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APPLICATION FOR GRANTS UNDER THE
STRENGTHENING INSTITUTIONS PROGRAM
CFDA # 84.031A

AMERICAN INDIAN TRIBALLY CONTROLLED
COLLEGES AND UNIVERSITIES PROGRAM
CFDA # 84.031T

ALASKA NATIVE-SERVING INSTITUTIONS
PROGRAM
CFDA # 84.031N

AND THE

NATIVE HAWAIIAN-SERVING INSTITUTIONS
PROGRAM
CFDA # 84.031W

FORM APPROVED ED FORM 851A, ED-524
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UNITED STATES DEPARTMENT OF EDUCATION
WASHINGTON, DC 20006-8513

January, 2004

Dear Applicant:

We are pleased to provide this application booklet for institutions of higher education that intend to apply for Fiscal Year (FY) 2004 grants under the Strengthening Institutions Program (SIP), the American Indian Tribally Controlled Colleges and Universities Program (TCCU), and the Alaska Native and Native Hawaiian-Serving Institutions Program (ANNH). Title III, Part A of the Higher Education Act (HEA) of 1965, as amended, authorizes these programs. They provide funds to eligible institutions of higher education so that they might increase their self-sufficiency by improving academic programs, institutional management, and fiscal stability.

You may apply for either a one-year planning grant, a five-year individual development grant or a five-year cooperative arrangement development grant. If you are interested in a five-year individual development grant, you may submit an application as an individual institution and another application as part of a cooperative arrangement. We may fund your institution simultaneously under both.

In order to receive a grant under Title III, Part A, an institution of higher education must have applied for and received "designation as an eligible institution." The Notice Inviting Applications for Designation as an Eligible Institution was published in the Federal Register on December 9, 2003. The deadline for receipt of applications is January 20, 2004. The Notice Inviting Applications for the SIP, TCCU and the ANNH programs is included in this booklet.

If the institution meets the specific eligibility requirements for more than one of the Title III, Part A programs, it may submit an application for a five-year individual development grant and a cooperative arrangement development grant under each program. However, we will fund only one five-year individual development grant and one cooperative arrangement development grant to the institution under one program.

A currently funded TCCU may apply for another individual development grant under the TCCU Program. But please note that a TCCU that does not have an individual

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development grant will be given priority over those applicants that have an individual development grant.

If you plan to apply for a one-year construction and renovation grant and/or a five-year individual development grant under the TCCU program or a five-year individual development grant under the ANNH program, please review carefully the additional eligibility requirements found in Sections 316 and 317 of the HEA.

It is mandatory that applications for grants for FY 2004 under Title III, Part A programs be submitted electronically using e-Application which is available through the Department's e-Grants System. An applicant, who is unable to submit an application through the e-Grants System may submit a written request for a waiver of the electronic submission requirement (see the application booklet for specific details).

If applying for a five-year individual development grant, or a cooperative arrangement development grant, you must provide budget information for all five years. We will determine the funding level for each of the five years of the grant at the time of the initial award. However, funding for years two through five will be contingent on Congress appropriating sufficient program funds and on grantees showing substantial progress.

Please note that the standard assurances and certifications are a part of this application package and must be submitted electronically with the grant application.

I urge you to carefully read all the information contained in this booklet before preparing your application.

If you have questions, please contact the program staff listed on the final page of this booklet.

Sincerely,

Wilbert Bryant
Deputy Assistant Secretary
for Higher Education Programs

GENERAL INFORMATION

What Title III, Part A Programs are available for higher education institutions like mine?

Your institution may be eligible to apply for one of the following programs: the Strengthening Institutions Program (SIP), the American Indian Tribally Controlled Colleges and Universities Program (TCCU), the Alaska Native-Serving Institutions Program (ANSI) and the Native Hawaiian-Serving Institutions Program (NHSI). All are authorized under Title III, Part A of the Higher Education Act of 1965, as amended (HEA). Their purpose is to provide funds that help institutions increase their self-sufficiency by improving their academic quality, management processes or fiscal stability.

How can my institution be designated as eligible to receive one of these grants?

The process for becoming designated as an eligible institution is separate from the process of applying for a grant. Your institution may apply for a grant award under Title III, Part A only if you are eligible under Title III of the HEA, as defined by the program regulations, 34 CFR Part 607, sections 607.2 - 607.5. We announced information about the eligibility process and deadline for Fiscal Year (FY) 2004 Title III, Part A in the **Federal Register**. Applications for eligibility are due by January 20, 2004. Check the Title III, Part A web site under the "eligibility 2004" link:

<http://www.ed.gov/programs/iduestitle3a/index.html>

An institution applying for a grant under the ANSI or the NHSI program must also submit an assurance showing a full-time equivalent (FTE) enrollment consisting of at least 10% native Hawaiian students for the NHSI or 20% Alaskan native students for the ANSI.

An institution applying for a TCCU grant must also meet the definition of the term "tribally controlled college or university" in section 2 of the Tribally Controlled College or University Assistance Act of 1978, or it must be listed in the Equity in Educational Land Grant Status Act of 1994.

What types of grants are available in this program?

You may receive an individual planning grant, a development grant and/or a cooperative arrangement development grant. Here are some important points to note:

- You may submit only one application for an individual development grant under Title III, Part A.
 - Exception: If your institution is a TCCU or an ANSI or NHSI, the institution may submit one development grant application under the Strengthening Institutions Program and one under the population-specific program for which you qualify.

However, you may only receive a grant under the Strengthening Institutions Program **or** one of the population-specific Programs. You may apply for, and simultaneously receive, both an **individual** development grant and a **cooperative arrangement** development grant where you carry out the project with one or more institutions of higher education. You may not apply as part of more than one cooperative arrangement.

- For TCCUs only.
A TCCU may also seek funding for a construction development grant. This grant allows funding to institutions solely for construction, maintenance, renovation and improvement to classrooms, libraries, laboratories and other instructional facilities including purchase or rental of telecommunications technology equipment or services. Additionally, a currently funded TCCU may apply for a development grant under the TCCU Program.

Note: A TCCU that does not have a development or a TCCU construction development grant will be given priority over those applicants that have one or both grants. Follow the guidelines for an individual development grant.

What is the difference between a Planning Grant and a Development Grant?

Planning Grant

You may use these funds for one two-fold purpose, which is to:

- Formulate a Comprehensive Development Plan (CDP), including identifying and analyzing the institution's major problems; and,
- Prepare the five-year development grant project.

Receiving a Planning Grant does not guarantee that you will subsequently receive a development grant. In addition, you do not need to apply for a planning grant before applying for a development grant. The planning grant cannot be awarded simultaneously with a development grant or a cooperative arrangement development grant.

Time frame: Your institution may apply for one, one-year planning grant.

Individual Development Grant

A development grant helps you address and, perhaps, resolve a problem(s) you identify in the CDP and helps you strengthen your organization's academic quality, management capabilities, or fiscal stability. You may choose to carry out one or more of a wide variety of activities which are listed in the HEA, and include but are not limited to:

- Creating faculty development programs;
- Improving funds and administrative management processes;
- Developing and improving academic programs;

- Acquiring equipment that strengthens your ability to manage funds;
- Acquiring equipment that helps you strengthen academic programs;
- Providing student services;
- Jointly using facilities, such as libraries and laboratories; and
- Developing other activities that will promote growth and self-sufficiency.

Many grantees in the past have chosen to carry out one activity. But, if you choose several activities, they may be unrelated, may begin and end at different dates, and have a different duration.

As part of developing the CDP and the grant award 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.

For a thorough understanding of the wide variety of types of activities and costs allowed under a grant, review the program regulations in 34 CFR 607.10 and 607.30.

Time frame: You may receive a development grant for a period of five years.

Is there a Wait-Out Period between Individual Development Grants?

If you previously received a five-year **individual** development grant under the Strengthening Institutions Program, you must wait for two years after the date the five-year grant ended, including any time extensions the grant may have received, to receive another Strengthening Institutions Program **individual** development grant. An eligible institution may apply for funding if your previous Title III, Part A individual development grant ended on before September 30, 2002. The wait-out period, however, does not pertain to eligible applicants under the population-specific programs or those applying for cooperative arrangement development grants.

Endowment Funds

May we allocate any of the grant funds for endowment investing?

If you are a Strengthening Institution or Tribal College grantee, you may invest up to 20% of the development grant to establish or increase your endowment. If you are an Alaskan Native-Serving or Native Hawaiian-Serving grantee, you may **not** use grant funds for endowment investing.

Will we need to match and invest the endowment funds?

Of the 20 percent of a development grant award that you may allocate to your endowment, you must:

- provide matching funds from non-Federal sources of at least one dollar for every dollar of grant funds before you draw down grant funds, and
- invest both the grant and matching funds for 20 years. During that period, you may spend up to 50% of the cumulative income (appreciation, interest and dividends) earned on the investment. At the end of the 20 years, you may spend both the principal and the income.

What happens if the selection process ends in a tie?

The program regulations provide a tiebreaker mechanism that the Department may use to determine who will receive a grant if two or more institutions have the same score and funds are insufficient to fund all of them. We award up to three points to applicants who demonstrate that they:

- (1) have an endowment fund where the market value, per full-time equivalent (FTE) student, is less than average market value, per FTE student, at similar institutions;
- (2) have expenditures for library materials, per FTE student, which are less than the average expenditures, per FTE student, at similar institutions; and
- (3) will carry out one or more of the activities listed in 34 CFR 607.23(b)(3)(i)-(vi).

If a tie still remains after applying these criteria, we give the highest rank to institutions whose combined library expenditures and endowment values for each full time student are lowest. Be sure to complete the Tie Breaker Information on page 39.

Are we required to submit performance reports?

If you receive a grant, you must report on the progress of your project by updating us about your progress in meeting the project goals and your success in keeping to the time frame you established in the grant application. If you received a development grant award, you must submit an annual progress report that demonstrates substantial progress. An institution that receives a grant award must submit a final performance report within 90 days after expiration of the award.

- For a planning grant, you must outline how much of your planning process you implemented and the benefits of that process.
- For a development grant, you must discuss how many of your development activities objectives you reached, and their impact on your institution's growth and self-sufficiency. In addition, you must state how many of these activities you embedded into your regular program.

To ensure that you have a quality final report, you must establish measurable objectives in your grant application, including the projected outcome of each activity. Your application

should also include an evaluation plan that will help you compare “what was” to “what is”; document performance outcomes; and assess the impact of the project on your institution's development.

GENERAL INSTRUCTIONS

What is the first step I should take to apply for a Title III, Part A grant?

Start by reading **all** the materials in this application booklet pertinent to the type of grant you are applying for, including the appendices.

What is the format for the narrative?

When writing the narrative section of your application, be sure to do the following:

- A page is 8.5” x 11” on one side of the page only, with 1” margins at the top, bottom, and both sides.
- Double-space all text in the application narrative (except for the abstract which should be single spaced), including titles and headings. You may single space footnotes, quotations, references, and captions, as well as all text in charts, tables, figures and graphs.
- Use a font that is either 12-point or larger or no smaller than ten pitch (characters per inch)
- Use plain, white or off-white, bond paper.
- Number the pages consecutively, starting with the Table of Contents by placing a number at the bottom right of each page.
- Type the name of your institution and the state where it is located at the top of each page. E.g. “Cedar University, PA.”
- Please do not use colored text. Use black and white, also, for illustrations, including charts, tables, graphs and pictures.
- The Application for Federal Education Assistance Form (ED 424) will serve as the cover page for the application.
- For the narrative component, your application should consist of the selection criterion followed by the written narrative. The text of the selection criterion, if included, does not count against any page limitation. Submit your application in a spiral or other bound format that will ensure that the application stays intact, and that no pages are lost during the review processes.
- **DO NOT SUBMIT YOUR APPLICATION IN A 3-RING BINDER.**
- You may also use boldface type, underlining and italics.

Is there a page limit?

As part of the continuing effort to streamline grant applications, page limits will be strictly enforced. **Applications that exceed the page limits will be returned.**

- Planning Grant application may not exceed 30 pages.

- Individual Development Grant application may not exceed 80 pages.
- Construction Development Grant application under the American Indian Tribally Controlled Colleges and Universities Program may not exceed 80 pages.
- Cooperative Arrangement Development Grant application may not exceed 100 pages.

NOTE: These page limits include all parts of the application.

Do we need to complete all the required forms?

At the time of submission include the following forms:

- ✓ Application for Federal Education Assistance Form (ED Form 424)
- ✓ Cooperative Arrangement Participating Institutions Form (ED Form 851A-1), if applicable.
- ✓ Activity Objectives and Performance Indicators Form (ED Form 851A-2)
- ✓ Implementation Strategy and Timetable Form (ED Form 851A-3)
- ✓ Activity Budget Forms (ED Form 851-4)
- ✓ Other Budget Information Forms for Activity Budgets (ED Form 851A-5)
- ✓ Summary Budget Form (ED Form 524)
- ✓ Other Budget Information Forms for Summary Budget (ED Form 851A-5)
- ✓ Certification for Alaska Native-Serving Institutions (ED 851A-7), if applicable
- ✓ Certification for Native Hawaiian-Serving Institutions (ED 851A-8), if applicable
- ✓ General Education Provisions Act (GEPA) Requirement
- ✓ Endowment Fund Assurance Form
- ✓ Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (ED 80-0013)
- ✓ Assurances-Non-Construction Programs (SF 424B)
- ✓ Disclosure of Lobbying Activities (SF LLL)
- ✓ Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions (ED 80-0014) (retained by the applicant)

Will my state government need to review my application?

The Strengthening Institutions Program and the Alaska Native and Native Hawaiian-Serving Institutions Program are subject to Executive Order 12372, Intergovernmental Review of Federal Programs. Also see the State Single Point of Contact for intergovernmental review In Appendix VI.

- If your State is not listed, it does not require intergovernmental review, and you do not have to take further steps.

- If your State is listed, contact the person identified by your state to learn what procedure you must follow for getting the state to review your application.
- If your institution is a TCCU-- regardless of whether you are applying for a grant under the Strengthening Institutions Program or the American Indian Tribally Controlled Colleges and Universities Program -- you are not subject to intergovernmental review, and need not contact the State.

What is the paperwork burden statement and how does it affect my application?

According to the Paperwork Reduction Act of 1995, you are not required to respond to a collection of information unless the application displays a valid OMB control number that, in this case, is 1840-0114. You will need an average of 30 hours for each response for the planning grant application, 50 hours for each response for the development grant applications and 60 hours for each response for the cooperative arrangement development grant. This includes the time you need to review instructions, search existing data resources, gather data, and complete and review the information.

If you have comments or concerns regarding the accuracy of the time estimate (s) or suggestions for improving this form, please write to:

**U.S. Department of Education
Washington, D.C. 20202-4651**

If you have comments regarding the status of your application write directly to:

**Institutional Development and Undergraduate
Education Service
Office of Postsecondary Education
U.S. Department of Education
1990 K Street, NW, 6th Floor
Washington, D.C. 20006-8513**

Is there a summary checklist that lays out what my application should include?

The following are checklists of materials you must include in your Title III, Part A application. The list varies dependent upon the grant you want to submit. **Do not** include the checklist in your application. Additional instructions for all ED forms are located in the section called Application Forms and Instructions. Feel free to duplicate any forms in this booklet or construct the forms on your computer.

Planning grant under the Strengthening Institutions Program, the American Indian Tribally Controlled Colleges and Universities Program, the Alaska Native-Serving Program and the Native Hawaiian-Serving Institutions Program

1. Application for Federal Education Assistance ED 424 – Application Cover Page
2. Table of Contents

3. Institutional Narrative
4. Planning Process Narrative
5. Key Personnel
6. Project Management Plan
7. Summary Budget ED Form 524
8. Other Budget Form ED851A-59.
9. General Education Provisions Act Requirement – Section 427
10. Assurances and Certification Forms
 - a. Alaska Native-Serving Institution Certification ED851A-7 (AN only); or
 - b. Native Hawaiian-Serving Institution Certification ED851A-8 (NH only)
 - c. Endowment Fund Assurance Form (ED Form 851A-6)
 - d. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (ED 80-0013)
 - e. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions (ED 80-0014)
 - f. Assurances – Non Construction Programs (SF 424B)
 - g. Disclosure of Lobbying Activities (SF-LLL)

Individual Development grant or Cooperative Arrangement Development grant under the Strengthening Institutions Program, the American Indian Tribally Controlled Colleges and Universities Program, the Alaska Native-Serving Program, and the Native Hawaiian-Serving Institutions Program checklist.

1. Application for Federal Education Assistance ED 424 – Application Cover Page
2. Form ED851A-1 for Institutions Participating in a Cooperative Arrangement (cooperative applicants only)
3. Project Abstract
4. Table of Contents
5. Institutional Narrative
6. Comprehensive Development Plan
7. Justification for Funding under a Cooperative Arrangement Grant (cooperative applicants only)
8. Activity Description (**repeat this section for each activity**):
 - a. Narrative for the activity
 - b. Activity Objectives and Performance Indicators Form ED851A-2
 - c. Narrative Showing the relationship of Activity Objectives to the CDP
 - d. Implementation Strategy and Timetable in Chart Form
 - e. Narrative Relating to the Implementation Strategy Rationale
 - f. Key Personnel Narrative
 - g. Project Management Plan Narrative
 - h. Project Evaluation Plan Narrative
 - i. Activity Budget and Other Budget Information Form (place all budget pages together)
 - j. Summary Budget Form ED Form 524
9. Other Budget Information Form ED Form 851A-5 for the Summary Budget
10. Certifications and Assurances
 - a. Endowment Fund Assurance Form (ED Form 851A-6)

- b. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (ED 80-0013)
 - c. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions (ED 80-0014)
 - d. Assurances – Non Construction Programs (SF 424 B)
 - e. Disclosure of Lobbying Activities (SF-LLL)
11. Development Grant Application Appendices
- a). Brief Statement to prioritize the Ranking of Activities
 - b). Prior Title III, Part A Program Support Narrative
 - c). General Education Provisions Act
 - d). Cooperative Arrangement Certification (for institutions apply for a Cooperative Arrangement Development Grant)

APPLICATION INSTRUCTIONS

This section provides you with information critical to your successfully completing the planning grant application. You will find the questions the three readers will use in judging the quality of your proposed planning grant project and the maximum number of points readers may give for each section.

If you are applying for a **PLANNING GRANT**

What are some general guidelines for this application?

For the narrative component, your application should consist of the selection criteria followed by the written narrative.

You may only apply for a planning grant as an individual institution -- ***not as part of a cooperative arrangement of multiple institutions.*** Also:

- In your application, describe the planning process your institution will use to prepare a Comprehensive Development Plan (CDP) and the remaining parts of a development grant application.
- Be sure to describe the specific planning process as concisely and accurately as possible.

Review the regulatory selection criteria, (34 CFR 607.21), to ensure your application contains the information readers will need to judge the quality of the proposed planning project.

What should my planning grant application contain?

Your planning grant application should contain the following sections:

1. Application for Federal Education Assistance Form (ED Form 424)

Use the Application for Federal Education Assistance (ED Form 424) as the cover page to your application; this will facilitate the processing of your application once ED receives it. Order items 1 through 3 according to the checklist.

2. Table of Contents

3. Institutional Narrative

Content: Introduce your institution to the reader by describing the features you consider are most prominent. Include the institution's mission, level (2-year/4-year), control

(private/public), service area, current program offerings, student characteristics, enrollment figures and trends, and any other important information.

4. Planning Process Narrative

Selection Criteria: To what extent does the institution clearly and comprehensively describe the planning process it will use to develop a comprehensive development plan and a 5-year development grant application and to what extent does it base the planning process on sound planning practice?

Maximum Points: 15 points

Content:

- Comprehensively describe the planning process -- a series of actions or steps -- that you will use to develop the CDP and the rest of the development grant application. Using the Implementation Strategy and Timetable Form (ED Form 851A-3), chart the major tasks involved in this planning process.

Selection Criteria: To what extent will the applicant systematically and consistently involve the president or chief executive officer, administrators and other institutional personnel, students, and governing board members in the planning process?

Maximum Points: 15 points

Content:

- Describe how your institution will involve, systematically and consistently, the president or chief executive officer, administrators, faculty, staff, students, and governing board members in pertinent phases of the planning process.

Selection Criteria: To what extent will the applicant use its own resources to help implement the project?

Maximum Points: 10 points

Content:

- Describe your institution's resources, including personnel, facilities, monies, or the like, that you will use to carry out the planning process successfully.

Selection Criteria: To what extent is the planning process likely to achieve its intended results?

Maximum Points: 20 points

Content:

- Explain your rationale for using this process by showing that it is based on sound state-of-the-art planning practice and is likely to achieve its intended results

5. Key personnel

Selection Criteria: To what extent are the past experience and training of key personnel such as the project coordinator (project director) and persons who have key roles in the planning process suitable to the tasks they will perform?

Maximum Points: 10 points

Selection Criteria: To what extent are the time commitments of key personnel adequate?

Maximum Points: 10 points

Content: Identify by title the key personnel who will perform the project tasks. Provide a **position description** for each key position that the grant will support and a **resume** for the proposed project director and any other key personnel identified. Describe the qualifications you require for the position and the amount of time the person will allot to the project. If you want to use a consultant, include the position description and explain why a consultant is more advantageous than using the institution's personnel.

6. Project Management Plan

Selection Criteria: To what extent are the procedures for managing the planning grant project likely to ensure effective and efficient project implementation?

Maximum Points: 10 points

Selection Criteria: To what extent does the project coordinator (project director) have sufficient authority, including access to the president or chief executive officer, to conduct the project effectively?

Maximum Points: 5 points

Content: Describe the procedures you will use to:

- manage, facilitate and monitor the planning process,
- formulate the CDP, and
- prepare the rest of the development grant application.

Include provisions for gathering and reporting project information to appropriate decision-makers at your institution. Also, provide evidence that the project coordinator will have sufficient administrative authority, including access to the president or chief executive officer, to conduct the project effectively.

7. Summary Budget Form

Selection Criteria: To what extent are the proposed project costs necessary and reasonable?

Maximum Points: 5 points

Content: Your budget should correspond to your institution's needs for goods and services, as described in the institutional narrative, and should reflect costs that are reasonable in today's market place.

Provide your overall one-year budget on the Summary Budget Form (ED Form 524).

8. Other Budget Information Form

Content: Describe details not contained in your Summary Budget form in the Other Budget Information Form (ED Form 851A-5).

9. Assurances and Certification forms

At the time of submission (in addition to the forms listed above) you will need to include the following institutional certification forms (if applicable):

- ✓ Certification for Alaska Native-Serving Institutions (ED 851A-6)
- ✓ Certification for Native Hawaiian-Serving Institutions (ED 851A-7)
- ✓ General Education Provisions Act (GEPA) Requirement

Read the instructions on each form carefully and be sure to provide all the requested information. Feel free to duplicate copies of any forms in this booklet or construct the form yourself on your computer. If you do not provide sufficient information, we cannot consider your application.

Please note that in previous years, the following assurances and certification forms were mailed to successful applicants for signature at the time of grant award notification.

This year, these forms must be submitted by all applicants with your application.

- ✓ Endowment Fund Assurance Form
- ✓ Certification Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements
- ✓ Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions
- ✓ Disclosure of Lobbying Activities
- ✓ Assurances –Non-Construction Programs

The planning grant application may not exceed 30 pages.

If you are applying for a **DEVELOPMENT GRANT**

What are some general guidelines for this application?

For the narrative component, your application should consist of the selection criteria followed by the written narrative.

Content: This application should consist of two parts:

- Part I includes an Institutional Narrative and a Comprehensive Development Plan (CDP). This is an opportunity to acquaint the reader with the characteristics of the institution and to provide a comprehensive overview of the institutions strengths and problems.
- Part II includes a Description of the Activity(ies) (the solution to a problem you identified in the CDP) that you will conduct to address the weaknesses or problems with Title III, Part A funds and a Plan for Project Management and Evaluation.

Review the regulatory selection criteria, (34 CFR 607.22), to ensure your application contains the information readers will need to judge the quality of the proposed application.

What should my development grant application contain?

Content: Your application should contain the following sections:

1. Application for Federal Education Assistance Form (ED Form 424)

Use the Application for Federal Education Assistance (ED Form 424) as the cover page to your application; this will facilitate the processing of your application once ED receives it.

2. ED Form 851A-1 for Institutions Participating in a Cooperative Arrangement Development (cooperative applicants only)

3. Project Abstract

4. Table of Contents

5. Institutional Narrative

The Institutional Narrative

Content: Familiarize the reader with your institution by describing its distinguishing features, including:

- Your institution's level (2-year/4-year); control (private/public); affiliation; primary service population; and programs of study (e.g., liberal arts, technical programs).
 - Student Body Characteristics (Include the number of students-either full-time equivalent or headcount - and the racial, ethnic, age, and gender breakdown).
 - Faculty Characteristics (Include the number of full-time and adjunct faculty and faculty to student ratio).
- ✓ *Cooperative arrangement development grant applicants:* Introduce each institution involved in the cooperative arrangement grant application. Identify any partner institutions that will participate in activities but will not receive funds.

6. Comprehensive Development Plan Narrative (CDP)

Before completing this section, review the specific program regulations that describe the CDP.

Use these headings and provide information as follows:

A. Analysis of Institutional Strengths, Weaknesses/Significant Problems and Description of Analysis Process

Selection Criteria: To what extent does the institution clearly and comprehensively analyze the strengths, weaknesses/significant problems of its academic programs, institutional management, and fiscal stability? To what extent does the information about the strengths, weaknesses/significant problems result from a process that involved major constituencies of the institution?

Maximum Points: 12 points

Content: Describe and analyze your institution's strengths, weaknesses/significant problems in the following three areas:

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

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

- **State what is “too high” or what is “too low”.** For example, the percentage of freshmen students who fail four courses is too high. When you state the problem

this way, the objectives become obvious. *E.g.*, "To decrease, from 42% to 30%, the percentage of freshmen students who fail four courses."

- **Avoid problem statements that declare the problem as "the lack of " or "the need for" the very solution you are proposing for funding.**
E.g., "The problem with our academic programs is a lack of or need for student services outside the classroom. Thus, we propose an activity to establish those student services." This type of statement usually contains circular reasoning.
- Provide summaries of or excerpts from data, reports, evaluations or studies that demonstrate that you have objectively and thoroughly analyzed your institution's main problems.
- Describe the process you used to formulate the above information.

Provide evidence of the extent and nature of the faculty, staff, students, community, industry, and other major constituents' involvement in this process. You may rely on previously written information, such as a self-study for accreditation, as long as your process for developing the information involved the major constituencies' representatives and reflects your institution's current situation.

B. Key Overall Goals for the Institution

Selection Criteria: To what extent are the goals for the institution's academic programs, institutional management, and fiscal stability realistic and based on comprehensive analysis?

Maximum Points: 5 points

Content: Based on a comprehensive analysis of your institution's strengths, weaknesses/significant problems, state only the institutional goals you plan to address with Title III, Part A funds.

C. Measurable Objectives for the Institution

Selection Criteria: To what extent are the objectives in the plan measurable and related to the institution's goals? And, to what extent will the objectives, if the institution achieves them, contribute to the growth and self-sufficiency of the institution?

Maximum Points: 5 points

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

EXAMPLE:

Specific Tasks

Institutionalize personnel, programs and services

Methods Involved

Operational funding budgeted and allocated to sustain improvements

Tangible Results

Program, services and personnel fully institutionalized

D. Institutionalizing Practices and Improvements

Selection Criteria: To what extent does the plan clearly and comprehensively describe the methods and resources the institution will use to institutionalize practices and improvements developed under the project, including in particular, how operational costs for personnel, maintenance, and upgrades of equipment will be paid with institutional resources?

Maximum Points: 8 points

Content: In this section, describe the following:

1. The methods your institution will use to integrate practices and improvements developed into its operations and, if appropriate, continue them after the grant ends. For example, provide specifics on how your institution will obtain approval from appropriate internal and/or external governance authorities to conduct new or revised curricula and use new intervention strategies. What will the time period be for these actions?
2. The resources you will need to institutionalize newly developed practices and improvements and, most importantly, how you will fund them. In particular, discuss how your institution will fund operational costs such as personnel, maintenance, and upgraded equipment. For example, one way to ensure that positions continue after the grant ends is for your institution to pay a percentage of the salary during the grant and increase that percentage during years two, three, four, and five.
3. If you are applying under the TCCU or ANNH Program, incorporate your institution's five-year plan for improving the assistance it provides to the target student population (American Indian, Alaska Native or Native Hawaiian) within your CDP. If you are an applicant under the TCCU Program, you will also need to address your institution's plan to increase rates at which American Indian secondary school students enroll in higher education, and to increase overall post-secondary retention rates for American Indian students.

- ✓ *Cooperative arrangement development grant applicants:* Combine information from each partner institution into one CDP and provide information on each partner to address the selection criteria. If a partner institution will be participating in the proposed activities, but will not receive funding, you do not need to incorporate that institution's information into the CDP.

7. Justification for Funding under a Cooperative Arrangement Development Grant (cooperative arrangement development grant applicants only)

Content: In a narrative, describe the rationale for each institution's decision to request funds to carry out activities as part of a cooperative arrangement, rather than individually. We give priority to institutions that are:

Accessible. The coordinating institution must prove that the faculty and staff of all institutions have access to each other because of geographic location or because of technology.

Economically sound. All institutions must prove that the cooperative arrangement is economically sound. Provide evidence that all institutions will carry out the proposed activity more effectively together than if they carried it out individually.

8. Activity Description (repeat this section for each activity)

a. Narrative for the Activity

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

Content: Title each activity so that the reader readily knows your focus. Allowable activities include, but are not limited to, the following:

- Faculty Development;
- Funds Management;
- Administrative Management;
- Development of Academic Programs;
- Improvement of Academic Programs;
- Acquisition of equipment for use in strengthening funds management;
- Acquisition of equipment for uses in strengthening academic Programs;
- Student Services; and
- Joint use of Facilities (e.g., libraries, and laboratories).

The HEA lists the allowable activities for the Strengthening Institutions Program and the American Indian Tribally Controlled Colleges and Universities Program, the Alaska Native-Serving Institutions Program, and the Native Hawaiian-Serving Institutions Program. See HEA, Sections 313, 316, and 317 respectively.

b. Activity Objectives and Performance Indicators Form

Selection Criteria: To what extent are the objectives for each activity realistic and defined in terms of measurable results?

Maximum Points: 5 points

Content: Using the Activity Objectives and Performance Indicators Form (ED Form 851A-2), state your annual objectives for each activity, which, when combined with their performance indicator(s), are measurable and realistic (not too high, not too low). Connect each objective to the problem or weakness it should address, as you described in the CDP. In addition:

- Do *not* identify process objectives such as: "To establish a college-wide committee", whose measurement is: "We formed a committee." Identify processes or tasks under the Implementation Strategy, as discussed next.
- Do use words such as "to increase" or "to decrease" since you are more likely to be describing a genuine, outcome objective.
- Do *not* begin your objective with words such as "to provide," "to develop," or "to establish." This heightens the likelihood you may be describing a process or task rather than an outcome objective.
- Do provide a realistic number of objectives and performance indicators for each activity and for each year you are requesting funds for an activity.

You may reproduce or create, by computer, a duplicate of the Activity Objectives and Performance Indicators Form (ED Form 851A-2), as necessary.

c. Narrative Showing the Relationship of Activity Objectives to the Goals for which the institution will be using Title III, Part A funds

Selection Criteria: To what extent are the objectives for each activity related to the problems to be solved and to the goals of the comprehensive development plan?

Maximum Points: 5 points

Content: In a brief chart, show how meeting the objectives of each activity will:

1. address a problem identified in the CDP, and
2. affect your institution's ability to address its goals for its academic programs, institutional management, or fiscal stability.

d. Implementation Strategy and Timetable in Chart Form

Selection Criteria: To what extent is the implementation strategy for each activity comprehensive?

Maximum Points: 10 points

Selection Criteria: To what extent is the timetable for each activity realistic and likely to be attained?

Maximum Points: 5 points

Content: Using the Implementation Strategy and Timetable Form (ED Form 851A-3), which you may reproduce or create on your computer as necessary, do the following:

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

e. Narrative relating to the Implementation Strategy Rationale

Selection Criteria: To what extent is the rationale for the implementation strategy for each activity clearly described and supported by the results of relevant studies or projects?

Maximum Points: 10 points

Content: Explain why you chose a specific method for implementing an activity. Include how you determined that this method would be most effective, indicating relevant studies or projects that you reviewed and experts that you consulted.

f. Key personnel Narrative

Selection Criteria: To what extent are the past experience and training of key personnel such as the project coordinator (project director) and persons who have key roles in the planning process suitable to the tasks they will perform?

Maximum Points: 10 points

Selection Criteria: To what extent are the time commitments of key personnel adequate?

Maximum Points: 10 points

Content: **Provide a position description** for each key position that the grant will support and a resume for the proposed project director and any other key personnel identified. Also describe the qualifications you require for the position and the amount of time the person will allot to the project.

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

g. Project Management Plan Narrative

Selection Criteria: To what extent are the procedures for managing the project likely to ensure that the institution will efficiently and effectively implement the project?

Maximum Points: 5 points

Selection Criteria: To what extent do the project coordinator (project director) and activity director(s) have sufficient authority to conduct the project effectively, including access to the president or chief executive officer?

Maximum Points: 5 points

Content: The project management plan is an important part of the project. For this section, do not complete an Activity Objectives and Performance Indicators Form (ED Form 851A-2).

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

- Provide a position description, including the coordinator's required qualifications (education, experience, training) and the specific duties of the position. Directly relate the duties to the stated purposes and objectives of the project.

- Indicate in the position description and on the Activity Budget Form (ED Form 851A-4) how much time the Title III, Part A Coordinator will commit to the project. Make the time commitment realistic, not too high nor too low, relative to the tasks the individual will perform.

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

- Describe the procedures the project coordinator (project director) will use to manage and monitor the project's progress such as how information will be provided to key administrators so they can integrate project activities with related, on-going institutional activities.
- Describe the project coordinator's (project director) administrative authority over the activity director(s) who is normally responsible for accomplishing a specific activity's objectives. Also, describe the administrative authority of the activity director(s) over subordinates.
- Chart the lines of authority of the project coordinator to key institutional decision makers, including the president.

h. Project Evaluation Plan Narrative

Selection Criteria: To what extent are the data elements and data collection procedures clearly described and appropriate to measure the attainment of activity objectives and to measure the success of the project in achieving the goals of the comprehensive development plan?

Maximum Points: 5 points

Content: Describe the data collection procedures the institution will use to identify the data elements and objectives and of goals identified in the CDP. Include measure attainment of activity. Include procedures for analyzing and using both formative (outputs) and summative (outcomes) data.

Selection Criteria: To what extent are the data analysis procedures clearly described and to what extent are they likely to produce formative and summative results on attaining activity objectives and measuring the success of the project on achieving the goals of the comprehensive development plan?

Maximum Points: 5 points

Content: Describe in detail the project's evaluation plan, including who, what, when and how. Define the baseline indicators of progress that you will use.

Content: Detail the project's evaluation plan. The evaluation plan should:

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

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

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

- Department of Education's Fund for the Improvement of Postsecondary Education www.ed.gov/offices/OPE/FIPSE/evaluate.html
- National Science Foundation: www.ehr.nsf.gov/rec/main.asp
- Kellogg Foundation: <http://www.wkkf.org/> (for their evaluation handbook)

The project director and team should be committed to gathering the best evaluation data possible for formative and summative purposes. Projects should collect baseline data before the project starts as a basis for measuring progress. Projects are also required to produce data for performance measures that the Department of Education uses to address

the requirements of the Government Performance and Results Act (GPRA). Current GPRA indicators for the Title III, Part A Program are:

1. **Academic Quality:** The percentage of Title III, Part A project goals relating to the improvement of academic quality that are met or exceeded will increase or be maintained over time.
2. **Student Services and Outcomes:** The percentage of Title III, Part A project goals relating to the improvement of student services and student outcomes that are met or exceeded will increase or be maintained over time.
3. **Institutional Management and Fiscal Stability:** The percentage of the Title III, Part A project goals relating to the improvement of institutional management and fiscal stability that are met or exceeded will increase or be maintained over time.

GPRA indicators are not, however, intended to replace other project specific indicators. The information collected as part of the project evaluation should be aligned with the measurable performance objectives specific to the project. The quantitative and qualitative evaluation data, along with GPRA data, are the basis for judging the success of the project and for evidence-based funding decisions aimed at achieving the best results possible with the funding available. Grantees are required to collect data and report on progress towards meeting the GPRA indicators and other project specific indicators in their annual performance reports.

A summary of the evaluation report must be included in the final performance report submitted by the project to the Department of Education. The report, which also includes fiscal and management performance information, is due within 90 days after expiration of the award. The evaluation report should be included as an appendix to the final performance report as well as available upon request. (Please see EDGAR, 34 CFR 75.217 for information on how project performance may affect future funding). For the Title III, Part A programs, the evaluation plan should produce a valid assessment of the implementation strategies. It should also result in annual, quantifiable evidence of the attainment of objectives for each activity and of the goals in the CDP.

NOTE: While the Department does not require an external evaluation, you may find it useful to hire an outside expert to periodically evaluate the project or a particular activity. If you propose hiring an external evaluator, indicate your reasons for using a consultant.

i. Activity Budget and Other Budget Information Form

Selection Criteria: To what extent are the proposed costs necessary and reasonable in relation to the project's objectives and scope?

Maximum Points: 5 points total for all *Budget* questions

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

- recruit students,
- carry out activities that are operational rather than developmental,
- carry out student activities such as entertainment, cultural or social enrichment programs, student publications, social clubs or associations,
- pay for organized fund raising,
- cover indirect costs.

Demonstrate and justify that all costs are reasonable in today's market and necessary to accomplish your activity objectives. Please pay particular attention in your justification to those costs exceeding \$25,000, excluding salaries and fringe benefits.

Using the Activity Budget Form (ED 851A-4) and the Other Budget Information Form (ED 851A-5), provide detailed, itemized budgets for each activity and for project management/evaluation for each year you want grant funds. Complete a separate ED 851A-4 and ED 851A-5 for each activity and for project management/evaluation. You must provide details so we can determine if the costs are necessary and reasonable.

j. Summary Budget Form ED Form 524

Selection Criteria: To what extent are the proposed costs necessary and reasonable in relation to the project's objectives and scope?

Maximum Points: 5 points total for all Budget questions

Content: First, carefully read the instructions contained in this booklet. Then, using the Summary Budget Form (ED 524), prepare a summary budget for the entire project that totals all the costs by category for each year of the grant. Complete an Other Budget Information Form itemizing items common to the entire project summary budget.

If you want to use up to 20% of grant funds to establish or increase your institution's endowment fund through endowment investing, enter the amount of your contribution in the summary budget on the "other" line. If you have additional items for the other category, separate the endowment contribution from the other items and make 2 entries for "other". Endowment monies should be listed first. Do not write an activity narrative regarding endowment investing.

Note: Check all totals within an activity budget and between the activity and summary budgets.

9. Other Budget Information Form ED Form 851A-5 for the Summary Budget

Describe details not contained in your Activity Budget Form in the Other Budget Information Form (ED Form 851A-5).

10. Development Grant Application Appendices

The following appendices are required for Title III, Part A Development Grant and/or Cooperative Arrangement Development Grant applications.

a. Ranking Activities

If you are requesting funding for more than one activity, excluding the management and evaluation section of the project, prioritize each one. In one sentence, identify the activities that would be a sound investment of Federal funds if either funded separately or with one or more of the proposed activities.

b. Description of Prior Title III, Part A Support

If applicable, briefly describe all activities your institution carried out under a previous Title III, Part A program grant that ended on or after September 30, 1999. If you did not complete them, explain why. Please indicate if your institution did not receive a Title III, Part A Program grant during this time period.

c. General Education Provisions Act (GEPA) Narrative

Please refer to the GEPA 427 requirements outlined in the "Notice to All Applicants" for instructions on completing this statement.

d. Cooperative Arrangement Certification (if applying for a Cooperative Arrangement Development Grant) (ED Form 851A-1)

List all institutions participating in the cooperative arrangement on the Participating Institutions in a Cooperative Arrangement Form (ED Form 851A-1).

Application Forms and Instructions

- ✓ **ED FORM 424 APPLICATION FOR FEDERAL EDUCATION ASSISTANCE**

**Note: For your convenience, we have included ED FORM 424, the Application for Federal Education Assistance cover pages for the following programs:*

Strengthening Institutions Program (84.031A)
American Indian Tribally Controlled Colleges and Universities Program (84.031T)
Native Hawaiian-Serving Institutions Program (84.031W)
Alaska Native-Serving Institutions Program (84.031N)

Please use the appropriate coversheet for your project.

- ✓ **COOPERATIVE ARRANGEMENT FOR PARTICIPATING INSTITUTIONS FORM (ED FORM 851A-1)**
- ✓ **ACTIVITY OBJECTIVES AND PERFORMANCE INDICATORS FORM (ED FORM 851A-2)**
- ✓ **IMPLEMENTATION STRATEGY AND TIMETABLE FORM (ED FORM 851-3)**
- ✓ **ACTIVITY BUDGET FORM (ED FORM 851A-4)**
- ✓ **OTHER BUDGET INFORMATION FORM (ED FORM 851A-5)**
- ✓ **SUMMARY BUDGET FORM (ED FORM 524)**