referred to in this section apply only to the unavailability of e-Application.

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

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to e-Application;

and

- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to: LaTonya Brown or Darlene Collins, U.S. Department of Education, 1990 K Street, NW., 6<sup>th</sup> floor, Washington, DC 20006-8513. FAX: (202) 502-7861. You may contact these individuals at the following e-mail addresses or telephone numbers:

LaTonya.Brown@ed.gov; (202) 502-7619

Darlene.Collins@ed.gov; (202) 502-7576

Your paper application must be submitted in accordance with the mail or

hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

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

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

c. Submission of Paper Applications by Hand Delivery.

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

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.031X)  
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, D.C. 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.

V. Application Review Information

1. Selection Criteria - The selection criteria for this program are in the Education Department General Administrative Regulations (EDGAR) section 75.210. Applicants must address each of the following selection criteria

(separately for each proposed activity). The total weight of the selection criteria is 100 points; the weight of each criterion is noted in parentheses.

a. Need for the project. (Maximum 20 points) In determining the need for the proposed project, the Secretary considers:

1. The magnitude of the need for the services to be provided or the activities to be carried out by the proposed project. (10 points)

2. The extent to which the proposed project will focus on serving or otherwise addressing the needs of disadvantaged individuals. (5 points)

3. The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses. (5 points)

b. Quality of the project design. (Maximum 15 points) In determining the quality of the design of the proposed project, the Secretary considers:

1. The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable. (10 points)

2. The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs. (5 points)

c. Quality of project services. (Maximum 15 points)

In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race,

color, national origin, gender, age, or disability. In addition, the Secretary considers:

1. The extent to which the services provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services. (10 points)

2. The extent to which the services to be provided by the proposed project reflect up-to-date knowledge from research and effective practice. (5 points)

d. Quality of project personnel. (Maximum 10 points)

In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

In addition, the Secretary considers:

1. The qualifications, including relevant training and experience, of the project director or principal investigator. (5 points)

2. The qualifications, including relevant training and experience, of key project personnel. (5 points)

e. Adequacy of resources. (Maximum 5 points) In determining the adequacy of resources for the proposed project, the Secretary considers:

1. The extent to which the budget is adequate to support the proposed project. (3 points)

2. The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project. (2 points)

f. Quality of the management plan. (Maximum 20 points) In determining

the quality of the management plan for the proposed project, the Secretary considers:

1. The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks. (10 points)

2. The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project. (5 points)

3. The adequacy of mechanisms for ensuring high-quality products and services from the proposed project. (5 points)

g. Quality of the project evaluation. (Maximum 15 points) In determining the quality of the evaluation, the Secretary considers:

1. The extent to which the methods of evaluation are thorough, feasible and appropriate to the goals, objectives and outcomes of the proposed project. (5 points)

2. The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible. (5 points)

3. The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes. (5 points)

2. Review and Selection Process: For five-year individual development grants and five-year cooperative arrangement development grants, awards will be made in rank order according to the average score received from a panel of three readers. All Title III Part A applications for individual development grants will be ranked together from the highest to the lowest score for funding

purposes and all cooperative arrangement development grants will be ranked in the same manner.

3. Tie-breaker for Title III, Part A Development Grants. In tie-breaking situations, 34 CFR 607.23(b) requires that we award one additional point to an application from an IHE that has an endowment fund of which the current market value per FTE enrolled student is less than the average current market value of the endowment funds, per FTE enrolled student at comparable institutions that offer similar instruction. We award one additional point to an application from an IHE that had expenditures for library materials per FTE enrolled student that are less than the average expenditures per FTE enrolled student at comparable institutions that offer similar instruction. We also add one additional point to an application from an IHE that proposes to carry out one or more of the following activities--

1. Faculty development;
2. Funds and administrative management;
3. Development and improvement of academic programs;
4. Acquisition of equipment for use in strengthening management and academic programs;
5. Joint use of facilities; and
6. Student services.

For the purpose of these funding considerations, we use 2007-2008 data. If a tie remains after applying the tie-breaker mechanism above, priority will be given in the case of applicants for: a) individual development grants to applicants that have the lowest endowment values per FTE enrolled student; and b) cooperative arrangement development grants to applicants in accordance with section 394(b) of the HEA, if the Secretary determines that the cooperative arrangement is geographically and economically sound or will benefit the

applicant institution.

## VI. Award Administration Information

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

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

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section in this notice.

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

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary in 34 CFR 75.118 and 34 CFR 607.31. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to [www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html).

4. Performance Measures: The Secretary has established the following key performance measures for assessing the effectiveness of the NASNTI programs:

a. The percentage change, over a five-year period, of the number of full-time degree-seeking undergraduates enrolling at NASNTIs. Note that this is a

long-term measure, which will be used to periodically gauge performance;

b. The percentage of first-time, full-time degree-seeking undergraduate students at four-year NASNTIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same NASNTI;

c. The percentage of first-time, full-time degree-seeking undergraduate students at two-year NASNTIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same NASNTI;

d. The percentage of first-time, full-time degree-seeking undergraduate students enrolled at four-year NASNTIs who graduate within six years of enrollment; and

e. The percentage of first-time, full-time degree-seeking undergraduate students enrolled at two-year NASNTIs who graduate within three years of enrollment.

## VII. Agency Contacts

For Further Information Contact: LaTonya Brown or Darlene Collins, U.S. Department of Education, 1990 K Street, NW., 6<sup>th</sup> floor, Washington, DC 20006-8513. You may contact these individuals at the following e-mail addresses or telephone numbers:

LaTonya.Brown@ed.gov; (202) 502-7619

Darlene.Collins@ed.gov; (202) 502-7576

If you use a TDD, call the FRS, toll free, at 1-800-877-8339.

## VIII. Other Information

Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or computer diskette) on request to the program contact

persons listed in section VII of this notice.

Electronic Access to This Document: You can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site: [www.ed.gov/news/fedregister](http://www.ed.gov/news/fedregister). To use PDF you must have Adobe Acrobat Reader, which is available free at this site.

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

Delegation of Authority: The Secretary of Education has delegated authority to Daniel T. Madzellan, Director, Forecasting and Policy Analysis for the Office of Postsecondary Education, to perform the functions and duties of the Assistant Secretary for Postsecondary Education.

Dated:

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Daniel T. Madzellan,  
Director,  
Forecasting and Policy Analysis.

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**NATIVE AMERICAN-SERVING NONTRIBAL INSTITUTIONS PROGRAM PROFILE**

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

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

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

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

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

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

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

4. **DUAL SUBMISSION CERTIFICATION:** If an institution applies for more than one grant, it must indicate which grant it wishes to receive if it is selected to receive more than one.

- Native American-Serving Nontribal Institutions (NASNTI) – Title III, Part A (84.031X)
- Strengthening Institutions Program (SIP) – Title III, Part A
- Alaska Native-Native Hawaiian (ANNH) – Title III, Part A
- Asian Americans and Native American Pacific Islander-Serving Institutions (AANAPISI) – Title III, Part A

5. **NATIVE AMERICAN-SERVING NONTRIBAL INSTITUTIONS CERTIFICATION:**

**By checking this box (or placing an “X” beside it),** the applicant certifies pursuant to the statutory requirements governing the Native American-Serving Nontribal Institutions Program authorized under Title III, Part A, Section 319 of the Higher Education Act (HEA) of 1965, as amended, that:

The named institution of higher education, at the time of application, has an enrollment of undergraduate students that is at least 10 percent Native American. The term “Native American” mean an individual who is of a tribe, people, or culture that is indigenous to the United States. In addition, the named institution of higher education is not a Tribal College or University (as defined in section 316 of the Higher Education Act, as amended).

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

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7. **Are you addressing an invitational priority? \_\_\_\_\_YES \_\_\_\_\_NO.**  
**If yes, indicate the priority by placing an “X” beside it.**

- Develop programs that meet the unique educational and culturally-related academic needs of Native Americans, particularly in the area of language preservation;
- Work with Native American tribes to develop programs that meet the unique academic and cultural needs of Native American students;
- Support activities that will improve the institution’s persistence and graduation rates;
- Work with the appropriate State agencies to develop strategies for using State longitudinal data systems to track outcomes for students attending the grantee institution, including the extent to which the students complete certificates, 2-year degrees, and 4-year degrees at other institutions;
- Develop academic programs to improve course completion rates or develop innovative support programs that are designed to increase completion rates; and,
- Develop dual enrollment programs that facilitate the transition between high school and college or career pathways programs that integrate basic academic instruction with technical or professional occupational training to advance individuals, particularly adult learners, on a career path toward high-wage occupations in high-demand industries.

8. **Tie-Breaker Information**

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

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

TOTAL 2007-2008 FULL-TIME EQUIVALENT (FTE) STUDENTS= \_\_\_\_\_

A. Total market value of endowment fund at the end of 2007-2008 \$\_\_\_\_\_

B. Total expenditures for library materials during 2007-2008 \$\_\_\_\_\_

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

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

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

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

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

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

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

9. **Endowment Fund Assurance – Not Applicable for NASNTI Programs**

**Cooperative Arrangement Development Grant –**

**U.S. DEPARTMENT OF EDUCATION**

Office of Postsecondary Education  
Washington, DC 20006-8513

Fiscal Year 2010

**APPLICATION FOR GRANTS UNDER THE**  
**Native American-Serving Nontribal Institutions Program**  
**84.031X**

**Form Approved: OMB No. 1840-0816, 06/30/2013**

**CLOSING DATE: August 6, 2010**

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Dear Applicant:

Thank you for your interest in applying for a grant under the Native American Serving Nontribal Institutions (NASNTI) Program authorized under Title III, Part A, Section 319 (84.031X).

The NASNTI Program provides grants and related assistance to Native American Serving Nontribal Institutions to enable these institutions to improve and expand their capacity to serve Native Americans and low-income individuals by increasing their self-sufficiency in improving academic programs, institutional management and fiscal stability.

To qualify for this program, an institution of higher education must: be an eligible institution under section 312 (b) of the HEA, must have an enrollment of undergraduate students that is at least 10 percent Native American at the time of application for a grant and not be a Tribal College or University under section 316 of the HEA.

For fiscal year (FY) 2010 there are six invitational priorities for this program. We are particularly interested in applications that address these priorities, however, under 34 CFR 75.105 (c) (1) we do not give an application that meets these invitational priorities a competitive or absolute preference over other applications. These priorities are: 1) Develop programs that meet the unique educational and culturally-related academic needs of Native Americans, particularly in the area of language preservation; 2) Work with Native American tribes to develop programs that meet the unique academic and cultural needs of Native American students; 3) Support activities that will improve the institution's persistence and graduation rates; 4) Work with the appropriate state agencies to develop strategies for using state longitudinal data systems to track outcomes for students attending the grantee institution, including the extent to which the students complete certificates, two-year degrees, and four-year degrees at other institutions; 5) Develop academic programs to improve course completion rates or develop innovation support programs that are designed to increase completion rates; and, 6) Develop dual enrollment programs that facilitate the transition between high school and college or career pathways programs that integrate basic academic instruction with technical or professional occupational training to advance individuals, particularly adult learners, on a career path toward high-wage occupations in high-demand industries.

For FY 2010 the NASNTI Program received \$3.6 million in discretionary funding under Title III, Part A, Section 319 of the HEA. Applicants should refer to Title III, Part A for the allowable activities. An additional \$5 million in mandatory funding under Title III, Part F, Section 371 was provided under the Health Care and Education Reconciliation Act (HCERA) but those funds will be awarded later this year through a separate competition.

To receive a grant under the NASNTI Program, an institution of higher education must have applied for and received designation as an eligible institution. The notice inviting FY 2010 applications to Request Designation As An Eligible Institution was published in the Federal Register on December 7, 2009. The deadline date for receipt of that application was January 6, 2010. Institutions that failed to submit an eligibility application by January 6, 2010 will be provided an opportunity to apply for eligibility in advance of the deadline established for applications for the mandatory funding provided in the HCERA. However, institutions that were determined to be eligible for FY 2010 will not need to submit another eligibility application for these additional funds.

Applications for grants under the NASNTI Program, for the FY 2010 grant competition, must be submitted electronically using e-Application, which is accessible through the Department's e-Grants system. A detailed description of this internet-based system is included in this application package. You are urged to acquaint yourself

with the requirements of this system early. You may access e-Grants through its portal page at:

<http://e-grants.ed.gov>

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 2010 published in the Federal Register. The Federal Register Notice Inviting Applications for New Awards and application instructions are included in this package.

In addition, the applicant is also required to submit a five-year plan to be included for improving the assistance provided by the Native American Serving Nontribal Institution to Native Americans and low-income individuals; and any other information and assurances the Secretary may reasonably require.

You are reminded that you should not rely upon any information that is inconsistent with the guidance contained within this application package. I urge you to carefully read all the information contained in this package, including the eligibility requirements found in the HEA, as amended by the Higher Education Opportunity Act (HEOA), the Program Statute, and the competition highlights, before preparing your application.

This package contains the necessary forms and instructions to apply for a FY 2010 grant under this program.

If you have questions, please contact LaTonya Brown, Program Officer at 202-502-7619 or Darlene Collins, Team Leader at 202-502-7576.

Sincerely,

/s/

James E. Laws, Jr., Ed.D  
Director  
Institutional Development and  
Undergraduate Services

## COMPETITION HIGHLIGHTS

1. **NASNTI** applications submitted for fiscal year (FY) 2010 must be submitted electronically using e-Application, accessible through the Department's e-Grants web site at: <http://e-grants.ed.gov>. You are urged to acquaint yourself with the requirements of e-Grants early. A more thorough discussion about e-Grants and e-Application is included later in this application package.
2. **There are six invitational priorities for this program for FY 2010.** We are particularly interested in applications that address these priorities, however, under 34 CFR 75.105 (c) (1) we do not give an application that meets these invitational priorities a competitive or absolute preference over other applications. These priorities are: 1) Develop programs that meet the unique educational and culturally-related academic needs of Native Americans, particularly in the area of language preservation; 2) Work with Native American tribes to develop programs that meet the unique academic and cultural needs of Native American students; 3) Support activities that will improve the institution's persistence and graduation rates; 4) Work with the appropriate state agencies to develop strategies for using state longitudinal data systems to track outcomes for students attending the grantee institution, including the extent to which the students complete certificates, two-year degrees, and four-year degrees at other institutions; 5) Develop academic programs to improve course completion rates or develop innovation support programs that are designed to increase completion rates; and, 6) Develop dual enrollment programs that facilitate the transition between high school and college or career pathways programs that integrate basic academic instruction with technical or professional occupational training to advance individuals, particularly adult learners, on a career path toward high-wage occupations in high-demand industries.
3. **Applications submitted late will not be accepted.** 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. **Applicants must follow specific formatting requirements.** A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides. Page numbers and an identifier may be within the 1" margin. Double space (no more than three lines per vertical inch) all text in the application narrative, except titles, headings, footnotes, quotations, references, captions and all text in charts, tables, and graphs. Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. Applications submitted in any other font (including Times Roman and Arial Narrow) will be rejected. Do not use less than a 12-point font.
5. **Applicants are required to submit a Program Abstract.** The Project Abstract is limited to a one-page single-spaced document in word format only and no charts. The abstract must include the name of the institution, city, and purpose. The abstract must be uploaded into the "Program Narrative Abstract Form" in the e-Application system.

6. **Applicants are required to complete a program profile form.** Applicants are asked to carefully read question #5 on the Program Profile, and check the box or place an “X” next to the box certifying that they will comply with the statutory requirements and program assurances cited in the applicable regulations. Upon completion of the program profile sheet, you are required to copy and paste the Program Profile Form into a separate document or recreate the form exactly as it appears, and attach the form to the “Program Narrative Profile Form” in e-Application as a .doc, .rtf, or .pdf document.
7. **Applicants must complete the Activity Budget Detail Form.** Applicants are required to copy and paste the Budget Detail Form into a separate document or recreate the form exactly as it appears and attach it to the Program Narrative Budget in e-Application as a .doc, .rtf, or .pdf document.
8. **Applicants must adhere to the page limit requirements.** All applicants are required to adhere to the page limit for the Project Narrative portion of the application. You must limit the section of the narrative that addresses the selection criteria to no more than 50 pages for the Individual Development Grant application and 70 pages for the Cooperative Arrangement Development Grant application.
9. **Applicants must follow specific submission procedures.** Included in this application package is a document containing submission procedures to ensure your application is received in a timely and acceptable manner. Consult and follow the Federal Register notice to ensure proper guidance for application submission. Exceptions to the electronic submission requirement are also outlined in the Federal Register notice. The Department is required to enforce the established deadline in order to ensure fairness to all applicants.
10. **The NASNTI Program** provides grants and related assistance to Native American Serving Nontribal Institutions to enable these institutions to improve and expand their capacity to serve Native Americans and low-income individuals by increasing their self-sufficiency in improving academic programs, institutional management and fiscal stability.
11. **Title III Part A.** Effective August 14, 2008, the Higher Education Opportunity Act of 2008 (HEOA), which reauthorized the Higher Education Act of 1965 (HEA), established the Native American Serving Nontribal Institutions Program:

*SEC. 306. Native American Serving Nontribal Institutions (NASNTI) Part A of Title III (20 U.S.C. 1057 et seq.) is amended by adding after section 318 (as added by section 305 of this Act) the following:*

SEC. 319. Native American Serving Nontribal Institutions, authorizes five-year competitive grants to eligible institutions:

**Note: The exemption under Section 313(d) states that Institutions receiving grants under this part are exempt from the requirements of section 313(d).**

**The allowable activities under Title III, Part A, Section 319 include:**

- the purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes;
- renovation and improvement in classroom, library, laboratory, and other instructional facilities;
- support of faculty exchanges, faculty development, and faculty fellowships to assist faculty in attaining advanced degrees in the faculty’s field of instruction;
- curriculum development and academic instruction;
- the purchase of library books, periodicals, microfilm, and other educational materials;
- funds and administrative management, and acquisition of equipment for use in strengthening funds

management;

- the joint use of facilities such as laboratories and libraries;
- academic tutoring and counseling programs and student support services; and
- education or counseling services designed to improve the financial and economic literacy of students or the students' families.

12. **Applicants must submit a five-year plan.** A five-year plan should be included for improving the assistance provided by the Native American-Serving Nontribal Institution to Native Americans and low-income individuals; and any other information and assurances the Secretary may reasonably require.

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

**IMPORTANT – PLEASE READ FIRST**  
**U.S. Department of Education**  
***e-Application Submission Procedures and Tips for Applicants***

–  
<http://e-grants.ed.gov>

To facilitate your use of e-Application, this document includes important application preparation and 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. Please read and follow these step-by-step directions to create and submit your application.

**ATTENTION**

Applicants using the Department of Education's e-Application system will need to register first to access an application package. Forms in an application package are completed on line and narratives are uploaded while logged into the system. Therefore, allow sufficient time to complete your application before the closing date. If you have not used e-Application in the past, you may want to walk through the Demo available on the e-Application homepage. If you encounter difficulties, you may also contact the e-Grants helpdesk on 1-888-336-8930. The following are steps you should follow to successfully complete an application with e-Application.

Step 1 – **Determine** if your program is accepting electronic applications. The Federal Register Notice of each program will indicate whether the program is accepting e-Applications as part of the Department's e-Application program. Here is a link to the Department's Federal Register notices: <http://www.ed.gov/news/fedregister/announce/index.html>. Additional information on the Department of Education's grant programs can be found at <http://www.ed.gov/about/offices/list/ocfo/grants/grants.html>.

Step 2 – **Register in e-Application** to access the application package. If you are a new user, you will need to register to use e-Application. From the e-Grants Portal Page <http://e-grants.ed.gov/>, click on the continue button and click the register button on the right side of the next page. Select the e-Application module and click the next button. Please provide the requested information. Your e-Grants password will be sent to the e-mail address you provide. Once you receive the e-mail, enter your username and password and click the login button. If you are a registered user and already have a username and password for e-Grants, use them to login. If you have access to more than one e-Grants module, you will be directed to select which module you wish to enter. Keep in mind that this username and password will be used for all e-Grants modules. In order to update your registration for additional e-Grants modules, click the appropriate tab on the top of the screen and provide the requested information.

Note the following browser compatibility problems. The site is viewed best in Internet Explorer 5. We currently support IE 5, Netscape 6.2, Firefox 2.2 (along with later versions of IE, Netscape and Firefox). Please make sure that you have **Cookies** and **JavaScript** enabled in your browser.

**Step 3 - Add Application Package to your Start Page.** From your *Start Page*, click on the "Add" button to see the list of application packages. Click on a specific package link on the List of Application Packages to apply. The package will now appear on your Start Page. From this point forward, you will access your unique application from your Start Page (not the Packages Page).

**Step 4 - Begin the Application.** Click on the underlined Application Package Title on your Start Page. This brings you to a page where you will see all of the application's forms and narratives listed as underlined links.

**Step 5 - Fill out Forms.** Enter a form by clicking on the underlined form title in order to enter data. Remember to click the "Save" button at the bottom of the form and check the "Form Completed" box for each form as you complete it.

**Step 6 - Upload File(s) for Narrative Responses.** Click on an underlined narrative form title for the e-Application. Enter the title of the document, and click on the "Browse" button to locate your file. Remember to click the "Save" button after you upload the document and check the "Form Completed" box when you finish uploading your file(s). Please note for file uploads, we accept .doc, .rtf, and .pdf files only. If you are using Word 2007, please save your document in a lower version of Word before uploading into e-Application.

**Step 7 - Verify Information/Print Application.** Verify that your information is complete and correct on all required forms and narratives. You have the option to print each form at any time by clicking on the print/view icon next to the appropriate form. After submission of the forms and narratives, you have the option to print a complete e-Application package in PDF by clicking on the "Request Complete Package in PDF" on the e-Application PR/Award page. A second window will open informing you that your request has been received and that you will be notified via email once it is available. This process can take anywhere from a few minutes to a few hours. Once you receive the email, click on the link in the text of the message and enter your username and password in the new window. This will open the PDF file from which you can view/print the entire package. In addition, a blank complete package in PDF will be accessible from the package page in e-Application.

**Step 8 - Submit your Application.** Only authorized individuals for your organization can submit an application. Please check with your certifying official or sponsored research office before submission. Click on the "Ready to submit" button at the bottom of your application. Enter and verify the Authorizing Representative information. Click the "Submit" button. You will receive an e-mail to confirm that your application was received, and it will include a unique application number. Please print and keep this e-mail for your records. [Reminder: applications must be submitted before 4:30:00 pm, Washington, D.C. time, on the deadline date for applications. **Note: e-Application will not accept your application if you try to submit it after 4:30:00 p.m. on the deadline date.**]

Step 9 - **Fax the signed SF 424 Cover Page (or Program Specific Cover Page)**. Write your unique application number (received in step 8) on the upper right corner of your printed SF 424 Cover Page (or Program Specific Cover Page), and fax it to the Application Control Center (202) 245-6272 within 3 business days of submitting your e-Application.

NOTE: For more detailed information on submitting an e-Application, please see the **User Guide**. In addition, please try practicing with our e-Application Demo site by clicking on the Demo button found on the upper left corner of the e-Application Home Page. Both the User Guide and Demo can be found at <http://e-grants.ed.gov>.

### **Other Submission Tips**

- 1) **SUBMIT EARLY – We strongly recommend that you do not wait until the last day to submit your application.** The time it takes to upload the narratives for your application will vary depending on a number of factors including the size of the files and the speed of your Internet connection. If you try to submit your application after 4:30:00 p.m. on the deadline date, the e-Application system will not accept it.
- 2) If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date.

If electronic submission is required, you must submit an electronic application before 4:30:00 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions).

- 3) **Dial-Up Internet Connections** - When using a dial up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial up connection. If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following the instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date. (See the Federal Register notice for detailed instructions).

## Attaching Files – Additional Tips

Please note the following tips related to attaching files to your application:

1. Ensure that you only attach the Department of Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to a lower version of Word before uploading. Also, do not upload any password protected files to your application.
2. When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend you keep your file names to less than 50 characters. In addition, applicants should avoid including special characters in their file names (for example, %, \*, /, etc.). Both of these conditions (lengthy file names and/or special characters including in the file names) could result in difficulties opening and processing a submitted application.
3. 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. Please note that each file attachment in e-Application has a file size limitation which is anywhere from 2 to 8 MB and the limitation will be indicated on the individual screen when you upload a file. For reference, however, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the size of your attachments before uploading them into e-Application.

# Application Transmittal Instructions

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

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

**According to the instructions found in the Federal Register notice, those requesting and qualifying for an except the electronic submission requirement may submit an application by mail, commercial carrier or by hand delive**

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

## **Applications Submitted Electronically**

You must submit your grant application through the Internet using the software provided on the e-Grants Web site (<http://e-grants.eg.gov>) by 4:30:00 p.m. (Washington, D.C. time) on or before the application deadline date.

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

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

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

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

**U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.031X)  
LBJ Basement Level 1  
400 Maryland Avenue, S.W.  
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, or
- (2) A mail receipt that is not dated by the U.S. Postal Services.

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 check with your local post office.

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

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 the application by hand, on or before the application deadline date, to the Department at the following address:

**U.S. Department of Education  
Application Control Center – Stop 4260  
Attention: CFDA Number – 84.031X  
550 12<sup>th</sup> Street, SW  
Room 7041, Potomac Center Plaza  
Washington, D.C. 20202-4260**

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, D.C. 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.

### **Late Applications**

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

## DEFINITIONS

**Native American**—The term ‘Native American’ means an individual who is of a tribe, people, or culture that is indigenous to the United States.

### **NATIVE AMERICAN SERVING NONTRIBAL INSTITUTION (NASNTI).**

The term ‘Native American Serving Nontribal Institution’ means an institution of higher education as defined in section 101(a), that, at the time of application—

- (A) is an eligible institution under section 312(b);
- (B) has an enrollment of undergraduate students that is not less than 10 percent Native American students; and
- (C) is not a Tribal College or University (as defined in section 316 of the HEA, as amended).

SEC. 312(b): ELIGIBLE INSTITUTION.--For the purpose of this part, the term “eligible institution” means -

(1) an institution of higher education--

- (A) which has an enrollment of needy students as required by subsection (c) of this section;
- (B) except as provided in section 392(b), the average educational and general expenditures of which are low, per full-time equivalent undergraduate student, in comparison with the average educational and general expenditures per full-time equivalent undergraduate student of institutions that offer similar instruction;
- (C) which is

- (i) legally authorized to provide, and provides within the State, an educational program for which such institution awards a bachelor’s degree;
- (ii) a junior or community college; or
- (iii) the College of the Marshall Islands, the College of Micronesia/Federated States of Micronesia, and Palau Community College;

(D) which is accredited by a nationally recognized accrediting agency or association determined by the Secretary to be reliable authority as to the quality of training offered or which is, according to such an agency or association, making reasonable progress toward accreditation;

(E) which meets such other requirements as the Secretary may prescribe; and

(F) located in a State; and

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

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

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

The term ‘Tribal College or University’ means an institution that—

(A) qualifies for funding under the Tribally Controlled Colleges and Universities Assistance Act of 1978 (25 U.S.C. 1801 et seq.) or the Navajo Community College Assistance Act of 1978 (25 U.S.C. 640a note); or

(B) is cited in section 532 of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note).

## SUPPLEMENTAL INFORMATION

The following information supplements the information provided in the “Dear Applicant” letter and the Federal Register Notice Inviting Applications.

### 1. Certification of Eligibility

All applicants for the Native American Serving Nontribal Institutions (NASNTI) Program must submit the Designation of Eligibility application in order to be considered for funding.

### 2. Estimated Funding

- **Estimated Available Funds for FY 2010 for NASNTI**

Title III, Part A          \$3,600,000

	<b>Minimum/ Maximum Award Amount</b>	<b>Estimated Number of Awards</b>	

Program Name and Type of Award			Estimated Average Award Amount
Native American- Serving Nontribal Institutions (NASNTI)			
<b>Title III, Part A</b> Five-Year Individual Development Grants	\$200,000- \$400,000	8	\$383,000
Five-Year Cooperative Arrangement Development Grants	\$200,000- \$500,000	1	\$350,000

**NOTES: The U.S. Department of Education is not bound by these estimates. Please see the Federal Register notice regarding submitting a five-year plan.**

3. **Intergovernmental Review of Federal Programs**

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.html> .

4. **Applicant Funding**

The Department is often unable to award the full amount of funds requested. Applicants should pay close attention to the "Award Information" section of the Federal Register Notice. The Department will not fund any application at an amount exceeding the applicable maximum level.

5. **Evaluation of Applications**

A three-member panel of non-federal reviewers evaluates each application. Each reviewer assigns points for each selection criteria and prepares evaluation comments.

6. **Selection Criteria**

The selection criteria in EDGAR 34 CFR part 75 section 75.210 is used to evaluate applications. The selection criteria and maximum possible points are included in the Federal Register Notice.

7. **Notice to Successful Applicants**

The Department's Office of Legislation and Congressional Affairs will inform the Congressional office regarding applications approved for new program grants. Successful applicants will receive award notices by mail shortly after the Congressional office is notified. No funding information will be released before the Congressional office is notified.

8. **Notice to Unsuccessful Applicants**

Unsuccessful applicants will be notified in writing.

9. **Annual Performance Report Requirements**

If you receive a FY 2010 new grant award under the NASNTI program, you will be required to complete an Interim Performance Report after six months into the grant period, an Annual Performance Report each year, and a Final Performance Report at the end of the grant period. Grantees will be reminded of these reporting requirements prior to the due dates.

10. **Contact Information**

**NASNTI Program**

Program Officer: LaTonya Brown  
Address: Native American Serving Nontribal Institutions Program  
U.S. Department of Education  
1990 K Street, N.W., Room 6064  
Washington, DC 20006-8513  
Telephone: (202) 502-7619  
Fax: (202) 502-7861  
E-mail Address: latonya.brown@ed.gov

Darlene B. Collins  
Team Leader  
Address: Native American Serving Nontribal Institutions Program  
U.S. Department of Education  
1990 K Street, N.W., Room 6033  
Washington, DC 20006-8513  
Telephone: (202) 502-7576  
Fax: (202) 502-7861  
E-mail Address: Darlene.Collins@ed.gov

**For e-Grants related questions and assistance, please contact:**

Support Desk: e-Grants Help Desk  
Telephone: (888) 336-8930  
E-mail Address: <http://e-grants.ed.gov>  
Hours: Monday – Friday, 8:00 A.M. – 6:00 P.M. Eastern Time

## Program Narrative Instructions

### **The program narrative shall be attached to the “Program Narrative Selection Criteria” in the Application Package, in e-Application.**

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

The Secretary evaluates an application according to the program specific criteria in EDGAR 34 CFR part 75 §75.210. The Program Narrative should provide in detail the information that addresses each selection criterion. The maximum possible score for each category of selection criterion is indicated in parenthesis. For ease of reading by the reviewers, applicants should follow the sequence of the criteria as provided below. Applications should be written in a clear and concise manner. You must limit the section of the narrative that addresses the selection criteria to no more than 50 pages for the Individual Development Grant application and 70 pages for the Cooperative Arrangement Development Grant application.

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

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

- Application for Federal Assistance (SF 424)
- Department of Education Supplemental Information form for SF 424

Note: Applicants must complete the SF 424 form first because the information you provide here is automatically inserted into other sections of e-Grants.

#### **2. U. S. Department of Education Budget Summary Forms:**

- ED 524 (Section A and Section B)

The “**U. S. Department of Education Budget Information for Non-Construction Programs**” (found in e-Application package) is where applicants provide budget information for Section A – Budget Summary U.S. Department of Education Funds and Section B – Budget Summary Non-Federal Funds Applicants should include costs for all project years. Note: Section C – Budget Narrative section in the selection criteria should be included in the “Program Narrative Selection Criteria.

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

The “Program Narrative Abstract Form” (found in e-Application) is where applicants will attach in a word document, their one-page project abstract that will provide an overview of the proposed project.

**4. Program Profile Page (To be attached to the “Program Narrative Profile Page” found in e-Application).**

This form is used to profile you, the applicant. It also addresses dual submission certification, cooperative development arrangements grants and invitational priorities.

**5. Program Narrative Selection Criteria**

The “Program Narrative Selection Criteria” (found in e-Application) includes the narrative responses to the selection criteria (below) that will be used to evaluate applications submitted for this competition. Please include a Table of Contents as the first page of the program narrative. You must limit the program narrative to no more than 50 pages for the Individual Development Grant application and 70 pages for the Cooperative Arrangement Development Grant application. The Program Narrative should be consecutively numbered.

**6. Selection Criteria – Program Narrative Attachment**

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

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

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

**I. *Need for the project.* (Maximum 20 points)** In determining the need for the proposed project, the Secretary considers:

- a. The magnitude of the needs for the services to be provided or the activities to be carried out by the proposed project. (10 points)
- b. The extent to which the proposed project will focus on serving or otherwise addressing the needs of disadvantaged individuals. (5 points)
- c. The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses. (5 points)

- II. *Quality of the project design.* (Maximum 15 points)** In determining the quality of the design of the proposed project, the Secretary considers:
- a. The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable. (10 points)
  - b. The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs. (5 points)
- III. *Quality of project services.* (Maximum 15 points)** In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. In addition, the Secretary considers:
- a. The extent to which the services provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services. (10 points)
  - b. The extent to which the services to be provided by the proposed project reflect up-to-date knowledge from research and effective practice. (5 points)
- IV. *Quality of project personnel.* (Maximum 10 points)** In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. In addition, the Secretary considers:
- a. The qualifications, including relevant training and experience, of the project director or principal investigator. (5 points)
  - b. The qualifications, including relevant training and experience, of key project personnel. (5 points)
- V. *Adequacy of resources.* (Maximum 5 points)** In determining the adequacy of resources for the proposed project, the Secretary considers:
- a. The extent to which the budget is adequate to support the proposed project. (3 points)
  - b. The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project. (2 points)

**VI. *Quality of the management plan.* (Maximum 20 points)** In determining the quality of the management plan for the proposed project, the Secretary considers:

- a. The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks. (10 points)
- b. The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project. (5 points)
- c. The adequacy of mechanisms for ensuring high-quality products and services from the proposed project. (5 points)

**VII. *Quality of the project evaluation.* (Maximum 15 points)** In determining the quality of the evaluation, the Secretary considers:

- a. The extent to which the methods of evaluation are thorough, feasible and appropriate to the goals, objectives and outcomes of the proposed project. (5 points)
- b. The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes. (5 points)
- c. The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible. (5 points)

**THE FOLLOWING GUIDANCE MAY ASSIST YOU IN ADDRESSING EACH OF THE WEIGHTED SELECTION CRITERIA:**

**Need:** When addressing this criterion, applicants should provide detailed information that not only identifies a need for their proposed project but they should also provide data that supports their claim for a need for the proposed project. Supporting documentation may consist of recent statistics from State, local and Federal sources; mission statement; comparison data from similar institutions; etc.

**Project Design:** When addressing this criterion, applicants should clearly and succinctly identify the goals, objectives, and outcomes to be achieved. A mere listing of the goals, objectives, and outcomes is not sufficient. The identified goals, objectives, and outcomes should not only address the identified need for the project but should also be measurable and support the purpose of the program.

**Project Services:** When addressing this criterion, applicants should clearly spell out the activities and services it is proposing and the intended recipients or beneficiaries of each service or activity. A mere listing of the services and beneficiaries is not enough.

Provide details as to the types of activities and services to be provided and the extent to which the activities and services reflect up-to-date knowledge from research and effective practice. In other words, will the proposed activities and services meet the need of the project?

**Project Personnel:** The minimum qualifications must be identified for all project personnel positions. The minimum educational qualifications should include the type of degree required and the acceptable field(s) of study. The type and minimum amount of work-related experience should also be described for each position.

**Adequacy of Resources:** This section should provide information that shows that the proposed budget will provide adequate resources necessary to successfully carry out the proposed project. Applicants should demonstrate here how the proposed costs would enable them to carry out the project and that the proposed costs are reasonable in relation to the objectives, design, and significance of the proposed project.

In response to this criterion, applicants must also provide a detailed, itemized budget (ED Form 524) and a detailed budget narrative for each 12-month budget period. The budget narrative is to be included in the *Program Narrative* to be attached to the Program Narrative Selection Criteria in the application package downloaded from Grants.gov.

**Management Plan:** Describe the plan of management. Who will be responsible for which tasks? What are the expected timelines and proposed budgets for each activity or service? What are the expected milestones for accomplishing the proposed activities or services? Have you included procedures that will ensure feedback and the opportunity for continuous improvement in the operation of the proposed project? Be sure that the management plans are clearly and concisely defined.

**Project Evaluation:** A strong evaluation plan should be included and should be used, as appropriate, to shape the development of the project from the beginning of the grant period. The evaluation plan should include benchmarks to monitor progress toward meeting specific project objectives based on the program's performance indicators. Specifically, the plan should identify the individual or organization that has agreed to serve as evaluator for the project and describe the qualifications of the evaluator. The plan should describe the evaluation design, indicating: (1) what types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports and outcomes will be available; and (7) how the applicant will use the information collected through evaluation to monitor progress of the funded project. Applicants are encouraged to devote an appropriate level of resources to project evaluation and should explain the measures and strategies that will be used to ensure that the evaluation is appropriately rigorous and independent.

4000-01-U

DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

Native American-Serving Nontribal Institutions (NASNTI) Program

Notice inviting applications for new awards for fiscal year (FY) 2010.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.031X.

Dates:

Application Available: July 7, 2010

Deadline for Transmittal of Applications: August 6, 2010

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The NASNTI Program provides grants and related assistance to Native American-Serving Nontribal Institutions to enable these institutions to improve and expand their capacity to serve Native Americans and low-income individuals by increasing their self-sufficiency in improving academic programs, institutional management, and fiscal stability.

To qualify for funds under the NASNTI Program, an institution of higher education (IHE) must: be an eligible institution under section 312(b) of the Higher Education Act of 1965, as amended (HEA); have an enrollment of undergraduate students that is at least 10 percent Native American at the time of application for a grant; and not be a Tribal College or University under section 316 of the HEA.

Priorities: Under this competition, we are particularly interested in applications that address the following invitational priorities:

Invitational Priorities: For FY 2010, there are six invitational priorities for this program. Under 34 CFR 75.105(c)(1) we do not give an application that

meets these invitational priorities a competitive or absolute preference over other applications.

These invitational priorities are:

Invitational Priority 1.

Develop programs that meet the unique educational and culturally-related academic needs of Native Americans, particularly in the area of language preservation.

Invitational Priority 2.

Work with Native American tribes to develop programs that meet the unique academic and cultural needs of Native American students.

Invitational Priority 3.

Support activities that will improve the institution's persistence and graduation rates.

Invitational Priority 4.

Work with the appropriate State agencies to develop strategies for using State longitudinal data systems to track outcomes for students attending the grantee institution, including the extent to which the students complete certificates, two-year degrees, and four-year degrees at other institutions.

Invitational Priority 5.

Develop academic programs to improve course completion rates or develop innovative support programs that are designed to increase completion rates.

Invitational Priority 6.

Develop dual enrollment programs that facilitate the transition between high school and college or career pathways programs that integrate basic academic instruction with technical or professional occupational training to advance individuals, particularly adult learners, on a career path toward high-wage occupations in high-demand industries.

Program Authority: Title III, Part A, Section 319 of the HEA.

Applicable Regulations: The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 82, 84, 85, 86, 97, 98, and 99.

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

II. Award Information

Type of Award: Title III, Part A - Five-year Individual Development grants and five-year Cooperative Arrangement Development grants will be awarded in FY 2010.

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Estimated Available Funds: Title III, Part A \$3,600,000

	Minimum/ Maximum Award Amount	Estimated Number of Awards	
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Program Name and Type of Award			Estimated Average Award Amount
Native American-serving Nontribal Institutions (NASNTI)			
Title III, Part A Five-Year Individual Development Grants	\$200,000-\$400,000	8	\$383,000
Five-Year Cooperative Arrangement Development Grants	\$200,000-\$500,000	1	\$350,000

Note: The Department is not bound by any estimates in this notice. Applicants should periodically check the Title III

Program's Web site for further information. The address is:

<http://www.ed.gov/about/offices/list/ope/idades/index.html>.

Project Period: Up to 60 months.

### III. Eligibility Information

1. Eligible Applicants: An IHE is eligible to receive funds under this program if it is a Native American-Serving Nontribal Institution (NASNTI).

Native American. The term 'Native American' means an individual who is of a tribe, people, or culture that is indigenous to the United States as defined in the Office of Management and Budget's Standards for Maintaining, Collecting, and Presenting Federal Data on Race and Ethnicity as published on October 30, 1997 (62 Fed. Reg. 58789). As part of the application for a grant, applicants

will be required to complete and submit a certification assurance form on which the applicant provides their total undergraduate headcount enrollment and certifies that 10 percent of its enrollment is Native American for the purpose of the NASNTI program. The form must be submitted and signed by an official with the authority to represent the institution.

To qualify as an eligible institution under the NASNTI program, an institution must, among other requirements -

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

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

(3) Be designated as an "eligible institution" by demonstrating that it: A) has an enrollment of needy students as described in 34 CFR 607.3; and B) has low average educational and general expenditures per full-time equivalent (FTE) undergraduate student as described in 34 CFR 607.4.

Note: The notice for applying for designation as an eligible institution for FY 2010 was published on December 7, 2009, 74 FR 64059, and applications were due on January 6, 2010. Only institutions that submitted applications by the deadline date of January 6, 2010 and that the Department determined are eligible may apply for a grant. Relationship between the Title III, Part A programs, and the Hispanic-Serving Institutions (HSI) program.

Note 1: A grantee under the Developing Hispanic-Serving Institutions (HSI) program, which is authorized by Title V of the HEA, may not receive a grant under any HEA, Title III, Part A program including the NASNTI program.

Further, a current HSI program grantee may not give up its HSI grant in order to receive a grant under any Title III, Part A program.

Note 2: An eligible HSI that does not fall within the limitation described in Note 1 (i.e., is not a current grantee under the HSI program) may apply for a FY 2010 grant under all Title III, Part A programs for which it is eligible, as well as receive consideration for a grant under the HSI program. However, a successful applicant may receive only one grant.

Note 3: The Department will make grant awards in rank order from the funding slates according to the average score received from a panel of three readers.

2. Cost Sharing or Matching: This program does not require cost sharing or matching.

#### IV. Application and Submission Information

##### 1. Address to Request Application Package:

You can obtain an application via the Internet using the following address: <http://e-grants.ed.gov>. If you do not have access to the Internet, please contact LaTonya Brown or Darlene Collins, U.S. Department of Education, 1990 K Street, NW, 6<sup>th</sup> floor, Washington, DC 20006-8513. You may contact these individuals at the following e-mail addresses or telephone numbers:

LaTonya.Brown@ed.gov; (202) 502-7619

Darlene.Collins@ed.gov; (202) 502-7576

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

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

2. Content and Form of Application Submission: Requirements concerning the content of an application, together with the forms you must submit, are in

the application package for this program.

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

- A "page" is 8.5" x 11", on one side only, with 1 inch margins at the top, bottom, and both sides. Page numbers and an identifier may be within the 1" margins.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions. However, you may single space all text in charts, tables, figures, and graphs. Charts, tables, figures, and graphs presented in the application narrative count toward the page limit.
- Use a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch). However, you may use a 10-point font in charts, tables, figures, graphs, footnotes, and endnotes.
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

The page limit does not apply to Part I, the Application for Federal Assistance (SF 424); the Supplemental Information for SF 424 Form required by the Department of Education; Part II, the Budget Information Summary Form (ED Form 524); and Part IV, the Assurances and Certifications. The page limit also does not apply to the Table of Contents, the Program one-page Abstract, the resumes, the bibliography, or the letters of support. If you include any

attachments or appendices, these items will be counted as part of the Program Narrative (Part III of the application) for purposes of the page limit requirement. You must include your complete response to the selection criteria in the program narrative.

We will reject your application if you exceed the page limit.

3. Submission Dates and Times:

Applications Available: July 7, 2010

Deadline for Transmittal of Applications: August 6, 2010

Applications for grants under this program must be submitted electronically using the Electronic Grant Application System (e-Application) accessible through the Department's e-Grants web site at: <http://e-grants.ed.gov>. For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 7. Other Submission in Requirements of this notice.

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

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

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

the application package for this program.

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

6. Data Universal Numbering System Number, Taxpayer Identification Number, and Central Contractor Registry: To do business with the Department of Education (1) you must have a Data Universal Numbering System (DUNS) number and a Taxpayer Identification Number (TIN); (2) you must register both of those numbers with the Central Contractor Registry (CCR), the Government's primary registrant database; and (3) you must provide those same numbers on your application.

You can obtain a DUNS number from Dun and Bradstreet. A DUNS number can be created within one business day.

If you are a corporate entity, agency, institution, or organization, you can obtain a TIN from the Internal Revenue Service. If you are an individual, you can obtain a TIN from the Internal Revenue Service or the Social Security Administration. If you need a new TIN, please allow 2-5 weeks for your TIN to become active.

The CCR registration process may take five or more business days to complete. If you are currently registered with the CCR, you may not need to make any changes. However, please make certain that the TIN associated with your DUNS number is correct. Also note that you will need to update your CCR registration on an annual basis. This may take three or more business days to complete.

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

a. Electronic Submission of Applications.

Applications for grants under the NASNTI Program CFDA Number 84.031X must

be submitted electronically using e-Application, accessible through the Department's e-Grants web site at: <http://e-grants.ed.gov>.

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

While completing your electronic application, you will be entering data online that will be saved into a database. You may not e-mail an electronic copy of a grant application to us.

Please note the following:

- You must complete the electronic submission of your grant application by 4:30:00 p.m., Washington, DC time, on the application deadline date. The e-Application system will not accept an application for this program after 4:30:00 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.

- The hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until 8:00 p.m. Sunday, Washington, DC time. Please note that, because of maintenance, the system is unavailable between 8:00 p.m. on Sundays and 6:00 a.m. on Mondays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time. Any modifications to these hours are posted on the e-Grants Web site.

- You will not receive additional point value because you submit your

application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information you typically provide on the following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.

- Please note that two of these forms--the SF 424 and the Department of Education Supplemental Information for SF 424--have replaced the ED 424 (Application for Federal Education Assistance). You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password protected file, we will not review that material.

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

- Prior to submitting your electronic application, you may wish to print a copy of it for your records.

- After you electronically submit your application, you will receive an automatic acknowledgement that will include a PR/Award number (an identifying number unique to your application).

- Within three working days after submitting your electronic application, fax a signed copy of the SF 424 to the Application Control Center after following these steps:

- (1) Print SF 424 from e-Application.

- (2) The applicant's Authorizing Representative must

sign this form.

(3) Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the SF 424.

(4) Fax the signed SF 424 to the Application Control Center at (202) 245-6272.

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

Application Deadline Date Extension in Case of e-Application Unavailability:

If you are prevented from electronically submitting your application on the application deadline date because e-Application is unavailable, we will grant you an extension of one business day to enable you to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if

--

(1) You are a registered user of e-Application and you have initiated an electronic application for this competition; and

(2) (a) E-Application is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or (b) E-Application is unavailable for any period of time between 3:30 p.m. and 4:30:00 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgement of any system unavailability, you may contact either (1) the person listed elsewhere in this notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930. If e-Application is unavailable due to technical problems with the system, the application deadline is extended, an e-mail will be sent to all registered

users who have initiated an e-Application. Extensions referred to in this section apply only to the unavailability of e-Application.

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

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to e-Application;

and

- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to: LaTonya Brown or Darlene Collins, U.S. Department of Education, 1990 K Street, NW., 6<sup>th</sup> floor, Washington, DC 20006-8513. FAX: (202) 502-7861. You may contact these individuals at the following e-mail addresses or telephone numbers:

LaTonya.Brown@ed.gov; (202) 502-7619

Darlene.Collins@ed.gov; (202) 502-7576

Your paper application must be submitted in accordance with the mail or

hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

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

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

c. Submission of Paper Applications by Hand Delivery.

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

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.031X)  
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, D.C. 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.

V. Application Review Information

1. Selection Criteria - The selection criteria for this program are in the Education Department General Administrative Regulations (EDGAR) section 75.210. Applicants must address each of the following selection criteria

(separately for each proposed activity). The total weight of the selection criteria is 100 points; the weight of each criterion is noted in parentheses.

a. Need for the project. (Maximum 20 points) In determining the need for the proposed project, the Secretary considers:

1. The magnitude of the need for the services to be provided or the activities to be carried out by the proposed project. (10 points)

2. The extent to which the proposed project will focus on serving or otherwise addressing the needs of disadvantaged individuals. (5 points)

3. The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses. (5 points)

b. Quality of the project design. (Maximum 15 points) In determining the quality of the design of the proposed project, the Secretary considers:

1. The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable. (10 points)

2. The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs. (5 points)

c. Quality of project services. (Maximum 15 points)

In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race,

color, national origin, gender, age, or disability. In addition, the Secretary considers:

1. The extent to which the services provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services. (10 points)

2. The extent to which the services to be provided by the proposed project reflect up-to-date knowledge from research and effective practice. (5 points)

d. Quality of project personnel. (Maximum 10 points)

In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

In addition, the Secretary considers:

1. The qualifications, including relevant training and experience, of the project director or principal investigator. (5 points)

2. The qualifications, including relevant training and experience, of key project personnel. (5 points)

e. Adequacy of resources. (Maximum 5 points) In determining the adequacy of resources for the proposed project, the Secretary considers:

1. The extent to which the budget is adequate to support the proposed project. (3 points)

2. The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project. (2 points)

f. Quality of the management plan. (Maximum 20 points) In determining

the quality of the management plan for the proposed project, the Secretary considers:

1. The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks. (10 points)

2. The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project. (5 points)

3. The adequacy of mechanisms for ensuring high-quality products and services from the proposed project. (5 points)

g. Quality of the project evaluation. (Maximum 15 points) In determining the quality of the evaluation, the Secretary considers:

1. The extent to which the methods of evaluation are thorough, feasible and appropriate to the goals, objectives and outcomes of the proposed project. (5 points)

2. The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible. (5 points)

3. The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes. (5 points)

2. Review and Selection Process: For five-year individual development grants and five-year cooperative arrangement development grants, awards will be made in rank order according to the average score received from a panel of three readers. All Title III Part A applications for individual development grants will be ranked together from the highest to the lowest score for funding

purposes and all cooperative arrangement development grants will be ranked in the same manner.

3. Tie-breaker for Title III, Part A Development Grants. In tie-breaking situations, 34 CFR 607.23(b) requires that we award one additional point to an application from an IHE that has an endowment fund of which the current market value per FTE enrolled student is less than the average current market value of the endowment funds, per FTE enrolled student at comparable institutions that offer similar instruction. We award one additional point to an application from an IHE that had expenditures for library materials per FTE enrolled student that are less than the average expenditures per FTE enrolled student at comparable institutions that offer similar instruction. We also add one additional point to an application from an IHE that proposes to carry out one or more of the following activities--

1. Faculty development;
2. Funds and administrative management;
3. Development and improvement of academic programs;
4. Acquisition of equipment for use in strengthening management and academic programs;
5. Joint use of facilities; and
6. Student services.

For the purpose of these funding considerations, we use 2007-2008 data. If a tie remains after applying the tie-breaker mechanism above, priority will be given in the case of applicants for: a) individual development grants to applicants that have the lowest endowment values per FTE enrolled student; and b) cooperative arrangement development grants to applicants in accordance with section 394(b) of the HEA, if the Secretary determines that the cooperative arrangement is geographically and economically sound or will benefit the

applicant institution.

## VI. Award Administration Information

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

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

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section in this notice.

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

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary in 34 CFR 75.118 and 34 CFR 607.31. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to [www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html).

4. Performance Measures: The Secretary has established the following key performance measures for assessing the effectiveness of the NASNTI programs:

a. The percentage change, over a five-year period, of the number of full-time degree-seeking undergraduates enrolling at NASNTIs. Note that this is a

long-term measure, which will be used to periodically gauge performance;

b. The percentage of first-time, full-time degree-seeking undergraduate students at four-year NASNTIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same NASNTI;

c. The percentage of first-time, full-time degree-seeking undergraduate students at two-year NASNTIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same NASNTI;

d. The percentage of first-time, full-time degree-seeking undergraduate students enrolled at four-year NASNTIs who graduate within six years of enrollment; and

e. The percentage of first-time, full-time degree-seeking undergraduate students enrolled at two-year NASNTIs who graduate within three years of enrollment.

## VII. Agency Contacts

For Further Information Contact: LaTonya Brown or Darlene Collins, U.S. Department of Education, 1990 K Street, NW., 6<sup>th</sup> floor, Washington, DC 20006-8513. You may contact these individuals at the following e-mail addresses or telephone numbers:

LaTonya.Brown@ed.gov; (202) 502-7619

Darlene.Collins@ed.gov; (202) 502-7576

If you use a TDD, call the FRS, toll free, at 1-800-877-8339.

## VIII. Other Information

Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or computer diskette) on request to the program contact

persons listed in section VII of this notice.

Electronic Access to This Document: You can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site: [www.ed.gov/news/fedregister](http://www.ed.gov/news/fedregister). To use PDF you must have Adobe Acrobat Reader, which is available free at this site.

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

Delegation of Authority: The Secretary of Education has delegated authority to Daniel T. Madzellan, Director, Forecasting and Policy Analysis for the Office of Postsecondary Education, to perform the functions and duties of the Assistant Secretary for Postsecondary Education.

Dated:

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Daniel T. Madzellan,  
Director,  
Forecasting and Policy Analysis.

## **AUTHORIZING LEGISLATION**

Title III, Part A, Section 319 of the Higher Education Act (HEA) of 1965 (20 U.S.C. 1059f), as amended by the Higher Education Opportunity Act of 2008 (HEOA).

## **APPLICABLE REGULATIONS**

Education Department General Administrative Regulations (EDGAR) 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 89, 98 and 99. Also, the program regulations in 34 CFR part 607.6.

## PROGRAM STATUTE

### TITLE III---INSTITUTIONAL AID

#### SEC. 302. DEFINITIONS; ELIGIBILITY.

Section 312 (20 U.S.C. 1058) is amended—

(1) in subsection (b)(1)(A), by striking “subsection (c) of this section” and inserting “subsection (d)”;

(2) in subsection (d)(2), by striking “subdivision” and inserting “paragraph”;

(3) by redesignating subsection (g) as subsection (h); and

(4) by inserting after subsection (f) the following:

“(g) **LOW-INCOME INDIVIDUAL.**—For the purpose of this part, the term ‘low-income individual’ means an individual from a family whose taxable income for the preceding year did not exceed 150 percent of an amount equal to the poverty level determined by using criteria of poverty established by the Bureau of the Census.”.

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

#### **PART A - NATIVE AMERICAN-SERVING NONTRIBAL INSTITUTIONS. (84.031X)**

##### **SEC. 306. PROGRAM PURPOSE**

Part A of Title III (20 U.S.C. 1057 et seq.) is amended by adding after section 318 (as added by section 305 of this Act) the following:

##### **“Sec.319. NATIVE AMERICAN-SERVING NONTRIBAL INSTITUTIONS.**

“(a) **PROGRAM AUTHORIZED.** —The Secretary shall provide grants and related assistance to Native American–Serving Nontribal Institutions to enable such institutions to improve and expand their capacity to serve Native Americans and low-income individuals.

“(b) **DEFINITIONS.** —In this section:

“(1) **NATIVE AMERICAN.** —The term ‘Native American’ means an individual who is of a tribe, people, or culture that is indigenous to the United States.

“(2) **NATIVE AMERICAN-SERVING NONTRIBAL INSTITUTIONS.**—

The term ‘Native American-serving, nontribal institution’ means an institution of higher education, as defined in section 101(a), that, at the time of application—

“(A) is an eligible institution under section 312(b),

“(B) has an enrollment of undergraduate students that is not less than 10 percent Native American students; and

“(C) is not a Tribal College or University (as defined in section 316).

“(c) **AUTHORIZED ACTIVITIES.**—

“(1) **TYPES OF ACTIVITIES AUTHORIZED.** --Grants awarded under this section shall be used by Native American-Serving Nontribal Institutions to provide grants and related assistance to Native American-Serving Nontribal Institutions to enable these institutions to improve and expand their capacity to serve Native Americans and low-income individuals.

“(2) EXAMPLES OF AUTHORIZED ACTIVITIES.—Under Title III, Part A include—

- (A) The purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.
- (B) Renovation and improvement in classroom, library, laboratory, and other instructional facilities.
- (C) Support of faculty exchanges, faculty development, and faculty fellowships to assist faculty in attaining advanced degrees in the faculty’s field of instruction.
- (D) Curriculum development and academic instruction.
- (E) The purchase of library books, periodicals, microfilm, and other educational materials.
- (F) Funds and administrative management, and acquisition of equipment for use in strengthening funds management.
- (G) The joint use of facilities such as laboratories and libraries.
- (H) Academic tutoring and counseling programs and student support services.
- (I) Education or counseling services designed to improve the financial and economic literacy of students or the students’ families.

“(d) **APPLICATION PROCESS.**—

“(1) **INSTITUTIONAL ELIGIBILITY.** —A Native American-serving Nontribal Institution desiring to receive assistance under this section shall submit to the Secretary such enrollment data as may be necessary to demonstrate that the institution is a Native American-Serving Nontribal Institution, along with such other information and data as the Secretary may reasonably require.

“(2) **APPLICATIONS.**—

“(A) **AUTHORITY TO SUBMIT APPLICATIONS.** —Any institution that is determined by the Secretary to be a Native American-Serving Nontribal Institution may submit an application for assistance under this section to the Secretary.

“(B) **SIMPLIFIED AND STREAMLINED FORMAT.**—The Secretary shall, to the extent possible, continue to prescribe a simplified and streamlined format for applications under this section that takes into account the limited number of institutions that are eligible for assistance under this section.

“(C) **CONTENT.**—An application submitted under sub-paragraph (A) shall include—

“(i) a five-year plan for improving the assistance provided by the Native American-Serving Nontribal Institution to Native Americans and low-income individuals; and

“(ii) such other information and assurances as the Secretary may reasonably require.

“(3) **SPECIAL RULES.**—

“(A) **ELIGIBILITY.**—No Native American-Serving Nontribal Institution that receives funds under this section shall concurrently receive funds under any other provision of this part, part B, or part A of Title V.

“(B) **EXEMPTION.**—Section 313(d) shall not apply to institutions that are eligible to receive funds under this section.

“(C) **DISTRIBUTION.**—In awarding grants under this section, the Secretary shall, to the extent possible and consistent with the competitive process under which such grants are awarded, ensure maximum and equitable distribution among all eligible institutions.

“(D) **MINIMUM GRANT AMOUNT.**—the minimum amount of a grant under this section shall be \$200,000.

## **SEC. 317. TECHNICAL ASSISTANCE.**

Section 391 (20 U.S.C. 1068) is amended by adding at the end the following:

“(e) Technical Assistance.—The Secretary, directly or by grant or contract, may provide technical assistance

to eligible institutions to prepare the institutions to qualify, apply for, and maintain a grant, under this title."

### **SEC. 318. WAIVER AUTHORITY.**

Section 392 (20 U.S.C. 1068a) is amended by adding at the end the following:

“(c) Waiver Authority With Respect to Institutions Located in an Area Affected by a Gulf Hurricane Disaster.-

“(1) Waiver authority.--Notwithstanding any other provision of law, unless enacted with specific reference to this section, for any affected institution that was receiving assistance under this title at the time of a Gulf hurricane disaster, the Secretary shall, for each of the fiscal years 2009 through 2011 (and may, for each of the fiscal years 2012 and 2013)--

“(A) waive--

“(i) the eligibility data requirements set forth in section 391(d);

“(ii) the wait-out period set forth in section 313(d);

“(iii) the allotment requirements under section 324; and

“(iv) the use of the funding formula developed pursuant to section 326(f)(3);

“(B) waive or modify any statutory or regulatory provision to ensure that affected institutions that were receiving assistance under this title at the time of a

Gulf hurricane disaster are not adversely affected by any formula calculation for fiscal year 2009 or for any of the four succeeding fiscal years, as necessary; and

“(C) make available to each affected institution an amount that is not less than the amount made available to such institution under this title for fiscal year

2006, except that for any fiscal year for which the funds appropriated for payments under this title are less than the appropriated level for fiscal year 2006,

the amount made available to such institutions shall be ratably reduced among the institutions receiving funds under this title.

“(2) Definitions.--In this subsection:

“(A) Affected institution.--The term ‘affected institution’ means an institution of higher education that--

“(i) is--“(I) a part A institution (which term shall have the meaning given the

term ‘eligible institution’ under section 312(b)); or (II) a part B institution, as such term is defined in section 322(2), or as identified in section 326(e);

“(ii) is located in an area affected by a Gulf hurricane disaster; and

“(iii) is able to demonstrate that, as a result of the impact of a Gulf hurricane disaster, the institution--(I) incurred physical damage; (II) has pursued collateral source compensation from insurance, the Federal Emergency Management Agency, and the Small Business Administration, as appropriate; and (III) was not able to fully reopen in existing facilities or to fully reopen to the pre-hurricane enrollment levels during the 30-day period beginning on August 29, 2005.

“(B) Area affected by a gulf hurricane disaster; gulf hurricane disaster.--The terms ‘area affected by a Gulf hurricane disaster’ and ‘Gulf hurricane disaster’

have the meanings given such terms in section 209 of the Higher Education Hurricane Relief Act of 2005 (Public Law 109-148, 119 Stat. 2809).”.

### **SEC. 319. AUTHORIZATION OF APPROPRIATIONS.**

Section 399(a) (20 U.S.C. 1068h(a)) is amended to read as follows:

“(a) Authorizations.--

“(1) Part a.--(A) There are authorized to be appropriated to carry out part A (other than sections 316 through 320), \$135,000,000 for fiscal year 2009, and such sums as may be necessary for each of the five succeeding fiscal years.

- “(B) There are authorized to be appropriated to carry out section 316, \$30,000,000 for fiscal year 2009, and such sums as may be necessary for each of the five succeeding fiscal years.
- “(C) There are authorized to be appropriated to carry out section 317, \$15,000,000 for fiscal year 2009, and such sums as may be necessary for each of the five succeeding fiscal years.
- “(D) There are authorized to be appropriated to carry out section 318, \$75,000,000 for fiscal year 2009 and each of the five succeeding fiscal years.
- “(E) There are authorized to be appropriated to carry out section 319, \$25,000,000 for fiscal year 2009, and such sums as may be necessary for each of the five succeeding fiscal years.
- “(F) There are authorized to be appropriated to carry out section 320, \$30,000,000 for fiscal year 2009, and such sums as may be necessary for each of the five succeeding fiscal years.
- “(2) Part b.--(A) There are authorized to be appropriated to carry out part B (other than section 326), \$375,000,000 for fiscal year 2009, and such sums as may be necessary for each of the five succeeding fiscal years.
- “(B) There are authorized to be appropriated to carry out section 326, \$125,000,000 for fiscal year 2009, and such sums as may be necessary for each of the five succeeding fiscal years.
- “(3) Part c.--There are authorized to be appropriated to carry out part C, \$10,000,000 for fiscal year 2009, and such sums as may be necessary for each of the five succeeding fiscal years.
- “(4) Part d.--(A) There are authorized to be appropriated to carry out part D (other than section 345(9), but including section 347), \$185,000 for fiscal year 2009, and such sums as may be necessary for each of the five succeeding fiscal years.
- “(B) There are authorized to be appropriated to carry out section 345(9) such sums as may be necessary for fiscal year 2009 and each of the five succeeding fiscal years.
- “(5) Part e.--(A) There are authorized to be appropriated to carry out subpart 1 of part E, \$12,000,000 for fiscal year 2009, and such sums as may be necessary for each of the five succeeding fiscal years.
- “(B) There are authorized to be appropriated to carry out subpart 2 of part E, such sums as may be necessary for fiscal year 2009 and each of the five succeeding fiscal years.”.

## **SEC. 320. TECHNICAL CORRECTIONS.**

Title III (20 U.S.C. 1051 et seq.) is further amended—

- (1) in section 342(5) (20 U.S.C. 1066a(5))--
- (A) in the matter preceding subparagraph (A), by inserting a comma after “344(b)”; and
- (B) in subparagraph (C), by striking “equipment technology,” and inserting “equipment, technology,”;
- (2) in section 343(e) (20 U.S.C. 1066b(e)), by inserting “Sale of Qualified Bonds.--” before “Notwithstanding”;
- (3) in the matter preceding clause (i) of section 365(9)(A) (20 U.S.C. 1067k(9)(A)), by striking “support” and inserting “supports”;
- (4) in section 391(b)(7)(E) (20 U.S.C. 1068(b)(7)(E)), by striking “subparagraph (E)” and inserting “subparagraph (D)”;
- (5) in the matter preceding subparagraph (A) of section 392(b)(2) (20 U.S.C. 1068a(b)(2)), by striking “eligible institutions under part A institutions” and inserting “eligible institutions under part A”; and
- (6) in the matter preceding paragraph (1) of section 396 (20 U.S.C. 1068e), by striking “360” and inserting “399”.

# HIGHER EDUCATION ACT OF 1965, AS AMENDED

## TITLE III---INSTITUTIONAL AID

### SEC. 301. FINDINGS AND PURPOSES.

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

- (1) there are a significant number of institutions of higher education serving high percentages of minority students and students from low-income backgrounds, that face problems that threaten their ability to survive;
- (2) the problems relate to the management and fiscal operations of certain institutions of higher education, as well as to an inability to engage in long-range planning and development activities, including endowment building;
- (3) in order to be competitive and provide a high-quality education for all, institutions of higher education should improve their technological capacity and make effective use of technology;
- (4) the title III program prior to 1985 did not always meet the specific development needs of historically Black colleges and universities and other institutions with large concentrations of minority, low-income students;
- (5) the solution of the problems of these institutions would enable them to become viable, fiscally stable and independent, thriving institutions of higher education;
- (6) providing assistance to eligible institutions will enhance the role of such institutions in providing access and quality education to low-income and minority students;
- (7) these institutions play an important role in the American system of higher education, and there is a strong national interest in assisting them in solving their problems and in stabilizing their management and fiscal operations, and in becoming financially independent; and
- (8) there is a particular national interest in aiding those institutions of higher education that have historically served students who have been denied access to postsecondary education because of race or national origin and whose participation in the American system of higher education is in the Nation's interest so that equality of access and quality of postsecondary education opportunities may be enhanced for all students.

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

### SEC. 312. DEFINITIONS; ELIGIBILITY.

(a) **EDUCATIONAL AND GENERAL EXPENDITURES.** -- For the purpose of this part, the term "educational and general expenditures" means the total amount expended by an institution of higher education for instruction, research, public service, academic support (including library expenditures), student services, institutional support, scholarships and fellowships, operation and maintenance expenditures for the physical plant, and any mandatory transfers which the institution is required to pay by law.

(b) **ELIGIBLE INSTITUTION.** -- For the purpose of this part, the term "eligible institution" means --

(1) an institution of higher education--

(A) which has an enrollment of needy students as required by subsection (c) of this section;

(B) except as provided in section 392(b), the average educational and general expenditures of which are low, per full-time equivalent undergraduate student, in comparison with the average educational and general expenditures per full-time equivalent undergraduate student of institutions that offer similar instruction;

(C) which is

(i) legally authorized to provide, and provides within the State, an educational program for which such institution awards a bachelor's degree;

(ii) a junior or community college; or

(iii) the College of the Marshall Islands, the College of Micronesia/Federated States of Micronesia, and Palau Community College;

(D) which is accredited by a nationally recognized accrediting agency or association determined by the

- Secretary to be reliable authority as to the quality of training offered or which is, according to such an agency or association, making reasonable progress toward accreditation;
- (E) which meets such other requirements as the Secretary may prescribe; and
- (F) located in a State; and
- (2) any branch of any institution of higher education described under paragraph (1) which by itself satisfies the requirements contained in subparagraphs (A) and (B) of such paragraph. For purposes of the determination of whether an institution is an eligible institution under this paragraph, the factor described under paragraph (1)(A) shall be given twice the weight of the factor described under paragraph (1)(B).
- (c) ENDOWMENT FUND.-- For the purpose of this part, the term "endowment fund" means a fund that--
- (1) is established by State law, by an institution of higher education, or by a foundation that is exempt from Federal income taxation;
- (2) is maintained for the purpose of generating income for the support of the institution; and
- (3) does not include real estate.
- (d) ENROLLMENT OF NEEDY STUDENTS. -- For the purpose of this part, the term "enrollment of needy students" means an enrollment at an institution of higher education or a junior or community college which includes--
- (1) at least 50 percent of the degree students so enrolled who are receiving need-based assistance under title IV of this Act in the second fiscal year preceding the fiscal year for which the determination is being made (other than loans for which an interest subsidy is paid pursuant to section 428), or
- (2) a substantial percentage of students receiving Pell Grants in the second fiscal year preceding the fiscal year for which determination is being made, in comparison with the percentage of students receiving Pell Grants at all such institutions in the second fiscal year preceding the fiscal year for which the determination is made, unless the requirement of this subdivision is waived under section 392
- (a).
- (e) FULL-TIME EQUIVALENT STUDENTS. For the purpose of this part, the term "full-time equivalent students" means the sum of the number of students enrolled full time at an institution, plus the
- (f) JUNIOR OR COMMUNITY COLLEGE.--For the purpose of this part, the term "junior or community college" means an institution of higher education--
- (1) that admits as regular students persons who are beyond the age of compulsory school attendance in the State in which the institution is located and who have the ability to benefit from the training offered by the institution;
- (2) that does not provide an educational program for which it awards a bachelor's degree (or an equivalent degree); and
- (3) that--
- (A) provides an educational program of not less than 2 years that is acceptable for full credit toward such a degree, or
- (B) offers a 2-year program in engineering, mathematics, or the physical or biological sciences, designed to prepare a student to work as a technician or at the semiprofessional level in engineering, scientific, or other technological fields requiring the understanding and application of basic engineering, scientific, or mathematical principles of knowledge.
- (g) HISTORICALLY BLACK COLLEGE OR UNIVERSITY.--For the purposes of this section, no historically black college or university which is eligible for and receives funds under part B of this title is eligible for or may receive funds under this part.

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

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

#### **(a) APPLICATIONS.-**

- (1) APPLICATIONS REQUIRED.-- Any institution which is eligible for assistance under this title shall submit

to the Secretary an application for assistance at such time, in such form, and containing such information, as may be necessary to enable the Secretary to evaluate the institution's need for the assistance. Subject to the availability of appropriations to carry out this title, the Secretary may approve an application for assistance under this title only if the Secretary determines that--

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

(B) the applicant is eligible for assistance in accordance with the part of this title under which the assistance is sought; and

(C) the applicant's performance goals are sufficiently rigorous as to meet the purposes of this title and the performance objectives and indicators for this title established by the Secretary pursuant to the Government Performance and Results Act of 1993 and the amendments made by such Act.

(2) PRELIMINARY APPLICATIONS.-- In carrying out paragraph (1), the Secretary may develop a preliminary application for use by eligible institutions applying under part A prior to the submission of the principal application.

(b) CONTENTS.-- An institution, in its application for a grant, shall--

(1) set forth, or describe how the institution (other than an institution applying under part C, D or E) will develop, a comprehensive development plan to strengthen the institution's academic quality and institutional management, and otherwise provide for institutional self-sufficiency and growth (including measurable objectives for the institution and the Secretary to use in monitoring the effectiveness of activities under this title);

(2) set forth policies and procedures to ensure that Federal funds made available under this title for any fiscal year will be used to supplement and, to the extent practical, increase the funds that would otherwise be made available for the purposes of section 311(b) or 323, and in no case supplant those funds;

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

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

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

(6) provide that the institution will comply with the limitations set forth in section 357, except that for purposes of section 316, paragraphs (2) and (3) of section 396 shall not apply;

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

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

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

(C) an evaluation by the applicant of the priority given any proposed project for which funds are sought in relation to any other projects for which funds are sought by the applicant under this title, and a similar evaluation regarding priorities among the components of any single proposed project (as described by the applicant pursuant to subparagraph (A));

(D) a detailed budget showing the manner in which funds for any proposed project would be spent by the applicant; and

(E) a detailed description of any activity which involves the expenditure of more than \$25,000, as identified

in the budget referred to in subparagraph (E); and

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

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

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

### **SEC. 392. WAIVER AUTHORITY AND REPORTING REQUIREMENTS.**

(a) WAIVER REQUIREMENTS; NEED-BASED ASSISTANCE STUDENTS.--

The Secretary may waive the requirements set forth in section 312(b)(1)(A) in the case of an institution--

(1) which is extensively subsidized by the State in which it is located and charges low or no tuition;

(2) which serves a substantial number of low-income students as a percentage of its total student population;

(3) which is contributing substantially to increasing higher education opportunities for educationally disadvantaged, underrepresented, or minority students, who are low-income individuals;

(4) which is substantially increasing higher educational opportunities for individuals in rural or other isolated areas which are unserved by postsecondary institutions;

(5) located on or near an Indian reservation or a substantial population of Indians, if the Secretary determines that the waiver will substantially increase higher education opportunities appropriate to the needs of American Indians;

(6) that is a tribally controlled college or university as defined in section 2 of the Tribally Controlled College or University Assistance Act of 1978; or

(7) wherever located, if the Secretary determines that the waiver will substantially increase higher education opportunities appropriate to the needs of Black Americans, Hispanic Americans, Native Americans, Asian Americans, or Pacific Islanders, including Native Hawaiians.

(b) WAIVER DETERMINATIONS; EXPENDITURES.-- (1) The Secretary may waive the requirements set forth in section 312(b)(1)(B) if the Secretary determines, based on persuasive evidence submitted by the institution, that the institution's failure to meet that criterion is due to factors which, when used in the determination of compliance with such criterion, distort such determination, and that the institution's designation as an eligible institution under part A is otherwise consistent with the purposes of such parts.

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

(A) identify the factors referred to in paragraph (1) which were considered by the Secretary as factors that distorted the determination of compliance with subparagraphs (A) and (B) of section 312(b)(1); and

(B) contain a list of each institution determined to be an eligible institution under part A including a statement of the reasons for each such determination.

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

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

(a) REVIEW PANEL.-

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

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

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

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

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

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

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

(c) NOTIFICATION.-- Not later than June 30 of each year, the Secretary shall notify each institution of higher education making an application under this title of--

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

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

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

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

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

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

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

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

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

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

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

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

(b) WAIVER APPLICABILITY.-- (1) Subject to, and in accordance with, regulations promulgated for the purpose of this section, in the case of any application by an institution referred to in subsection (a) for assistance under any programs specified in paragraph (2), the Secretary is authorized, if such application is otherwise approvable, to waive any requirement for a non-Federal share of the cost of the program or project, or, to the extent not inconsistent with other law, to give, or require to be given, priority consideration of the application in relation to applications from other institutions. (2) The provisions of this section shall apply to any program authorized by part D or title IV of this Act.

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

### **SEC. 396. LIMITATIONS.**

The funds appropriated under section 360 may not be used--

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

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

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

(4) for purposes other than the purposes set forth in the approved application under which the funds were made available to the institution.

### **SEC. 397. PENALTIES.**

Whoever, being an officer, director, agent, or employee of, or connected in any capacity with, any recipient of Federal financial assistance or grant pursuant to this title embezzles, willfully misapplies, steals, or obtains by fraud any of the funds which are the subject of such grant or assistance, shall be fined not more than \$10,000 or imprisoned for not more than 2 years, or both.

### **SEC. 398. CONTINUATION AWARDS**

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

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

(a) AUTHORIZATIONS.-

(1) PART A.-

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

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

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

(2) PART B.-

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

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

(3) PART C.-- There are authorized to be appropriated to carry out part C, \$10,000,000 for fiscal year 1999,

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

(4) PART D.—

(A) There are authorized to be appropriated to carry out part D (other than section 345(7), but including section 347), \$110,000 for fiscal year 1999, and such sums as may be necessary for each of the 4 succeeding fiscal years.

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

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

(b) USE OF MULTIPLE YEAR AWARDS.-- In the event of a multiple year award to any institution under this title, the Secretary shall make funds available for such award from funds appropriated for this title for the fiscal year in which such funds are to be used by the recipient.

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

**APPENDIX**

**\*\*The Intergovernmental Review requirement has been waived for this program for Fiscal Year 2010. Therefore, Intergovernmental Review DOES NOT APPLY to this application package.\*\***

This appendix applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government 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. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A listing of the Single Point of Contact for each State may be viewed at <http://www.whitehouse.gov/omb/grants/spoc.html>.

In States that have not established a process or chosen a program for review, State, area-wide, regional, and local entities may submit comments directly to the Department.

Any State process recommendation and other comments submitted by a State Single Point of Contact and any comments from State, area-wide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--84.031X, U.S. Department of Education, room 7W301, 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 of comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. 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.**
- **Applicants are required to address this provision by attaching a statement to the ED GEPA 427 Form.**

## 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 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 Native American Serving Nontribal Institutions (NASNTI) Program?

The performance indicators for the Native American Serving Nontribal Institutions (NASNTI) Program are part of the Department's plan for meeting Goal 3. The specific goal for the NASNTI Program is to improve the capacity of minority-serving institutions, which traditionally have limited resources and serve large numbers of low-income and minority students, to improve student success and to provide high-quality educational opportunities for their students.

The performance indicators for the NASNTI program are:

- 1) The number of full-time degree-seeking undergraduates enrolling at NASNTIs. Note that this is a long-term measure;
- 2) The percentage of full-time undergraduate students at four-year NASNTIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same NASNTI;
- 3) The percentage of full-time undergraduate students at two-year NASNTIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same NASNTI;
- 4) The percentage of students enrolled at four-year NASNTIs graduating within six years of enrollment; and
- 5) The percentage of students enrolled at two-year NASNTIs graduating within three years of enrollment.

**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. Data submitted annually by the institution to the Department of Education's Integrated Postsecondary Education Data System (IPEDS) will document the extent to which program goals and objectives are met.**

The most recent version of a currently approved annual performance report can be viewed at

<https://www.ed.gov/programs/iduestitle3a/performance/html>.

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## ***Instructions for Completing the Application***

The NASNTI application consists of the following four parts. These parts are organized in the same manner that the submitted application should be organized. The parts are as follows:

### **Part I:            424 Forms:**

- Application for Federal Assistance (SF 424)
- Department of Education Supplemental Information form for SF 424

Note: Applicants must complete the SF 424 form first because the information you provide here is automatically inserted into other sections of e-Grants.

### **Part II:    U. S. Department of Education Budget Summary Forms:**

- ED 524 (Section A and Section B)

The “**U. S. Department of Education Budget Information for Non-Construction Programs**” (found in e-Application package) is where applicants provide budget information for Section A – Budget Summary U.S. Department of Education Funds and Section B – Budget Summary Non-Federal Funds Applicants should include costs for all project years. Note: Section C – Budget Narrative section in the selection criteria should be included in the “Program Narrative Selection Criteria,” located in Part III.

### **Part III: Program Narrative Abstract Form**

- Program Narrative Selection Criteria
- Program Narrative Profile Form
- Program Narrative Budget Form

The “**Program Narrative Abstract Form**” (found in e-Application) is where applicants will attach their one-page project abstract that will provide an overview of the proposed project.

The “**Program Narrative Selection Criteria**” (found in e-Application) includes the narrative responses to the selection criteria that will be used to evaluate applications submitted for this competition. Please include a Table of Contents as the first page of the project narrative. You must limit the project narrative to no more than 50 pages for the Individual Development Grant application and 70 pages for the Cooperative Arrangement Development Grant application. The Program Narrative Selection Criteria should be consecutively numbered.

The “**Budget Narrative**” is part of the selection criteria and should be included in the “Program Narrative Selection Criteria.”

The “**Program Narrative Profile Form**” (found in e-Application) is where applicants will attach the NASNTI Program Profile.

The “**Activity Budget Narrative Form**” (found in e-Application) is where applicants will attach the Detailed Budget Activity Budget form.

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

GEPA Section 427 requirement

Assurances for Non-Construction Programs (SF 424B)

Grants.gov Lobbying Form (formerly ED Form 80.0013)

Disclosure of Lobbying Activities (SF-LLL)

Survey on Ensuring Equal Opportunity for Applicants

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NOTE: Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although the form accepts attachments, the Department of Education will only review materials/files attached to the attachment forms listed above. All attachments must be in .doc, .rtf, or .pdf format. Other types of files will not be accepted.  
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**Instructions for Standard Forms:**

- APPLICATION FACE SHEET - (SF 424)
- DEPARTMENT OF EDUCATION SUPPLEMENTAL FORM (SF 424)
- DEPARTMENT OF EDUCATION BUDGET SUMMARY FORM (ED 524)
- DISCLOSURE OF LOBBYING ACTIVITIES (SF-LLL)

**Other Information and Guidance:**

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- SUPPLEMENTAL INFORMATION AND INSTRUCTIONS
- ACTIVITY BUDGET DETAIL FORM INSTRUCTIONS

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**NATIVE AMERICAN-SERVING NONTRIBAL INSTITUTIONS PROGRAM PROFILE**

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

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

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

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

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

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

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

4. **DUAL SUBMISSION CERTIFICATION:** If an institution applies for more than one grant, it must indicate which grant it wishes to receive if it is selected to receive more than one.

- Native American-Serving Nontribal Institutions (NASNTI) – Title III, Part A (84.031X)
- Strengthening Institutions Program (SIP) – Title III, Part A
- Alaska Native-Native Hawaiian (ANNH) – Title III, Part A
- Asian Americans and Native American Pacific Islander-Serving Institutions (AANAPISI) – Title III, Part A

5. **NATIVE AMERICAN-SERVING NONTRIBAL INSTITUTIONS CERTIFICATION:**

**By checking this box (or placing an “X” beside it),** the applicant certifies pursuant to the statutory requirements governing the Native American-Serving Nontribal Institutions Program authorized under Title III, Part A, Section 319 of the Higher Education Act (HEA) of 1965, as amended, that:

The named institution of higher education, at the time of application, has an enrollment of undergraduate students that is at least 10 percent Native American. The term “Native American” mean an individual who is of a tribe, people, or culture that is indigenous to the United States. In addition, the named institution of higher education is not a Tribal College or University (as defined in section 316 of the Higher Education Act, as amended).

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

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7. **Are you addressing an invitational priority? \_\_\_\_\_YES \_\_\_\_\_NO.  
If yes, indicate the priority by placing an “X” beside it.**

- Develop programs that meet the unique educational and culturally-related academic needs of Native Americans, particularly in the area of language preservation;
- Work with Native American tribes to develop programs that meet the unique academic and cultural needs of Native American students;
- Support activities that will improve the institution’s persistence and graduation rates;
- Work with the appropriate State agencies to develop strategies for using State longitudinal data systems to track outcomes for students attending the grantee institution, including the extent to which the students complete certificates, 2-year degrees, and 4-year degrees at other institutions;
- Develop academic programs to improve course completion rates or develop innovative support programs that are designed to increase completion rates; and,
- Develop dual enrollment programs that facilitate the transition between high school and college or career pathways programs that integrate basic academic instruction with technical or professional occupational training to advance individuals, particularly adult learners, on a career path toward high-wage occupations in high-demand industries.

8. **Tie-Breaker Information**

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

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

- TOTAL 2007-2008 FULL-TIME EQUIVALENT (FTE) STUDENTS= \_\_\_\_\_
- A. Total market value of endowment fund at the end of 2007-2008 \$\_\_\_\_\_
- B. Total expenditures for library materials during 2007-2008 \$\_\_\_\_\_
- C. Check activities applicant proposes to carry out in application:
- a. Faculty Development \_\_\_\_\_
  - b. Funds and administrative management \_\_\_\_\_
  - c. Development and improvement of academic programs \_\_\_\_\_

- d. Acquisition of equipment for use in strengthening management and academic programs \_\_\_\_\_
- e. Joint use of facilities \_\_\_\_\_
- f. Student Services \_\_\_\_\_

9. **Endowment Fund Assurance – Not Applicable for NASNTI Programs**

**Cooperative Arrangement Development Grant –**

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## APPLICATION CHECKLIST

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

- Application for Federal Assistance (SF 424)
- Department of Education Supplemental Information for SF 424
- Department of Education Budget Information Non-Construction Programs Form (ED 524)
- One-Page Program Abstract – Attached to the “Program Narrative Abstract Form” in e-Application
- Program Narrative Selection Criteria – Attached to the “Program Narrative Selection Criteria” in e-Application
- NASNTI Program Narrative Profile Form – Attached to the “Program Profile Narrative Form” in e-Application
- Program Narrative Activity Budget Form
- Assurances and Certifications – found in e-Application
  - Assurances for Non-Construction Programs (SF-424B)
  - Grants.gov Lobbying Form (formerly Certification Regarding Lobbying ED 80-0013)
  - Disclosure of Lobbying Activities (SF-LLL)
  - Survey on Ensuring Equal Opportunity for Applicants
- ED GEPA 427 Form

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1840-** . The time required to complete this information collection is estimated to vary from 20 to 45 hours per response, with an average of 40 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202.

**SUPPLEMENTAL INFORMATION**

The following information supplements the information provided in the “Dear Applicant” letter and the Federal Register Notice Inviting Applications.

1. **Certification of Eligibility**

All applicants for the Native American Serving Nontribal Institutions (NASNTI) Program must submit the Designation of Eligibility application in order to be considered for funding.

2. **Estimated Funding**

- **Estimated Available Funds for FY 2010 for NASNTI**

Title III, Part A      \$3,600,000

	<b>Minimum/ Maximum Award Amount</b>	<b>Estimated Number of Awards</b>	
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Program Name and Type of Award			Estimated Average Award Amount
Native American- Serving Nontribal Institutions (NASNTI)			
<b>Title III, Part A</b> Five-Year Individual Development Grants	\$200,000- \$400,000	8	\$383,000
Five-Year Cooperative Arrangement Development Grants	\$200,000- \$500,000	1	\$350,000

**NOTES: The U.S. Department of Education is not bound by these estimates. Please see the Federal Register notice regarding submitting a five-year plan.**

**3. Intergovernmental Review of Federal Programs**

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.html> .

**4. Applicant Funding**

The Department is often unable to award the full amount of funds requested. Applicants should pay close attention to the “Award Information” section of the Federal Register Notice. The Department will not fund any application at an amount exceeding the applicable maximum level.

**5. Evaluation of Applications**

A three-member panel of non-federal reviewers evaluates each application. Each reviewer assigns points for each selection criteria and prepares evaluation comments.

**6. Selection Criteria**

The selection criteria in EDGAR 34 CFR part 75 section 75.210 is used to evaluate applications. The selection

criteria and maximum possible points are included in the Federal Register Notice.

7. **Notice to Successful Applicants**

The Department's Office of Legislation and Congressional Affairs will inform the Congressional office regarding applications approved for new program grants. Successful applicants will receive award notices by mail shortly after the Congressional office is notified. No funding information will be released before the Congressional office is notified.

8. **Notice to Unsuccessful Applicants**

Unsuccessful applicants will be notified in writing.

9. **Annual Performance Report Requirements**

If you receive a FY 2010 new grant award under the NASNTI program, you will be required to complete an Interim Performance Report after six months into the grant period, an Annual Performance Report each year, and a Final Performance Report at the end of the grant period. Grantees will be reminded of these reporting requirements prior to the due dates.

## 10. Contact Information

### NASNTI Program

Program Officer: LaTonya Brown  
Address: Native American Serving Nontribal Institutions Program  
U.S. Department of Education  
1990 K Street, N.W., Room 6064  
Washington, DC 20006-8513  
Telephone: (202) 502-7619  
Fax: (202) 502-7861  
E-mail Address: latonya.brown@ed.gov

Address: Darlene B. Collins  
Team Leader  
Native American Serving Nontribal Institutions Program  
U.S. Department of Education  
1990 K Street, N.W., Room 6033  
Washington, DC 20006-8513  
Telephone: (202) 502-7576  
Fax: (202) 502-7861  
E-mail Address: Darlene.Collins@ed.gov

### **For e-Grants related questions and assistance, please contact:**

Support Desk: e-Grants Help Desk  
Telephone: (888) 336-8930  
E-mail Address: <http://e-grants.ed.gov>  
Hours: Monday – Friday, 8:00 A.M. – 6:00 P.M. Eastern Time

Dear Applicant:

Thank you for your interest in applying for a grant under the Native American Serving Nontribal Institutions (NASNTI) Program authorized under Title III, Part A, Section 319 (84.031X).

The NASNTI Program provides grants and related assistance to Native American Serving Nontribal Institutions to enable these institutions to improve and expand their capacity to serve Native Americans and low-income individuals by increasing their self-sufficiency in improving academic programs, institutional management and fiscal stability.

To qualify for this program, an institution of higher education must: be an eligible institution under section 312 (b) of the HEA, must have an enrollment of undergraduate students that is at least 10 percent Native American at the time of application for a grant and not be a Tribal College or University under section 316 of the HEA.

For fiscal year (FY) 2010 there are six invitational priorities for this program. We are particularly interested in applications that address these priorities, however, under 34 CFR 75.105 (c) (1) we do not give an application that meets these invitational priorities a competitive or absolute preference over other applications. These priorities are: 1) Develop programs that meet the unique educational and culturally-related academic needs of Native Americans, particularly in the area of language preservation; 2) Work with Native American tribes to develop programs that meet the unique academic and cultural needs of Native American students; 3) Support activities that will improve the institution's persistence and graduation rates; 4) Work with the appropriate state agencies to develop strategies for using state longitudinal data systems to track outcomes for students attending the grantee institution, including the extent to which the students complete certificates, two-year degrees, and four-year degrees at other institutions; 5) Develop academic programs to improve course completion rates or develop innovation support programs that are designed to increase completion rates; and, 6) Develop dual enrollment programs that facilitate the transition between high school and college or career pathways programs that integrate basic academic instruction with technical or professional occupational training to advance individuals, particularly adult learners, on a career path toward high-wage occupations in high-demand industries.

For FY 2010 the NASNTI Program received \$3.6 million in discretionary funding under Title III, Part A, Section 319 of the HEA. Applicants should refer to Title III, Part A for the allowable activities. An additional \$5 million in mandatory funding under Title III, Part F, Section 371 was provided under the Health Care and Education Reconciliation Act (HCERA) but those funds will be awarded later this year through a separate competition.

To receive a grant under the NASNTI Program, an institution of higher education must have applied for and received designation as an eligible institution. The notice inviting FY 2010 applications to Request Designation As An Eligible Institution was published in the Federal Register on December 7, 2009. The deadline date for receipt of that application was January 6, 2010. Institutions that failed to submit an eligibility application by January 6, 2010 will be provided an opportunity to apply for eligibility in advance of the deadline established for applications for the mandatory funding provided in the HCERA. However, institutions that were determined to be eligible for FY 2010 will not need to submit another eligibility application for these additional funds.

Applications for grants under the NASNTI Program, for the FY 2010 grant competition, must be submitted electronically using e-Application, which is accessible through the Department's e-Grants system. A detailed description of this internet-based system is included in this application package. You are urged to acquaint yourself with the requirements of this system early. You may access e-Grants through its portal page at:

<http://e-grants.ed.gov>

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 2010 published in the Federal Register. The Federal Register Notice Inviting Applications for New Awards and application instructions are included in this package.

In addition, the applicant is also required to submit a five-year plan to be included for improving the assistance provided by the Native American Serving Nontribal Institution to Native Americans and low-income individuals; and any other information and assurances the Secretary may reasonably require.

You are reminded that you should not rely upon any information that is inconsistent with the guidance contained within this application package. I urge you to carefully read all the information contained in this package, including the eligibility requirements found in the HEA, as amended by the Higher Education Opportunity Act (HEOA), the Program Statute, and the competition highlights, before preparing your application.

This package contains the necessary forms and instructions to apply for a FY 2010 grant under this program.

If you have questions, please contact LaTonya Brown, Program Officer at 202-502-7619 or Darlene Collins, Team Leader at 202-502-7576.

Sincerely,

/s/

James E. Laws, Jr., Ed.D  
Director  
Institutional Development and  
Undergraduate Services

**INSTRUCTIONS FOR THE SF-424**

This is a standard form required for use as a cover sheet for submission of pre-applications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the federal agency (agency). Required fields on the form are identified with an asterisk (\*) and are also specified as "Required" in the instructions below. In addition to these instructions, applicants must consult agency instructions to determine other specific requirements.

Item	Entry:	Item:	Entry:
1.	<p><b>Type of Submission:</b> (Required) Select one type of submission in accordance with agency instructions.</p> <ul style="list-style-type: none"> <li>• Pre-application</li> <li>• Application</li> <li>• Changed/Corrected Application – Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date.</li> </ul>	10.	<p><b>Name Of Federal Agency:</b> (Required) Enter the name of the federal agency from which assistance is being requested with this application.</p>
2.	<p><b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions.</p> <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the federal government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.</li> </ul> <p>A. Increase Award                      D. Decrease Duration                      B. Decrease Award                      E. Other (specify)                      C. Increase Duration</p>	11.	<p><b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.</p>
		12.	<p><b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement. The FON can also be found at <a href="http://www.grants.gov/applicants/find_grant_opportunities.jsp">http://www.grants.gov/applicants/find_grant_opportunities.jsp</a>.</p>
		13.	<p><b>Competition Identification Number/Title:</b> Enter the competition identification number and title of the competition under which assistance is requested, if applicable.</p>
		14.	<p><b>Areas Affected By Project:</b> This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.</p>
3.	<p><b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.</p>	15.	<p><b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.</p>
4.	<p><b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or the applicant's control number if applicable.</p>		
5a.	<p><b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the federal agency, if any.</p>	16.	<p><b>Congressional Districts Of:</b> 16a. (Required) Enter the applicant's congressional district. 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5<sup>th</sup> district, CA-012 for California 12 district, NC-103 for North Carolina's 103 district. If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.</p>
5b.	<p><b>Federal Award Identifier:</b> For new applications, enter NA. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.</p>		
6.	<p><b>Date Received by State:</b> Leave this field blank. This date will be assigned by the state, if applicable.</p>		
7.	<p><b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the state, if applicable.</p>		
8.	<p><b>Applicant Information:</b> Enter the following in accordance with agency instructions:</p>		
	<p><b>a. Legal Name:</b> (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a>.</p>	17.	<p><b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.</p>
	<p><b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.</p>	18.	<p><b>Estimated Funding:</b> (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.</p>
	<p><b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a>.</p>	19.	<p><b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> (Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State</p>

			intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.																								
	d. <b>Address:</b> Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).	20.	<b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.																								
	e. <b>Organizational Unit:</b> Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.	21.	<b>Authorized Representative:</b> To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)																								
	f. <b>Name and contact information of person to be contacted on matters involving this application:</b> Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.																										
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.																										
	<table border="0"> <tr> <td>A. State Government</td> <td>M. Nonprofit</td> </tr> <tr> <td>B. County Government</td> <td>N. Private Institution of Higher Education</td> </tr> <tr> <td>C. City or Township Government</td> <td>O. Individual</td> </tr> <tr> <td>D. Special District Government</td> <td>P. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td>E. Regional Organization</td> <td>Q. Small Business</td> </tr> <tr> <td>F. U.S. Territory or Possession</td> <td>R. Hispanic-serving Institution</td> </tr> <tr> <td>G. Independent School District</td> <td>S. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td>H. Public/State Controlled Institution of Higher Education</td> <td>T. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td>I. Indian/Native American Tribal Government (Federally Recognized)</td> <td>U. Alaska Native and Native Hawaiian Serving Institutions</td> </tr> <tr> <td>J. Indian/Native American Tribal Government (Other than Federally Recognized)</td> <td>V. Non-US Entity</td> </tr> <tr> <td>K. Indian/Native American Tribally Designated Organization</td> <td>W. Other (specify)</td> </tr> <tr> <td>L. Public/Indian Housing Authority</td> <td></td> </tr> </table>	A. State Government	M. Nonprofit	B. County Government	N. Private Institution of Higher Education	C. City or Township Government	O. Individual	D. Special District Government	P. For-Profit Organization (Other than Small Business)	E. Regional Organization	Q. Small Business	F. U.S. Territory or Possession	R. Hispanic-serving Institution	G. Independent School District	S. Historically Black Colleges and Universities (HBCUs)	H. Public/State Controlled Institution of Higher Education	T. Tribally Controlled Colleges and Universities (TCCUs)	I. Indian/Native American Tribal Government (Federally Recognized)	U. Alaska Native and Native Hawaiian Serving Institutions	J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Non-US Entity	K. Indian/Native American Tribally Designated Organization	W. Other (specify)	L. Public/Indian Housing Authority			
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# Instructions for ED 524

## General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. You may access the Education Department General Administrative Regulations, 34 CFR 74 – 86 and 97-99, on ED’s website at: <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

**You must consult with your Business Office prior to submitting this form.**

### Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a break-down by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

**Indirect Cost Information:** If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government.

If you checked “no,” ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:

(a) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after ED issues a grant award notification; and

(b) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.

(2): If you checked “yes” in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED, another Federal agency (Other) or State agency issued the approved agreement. If you check “Other,” specify the name of the Federal or other agency that issued the approved agreement.

(3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

### Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide cost-sharing or matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

### Section C - Budget Narrative [Attach separate sheet(s)] Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. For non-Federal funds or resources listed in Section B that are used to meet a cost-sharing or matching requirement or provided as a voluntary cost-sharing or matching commitment, you must include:
  - a. The specific costs or contributions by budget category;
  - b. The source of the costs or contributions; and
  - c. In the case of third-party in-kind contributions, a description of how the value was determined for the donated or contributed goods or services.

[Please review ED's general cost sharing and matching regulations, which include specific limitations, in 34 CFR 74.23, applicable to non-governmental entities, and 80.24, applicable to governments, and the applicable Office of Management and Budget (OMB) cost principles for your entity type regarding donations, capital assets, depreciation and use allowances. OMB cost principle circulars are available on OMB's website at: <http://www.whitehouse.gov/omb/circulars/index.html>]

3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

5. Provide other explanations or comments you deem necessary.

#### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1894-0008**. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes 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. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

# INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

**1. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.

**2. Novice Applicant.** Check “Yes” or “No” only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank.**

Check “Yes” if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.” By checking “Yes” the applicant certifies that it meets these novice applicant requirements. Check “No” if you do not meet the requirements for novice applicants.

**3. Human Subjects Research.** (See I. A. “Definitions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

**If Not Human Subjects Research.** Check “No” if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable.

**If Human Subjects Research.** Check “Yes” if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check “Yes” even if the research is exempt from the regulations for the protection of human subjects. (See I. B. “Exemptions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

**3a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”

**3a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check “No” if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the page entitled “Definitions for Department of Education Supplemental Information For SF 424

**3a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

**Paperwork Burden Statement.** According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application

Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12<sup>th</sup> Street, S.W. Room 7076, Washington, D.C. 20202-4260.

# DEFINITIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424 (Attachment to Instructions for Supplemental Information for SF 424)

## Definitions:

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

#### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

#### —Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

#### B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are

not covered by the regulations:

- (1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
- (2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]
- (3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.
- (4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.
- (5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.
- (6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked "Yes" for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

### **A. Exempt Research Narrative.**

If you marked "Yes" for item 3 a. and designated exemption numbers(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### **B. Nonexempt Research Narrative.**

If you marked "No" for item 3 a. you must provide the "nonexempt research" narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

- (1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable
- (2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site: <http://www.ed.gov/about/offices/list/OCFO/humansub.html>*

NOTE: The **State Applicant Identifier** on the SF 424 is for State Use only. Please complete it on the OMB Standard 424 in the upper right corner of the form (if applicable).



<b>Application for Federal Assistance SF-424</b>		Version 02
* 1. Type of Submission                      * 2. Type of Application: * If Revision, select appropriate letter(s): <input type="checkbox"/> Preapplication <input type="checkbox"/> New <input type="checkbox"/> Application <input type="checkbox"/> Continuation                      * Other (Specify) <input type="checkbox"/> Changed/Corrected Application <input type="checkbox"/> Revision		
* 3. Date Received: Completed upon submission		4. Applicant Identifier:
5a. Federal Entity Identifier:		* 5b. Federal Award Identifier:
<b>State Use Only:</b>		
6. Date Received by State:		7. State Application Identifier:
<b>8. APPLICANT INFORMATION:</b>		
* a. Legal Name:		
* b. Employer/Taxpayer Identification Number (EIN/TIN):		* c. Organizational DUNS:
<b>d. Address:</b>		
* Street1: Street2: * City: County: State: Province: * Country: * Zip / Postal Code:		
<b>e. Organizational Unit:</b>		
Department Name:		Division Name:
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>		
Prefix:		* First Name:
Middle Name:		

\* Last Name:

Suffix:

Title:

Organizational Affiliation:

\* Telephone  
Number:

Fax Number:

\* Email:

**Application for Federal Assistance SF-424**

Version 02

**9. Type of Applicant 1: Select Applicant Type:**

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

**10. Name of Federal Agency:**

U.S. Department of Education

**11. Catalog of Federal Domestic Assistance Number:**

.

CFDA Title:

**\* 12. Funding Opportunity Number:**

Title:

**13. Competition Identification Number:**

Title:

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

**\* 15. Descriptive Title of Applicant's Project:**

Attach supporting documents as specified in agency instructions.

**Attachment:**

Title :

File :

**Attachment:**

Title :

File :

**Attachment:**

Title :

File :

**Application for Federal Assistance SF-424**

Version 02

**16. Congressional Districts Of:**

\* a. Applicant:

\* b. Program/Project:

Attach an additional list of Program/Project Congressional Districts if needed.

**Attachment:**

Title :

File :

**17. Proposed Project:**

\* a. Start Date:

\* b. End Date:

**18. Estimated Funding (\$):**

a. Federal	\$
b. Applicant	\$
c. State	\$
d. Local	\$
e. Other	\$
f. Program Income	\$
g. TOTAL	\$ 0

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

a. This application was made available to the State under the Executive Order 12372 Process for review on .

b. Program is subject to E.O. 12372 but has not been selected by the State for review.

c. Program is not covered by E.O. 12372.

**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**

Yes  No

**21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

**\*\* I AGREE**

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix: \* First Name:

Middle Name:

\* Last Name:

Suffix:

Title:

\* Telephone Number:

Fax Number:

\* Email:

\* Signature of Authorized Representative:

\* Date Signed:

**Application for Federal Assistance SF-424**

Version 02

**\* Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.



**U.S. DEPARTMENT OF EDUCATION**  
**BUDGET INFORMATION**  
**NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY**  
**U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1(a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	\$	\$	\$	\$	\$	\$
2. Fringe Benefits	\$	\$	\$	\$	\$	\$
3. Travel	\$	\$	\$	\$	\$	\$
4. Equipment	\$	\$	\$	\$	\$	\$
5. Supplies	\$	\$	\$	\$	\$	\$
6. Contractual	\$	\$	\$	\$	\$	\$
7. Construction	\$	\$	\$	\$	\$	\$
8. Other	\$	\$	\$	\$	\$	\$
9. Total Direct Costs (lines 1-8)	\$	\$	\$	\$	\$	\$
10. Indirect Costs*	\$	\$	\$	\$	\$	\$
11. Training Stipends	\$	\$	\$	\$	\$	\$
12. Total Costs (lines 9-11)	\$	\$	\$	\$	\$	\$

**\*Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government?  Yes  No

(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: \_\_\_/\_\_\_/\_\_\_ To: \_\_\_/\_\_\_/\_\_\_ (mm/dd/yyyy)

Approving Federal agency:  ED  Other (please specify): \_\_\_\_\_ The Indirect Cost Rate is \_\_\_\_\_%

(3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:

Is included in your approved Indirect Cost Rate Agreement? or,  Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is \_\_\_\_\_%



**U.S. DEPARTMENT OF EDUCATION**  
**BUDGET INFORMATION**  
**NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION B - BUDGET SUMMARY**  
**NON-FEDERAL FUNDS**

Budget Categories	Project Year 1(a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	\$	\$	\$	\$	\$	\$
2. Fringe Benefits	\$	\$	\$	\$	\$	\$
3. Travel	\$	\$	\$	\$	\$	\$
4. Equipment	\$	\$	\$	\$	\$	\$
5. Supplies	\$	\$	\$	\$	\$	\$
6. Contractual	\$	\$	\$	\$	\$	\$
7. Construction	\$	\$	\$	\$	\$	\$
8. Other	\$	\$	\$	\$	\$	\$
9. Total Direct Costs (lines 1-8)	\$	\$	\$	\$	\$	\$
10. Indirect Costs	\$	\$	\$	\$	\$	\$
11. Training Stipends	\$	\$	\$	\$	\$	\$
12. Total Costs (lines 9-11)	\$	\$	\$	\$	\$	\$

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Standard Form 424B (Rev.7-97)

Public reporting burden for this collection of information is estimated to average 15 minutes 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. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. "4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. "1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. '794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. "276a to 276a-7), the Copeland Act (40 U.S.C. '276c and 18 U.S.C. "874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. " 327-333), regarding labor standards for federally assisted construction sub-agreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. "1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. "7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. "1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance

of 1975, as amended (42 U.S.C. " 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) " 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. " 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. ' 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. "1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. '470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. "469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. "2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. "4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

**Signature of Authorized Certifying Representative:**

**Name of Authorized Certifying Representative:**

**Title:**

**Date Submitted:**

### Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

<b>1. Type of Federal Action:</b> <input type="checkbox"/> Contract <input type="checkbox"/> Grant <input type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Loan <input type="checkbox"/> Loan Guarantee <input type="checkbox"/> Loan Insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> Bid/Offer/Application <input type="checkbox"/> Initial Award <input type="checkbox"/> Post-Award	<b>3. Report Type:</b> <input type="checkbox"/> Initial Filing <input type="checkbox"/> Material Change <b>For Material Change only:</b> Year:   Quarter: Date of Last Report:
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier, if known: Name: Address: City: State: Zip Code + 4: -  <b>Congressional District, if known:</b>	<b>5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:</b> Name: Address: City: State: Zip Code + 4: -  <b>Congressional District, if known:</b>	
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable:	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known: \$</b>	
<b>10. a. Name of Lobbying Registrant</b> (if individual, last name, first name, MI): Address: City: State: Zip Code + 4: -	<b>b. Individuals Performing Services</b> (including address if different from No. 10a) (last name, first name, MI): Address: City: State: Zip Code + 4: -	
<b>11.</b> Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Name: Title: Applicant: Date:	
<b>Federal Use Only:</b>		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

## CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements.

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal Loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance.

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee or any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

APPLICANT'S ORGANIZATION

PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

Prefix:                      First Name:                                      Middle Name:

Last Name:    Suffix:

Title:

Signature:

Date:

07/07/2010

ED 80-0013

03/04

## Section 427 of GEPA

### NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P. L.) 103-382).

#### **To Whom Does This Provision Apply?**

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

#### **What Does This Provision Require?**

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This 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. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct

description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

#### **What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?**

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

### Estimated Burden Statement for GEPA Requirements

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 **1894-0005**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202-4537.

Applicants should use this section to address the GEPA provision.

**SUPPLEMENTAL INFORMATION  
REQUIRED FOR  
DEPARTMENT OF EDUCATION GRANTS**

**1. Project Director:**

Prefix:      \* First Name:                      Middle Name:                      \* Last Name:                      Suffix:

Address:

\* Street1:

Street2:

\* City:

County:

\* State:                      \* Zip / Postal Code:      \* Country: USA

\* Phone Number (give area code)                      Fax Number (give area code)

Email Address:

**2. Applicant Experience**

Novice Applicant                       Yes                       No                       Not applicable

**3. Human Subjects Research**

Are any research activities involving human subjects planned at any time during the proposed project period?

Yes                       No

Are ALL the research activities proposed designated to be exempt from the regulations?

Yes      Provide Exemption(s) #:

No      Provide Assurance #, if available:

**Please attach an explanation Narrative:**

**Attachment:**

Title :

File :

# **Project Narrative**

## **Table of Contents**

# **Project Narrative**

## **Abstract**

**The Program Narrative Abstract Form is where applicants will attach in a word document, their one-page project abstract that will provide an overview of the proposed project.**

## **Project Narrative**

**Need for the project. (Maximum 20 points) In determining the need for the proposed project, the Secretary considers:**

- a. The magnitude of the needs for the services to be provided or the activities to be carried out by the proposed project. (10 points)**
- b. The extent to which the proposed project will focus on serving or otherwise addressing the needs of disadvantaged individuals. (5 points)**
- c. The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses. (5 points)**

## **Project Narrative**

**Quality of the project design. (Maximum 15 points) In determining the quality of the design of the proposed project, the Secretary considers:**

**a. The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable. (10 points)**

**b. The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs. (5 points)**

## **Project Narrative**

**Quality of project services. (Maximum 15 points) In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. In addition, the Secretary considers:**

- a. The extent to which the services provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services. (10 points)**
- b. The extent to which the services to be provided by the proposed project reflect up-to-date knowledge from research and effective practice. (5 points)**

## **Project Narrative**

**Quality of project personnel. (Maximum 10 points) In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. In addition, the Secretary considers:**

- a. The qualifications, including relevant training and experience, of the project director or principal investigator. (5 points)**
- b. The qualifications, including relevant training and experience, of key project personnel. (5 points)**

## **Project Narrative**

**Adequacy of resources. (Maximum 5 points) In determining the adequacy of resources for the proposed project, the Secretary considers:**

- a. The extent to which the budget is adequate to support the proposed project. (3 points)**
- b. The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project. (2 points)**

## **Project Narrative**

**Quality of the management plan. (Maximum 20 points) In determining the quality of the management plan for the proposed project, the Secretary considers:**

- a. The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks. (10 points)**
- b. The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project. (5 points)**
- c. The adequacy of mechanisms for ensuring high-quality products and services from the proposed project. (5 points)**

## **Project Narrative**

**Quality of the project evaluation. (Maximum 15 points) In determining the quality of the evaluation, the Secretary considers:**

- a. The extent to which the methods of evaluation are thorough, feasible and appropriate to the goals, objectives and outcomes of the proposed project. (5 points)**
- b. The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes. (5 points)**
- c. The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible. (5 points)**

## **Project Narrative**

### **Other Attachments**

**Attach Program Profile Here.**

# **Budget Narrative**

**ED 524 (Section A and Section B)**

**The U. S. Department of Education Budget Information for Non-Construction Programs Application package is where applicants provide budget information for Section A - Budget Summary U.S. Department of Education Funds and Section B - Budget Summary Non-Federal Funds Applicants should include costs for all project years.**

## SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

**Purpose:** The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information provided on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

**Instructions for Submitting the Survey:** If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

**Applicant's(Organization)Name:**

**Applicant's DUNS Number:**

**Federal Program:**

**CFDA Number: .**

- |   |  |                                     |                                |                              |                                 |                               |                                   |  |  |  |  |  |  |
|---|--|-------------------------------------|--------------------------------|------------------------------|---------------------------------|-------------------------------|-----------------------------------|--|--|--|--|--|--|
| <p>1. Has the applicant ever received a grant or contract from the Federal government?<br/> <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>2. Is the applicant a faith-based organization?<br/> <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>3. Is the applicant a secular organization?<br/> <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>4. Does the applicant have 501(c)(3) status?<br/> <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>5. Is the applicant a local affiliate of a national organization?<br/> <input type="checkbox"/> Yes <input type="checkbox"/> No</p> | <p>6. How many full-time equivalent employees does the applicant have? (<i>Check only one box</i>).</p> <table border="0" style="width: 100%;"> <tr> <td><input type="checkbox"/> 3 or Fewer</td> <td><input type="checkbox"/> 15-50</td> </tr> <tr> <td><input type="checkbox"/> 4-5</td> <td><input type="checkbox"/> 51-100</td> </tr> <tr> <td><input type="checkbox"/> 6-14</td> <td><input type="checkbox"/> over 100</td> </tr> </table> <p>7. What is the size of the applicant's annual budget? (<i>Check only one box.</i>)</p> <table border="0" style="width: 100%;"> <tr> <td><input type="checkbox"/> Less Than \$150,000</td> </tr> <tr> <td><input type="checkbox"/> \$150,000 - \$299,999</td> </tr> <tr> <td><input type="checkbox"/> \$300,000 - \$499,999</td> </tr> <tr> <td><input type="checkbox"/> \$500,000 - \$999,999</td> </tr> <tr> <td><input type="checkbox"/> \$1,000,000 - \$4,999,999</td> </tr> <tr> <td><input type="checkbox"/> \$5,000,000 or more</td> </tr> </table> | <input type="checkbox"/> 3 or Fewer | <input type="checkbox"/> 15-50 | <input type="checkbox"/> 4-5 | <input type="checkbox"/> 51-100 | <input type="checkbox"/> 6-14 | <input type="checkbox"/> over 100 | <input type="checkbox"/> Less Than \$150,000 | <input type="checkbox"/> \$150,000 - \$299,999 | <input type="checkbox"/> \$300,000 - \$499,999 | <input type="checkbox"/> \$500,000 - \$999,999 | <input type="checkbox"/> \$1,000,000 - \$4,999,999 | <input type="checkbox"/> \$5,000,000 or more |
| <input type="checkbox"/> 3 or Fewer   | <input type="checkbox"/> 15-50   |                                     |                                |                              |                                 |                               |                                   |  |  |  |  |  |  |
| <input type="checkbox"/> 4-5  | <input type="checkbox"/> 51-100  |                                     |                                |                              |                                 |                               |                                   |  |  |  |  |  |  |
| <input type="checkbox"/> 6-14   | <input type="checkbox"/> over 100  |                                     |                                |                              |                                 |                               |                                   |  |  |  |  |  |  |
| <input type="checkbox"/> Less Than \$150,000  |  |                                     |                                |                              |                                 |                               |                                   |  |  |  |  |  |  |
| <input type="checkbox"/> \$150,000 - \$299,999  |  |                                     |                                |                              |                                 |                               |                                   |  |  |  |  |  |  |
| <input type="checkbox"/> \$300,000 - \$499,999  |  |                                     |                                |                              |                                 |                               |                                   |  |  |  |  |  |  |
| <input type="checkbox"/> \$500,000 - \$999,999  |  |                                     |                                |                              |                                 |                               |                                   |  |  |  |  |  |  |
| <input type="checkbox"/> \$1,000,000 - \$4,999,999  |  |                                     |                                |                              |                                 |                               |                                   |  |  |  |  |  |  |
| <input type="checkbox"/> \$5,000,000 or more  |  |                                     |                                |                              |                                 |                               |                                   |  |  |  |  |  |  |