Fiscal Year 2022

APPLICATION FOR GRANTS
UNDER THE

Title III, Part A
Alaska Native and Native Hawaiian-Serving Institutions Program
ALN # 84.031N and 84.031W

Form Approved
OMB No. 1840-0810, Exp. Date: 04/30/2024
CLOSING DATE: May 31, 2022
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Thank you for your interest in applying for a new grant under the fiscal year (FY) 2022 Title III, Part A, Alaska Native and Native Hawaiian-Serving Institutions (ANNH) Program grant competition for Assistance Listing Numbers (ALN) 84.031N and 84.031W. This letter highlights items in the ANNH competition application package that will be important to you in applying for a grant under this program.

The Department encourages applicants to address how their services will improve the educational outcomes for Alaska Native and/or Native Hawaiian students. Applicants should consider the use of data toward addressing the existing gaps in retention and graduation rates and provide specific targets and measures for each year of the proposed project for how the institution will work to improve results for these students.

An institution of higher education (IHE) that is interested in applying for funding must be deemed an eligible institution through the Department’s Designation of Eligibility process and must also meet the program eligibility requirements for the ANNH, Part A program. Applicants must self-certify their undergraduate enrollment of either Alaska Native students (20 percent) or Native Hawaiian students (10 percent) at the time of application. The Notice Inviting Applications (NIA) for the FY 2022 process for designation of eligible institutions and inviting applications for a waiver of eligibility requirements was published in the Federal Register on December 13, 2021.

Applications for FY 2022 grants under the ANNH Program must be submitted electronically using Grants.gov at: http://www.grants.gov. Information about Grants.gov submission requirements can be found in the NIA for the FY 2022 competition published in the Federal Register on March 29, 2022 and the transmittal instructions, which are included in this application package.

In FY 2022, the Title III, Part A, ANNH competition (84.031N and 84.031W) will award both Individual Development and Cooperative Arrangement Development Grants. There is one Absolute Priority (AP), which is:

Supporting Student Success by Providing Academic Tutoring and Counseling Programs, and Student Support Services; Moderate Evidence.

Projects that:
(a) Provide academic tutoring and counseling programs, and student support services; and
(b) Are supported by evidence that meets the conditions in the definition of “moderate evidence.”
The response to this priority, in its entirety, is mandatory.

The NIA published in the Federal Register is the official document describing the requirements for submitting an FY 2022 ANNH, Part A program grant application. You should not rely upon any other information that is inconsistent with the guidance contained in the official document. We also encourage applicants to review the “Competition Highlights” found in this application package for an overview of important items.

If you have questions or require additional information, please contact Robyn Wood at robyn.wood@ed.gov or by telephone at 202-453-7744.

We appreciate your interest in the ANNH program and look forward to receiving your application.

Sincerely,

/s/

Michelle Asha Cooper, Ph.D.
Deputy Assistant Secretary for Higher Education Programs,
Delegated the Authority to Perform the Functions and Duties of the Assistant Secretary Postsecondary Education.
Competition Highlights

Application Components

This application package contains detailed instructions for every required component of your application. It also includes an Application Checklist for your convenience. **Note:** If all required documents are not submitted with your application, it may be deemed ineligible.

Deadline

The deadline to submit applications to the FY 2022 ANNH, Part A Competition is May 31, 2022 at 11:59:59 pm, Eastern Time.

Eligible Applicants

Institutions of Higher Education (IHEs) must:

a. Be designated as an eligible institution in FY 2022; and
b. Meet program eligibility requirements for the Alaska Native and Native Hawaiian Serving Institutions Program (ANNH) at the time of application.

You must self-certify (see Program Profile) at the time of application that your institution either has an enrollment of undergraduate students that is at least twenty percent (20 percent) Alaska Native (84.031N) or ten percent (10 percent) Native Hawaiian (84.031W).

Applicants who do not meet these eligibility requirements will not have their application reviewed.

The Department utilizes the Eligibility Matrix (EM) process. With the EM, the Department uses applicants’ Integrated Postsecondary Education Data System (IPEDS) data to determine eligibility. The Federal Register Notice announcing the opening of the eligibility and waiver request period was published on December 13, 2021. Waiver decisions are forthcoming.

Your institution's application for a FY 2022 ANNH, Part A grant MUST be in the same name that appears in the FY 2022 Eligibility Matrix, or your application may be deemed ineligible and not be reviewed.

An eligible ANNH institution may submit only one grant application for an Individual Development Grant and only one grant application as the lead of a Cooperative Arrangement Development Grant.

Who May Apply

Eligible institutions, who meet eligibility requirements and program eligibility, may apply for grant awards under this competition. However, an institution may not concurrently hold multiple Title III, Part A awards. Other Title III, Part A programs include:
In addition, if an institution currently holds a Title III, Part A ANNH Individual Development Grant Award or a Cooperative Development Arrangement Grant Award, please see the table, below, to determine whether you may receive grant awards from this competition:

<table>
<thead>
<tr>
<th>Type of Grant Currently Held</th>
<th>Type of Grant You May Apply For</th>
</tr>
</thead>
<tbody>
<tr>
<td>*Individual Development Grants (Part A) – ONLY</td>
<td>May submit an application as the lead and potentially receive funding for a Cooperative Arrangement Development Grant Award.</td>
</tr>
<tr>
<td>**Cooperative Arrangement Development Grants (Lead) (Part A) - ONLY</td>
<td>May submit an application for and potentially receive funding for an Individual Development Grant Award.</td>
</tr>
<tr>
<td>Individual Development Grant and Cooperative Development Grant (Lead) – CONCURRENTLY</td>
<td>May not receive funding from this competition unless one or both grants end on September 30, 2022.</td>
</tr>
</tbody>
</table>

*If your current individual development grant ends on September 30, 2022, you may also apply for an individual development grant.

**If your current cooperative arrangement development grant ends on September 30, 2022, you may apply as a lead institution.

Please note that an institution may partner with a lead institution on a Cooperative Arrangement Development Grant. Only the lead institution must meet the eligibility requirements. The lead institution is responsible for applying for the grant award.
**Absolute Priority (Required)**

There is one Absolute Priority for the FY 2022 competition. Applicants must respond to the Absolute Priority. If a response is not provided, the submitted application will not be reviewed.

The Absolute Priority is:

*Supporting Student Success by Providing Academic Tutoring and Counseling Programs, and Student Support Services; Moderate Evidence.*

Projects that:
(a) Provide academic tutoring and counseling programs, and student support services; and
(b) Are supported by evidence that meets the conditions in the definition of “moderate evidence.”

**Note:** Applicants responding to this absolute priority must identify on the Evidence of Effectiveness Form in this application package no more than two studies that underpin the primary practice or strategy they intend to carry out based on the activities outlined in the applicant’s response to the absolute priority.

**Allowable Activities and Program Regulations**

Authorized grant activities for the ANNH program are listed in Title III, Part A, Section 317 of the Higher Education Act, as amended (HEA):

Applicants should review the program regulations for guidance on which activities and costs are allowable. Applicants should also review the program regulations for unallowable activities (34 CFR 607.10(c)):
https://www.ecfr.gov/current/title-34/subtitle-B/chapter-VI/part-607/subpart-A#p-607.10(c)

For further guidance, applicants should also review the Uniform Guidance (2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards):

**Selection Criteria Highlights**

We have included an additional factor in the “Quality of the Project Evaluation” criterion that requires greater rigor with respect to evaluation methods, which is:

The extent to which the methods of evaluation will, if well implemented, produce evidence about the project’s effectiveness that would meet the What Works Clearinghouse standards with or without reservations as described in the What Works Clearinghouse Handbook (as defined in 34 CFR 77.1(c)).
Page Limits and Points

Individual Development Grants

<table>
<thead>
<tr>
<th>Application Section</th>
<th>Recommended Max. Pages</th>
<th>Where to attach in Grants.gov</th>
<th>Maximum Points</th>
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</thead>
<tbody>
<tr>
<td>Selection Criteria (Individual)</td>
<td>50</td>
<td>Project Narrative Attachment Form</td>
<td>100</td>
</tr>
<tr>
<td>Absolute Priority</td>
<td>5</td>
<td>Other Attachment Form</td>
<td>0</td>
</tr>
<tr>
<td><strong>Recommended maximum pages:</strong></td>
<td><strong>55</strong></td>
<td><strong>Maximum possible points:</strong></td>
<td><strong>100</strong></td>
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</table>

Cooperative Arrangement Development Grants

<table>
<thead>
<tr>
<th>Application Section</th>
<th>Recommended Max. Pages</th>
<th>Where to attach in Grants.gov</th>
<th>Maximum Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Selection Criteria (Coop)</td>
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<td>Project Narrative Attachment Form</td>
<td>100</td>
</tr>
<tr>
<td>Absolute Priority</td>
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<td>Other Attachment Form</td>
<td>0</td>
</tr>
<tr>
<td><strong>Recommended maximum pages:</strong></td>
<td><strong>70</strong></td>
<td><strong>Maximum possible points:</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

Program Profile and Abstract

All applicants are strongly encouraged to submit an ANNH Program Profile Form, which contains the tie-breaker information. This form is where the applicant will self-certify as an Alaska Native or Native Hawaiian-serving institution. If you do not submit this form and there is a tie-breaker situation, your institution may **not** be considered in the tie-breaker.

Applicants are asked to carefully read question #4 on the Program Profile Form regarding the self-certification as an Alaska Native or Native Hawaiian-serving institution.

All applicants must provide an abstract limited to one single-spaced page. The abstract should be uploaded as a **PDF file only**. Complete instructions for submitting the abstract are included in the Instructions for Completing the Application Package.

Electronic Submission of Application

Applications must be submitted electronically using Grants.gov, accessible through its portal page at: [http://www.grants.gov](http://www.grants.gov). Applicants are required to follow the Common Instructions for Applicants to Department of Education Discretionary Grant Programs published in the *Federal Register* on December 27, 2021 (86 FR 73264) and available at [www.federalregister.gov/d/2021-27979](http://www.federalregister.gov/d/2021-27979).

If you registered in SAM prior to April 4, 2022, and submit your application before April 4, 2022, you must provide the DUNS number on your application that was used when you
registered as an Authorized Organization Representative (AOR) on Grants.gov. Beginning on April 4, 2022, you must provide the UEI on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This UEI is assigned to your organization in SAM at the time your organization registers in SAM, when that registration occurs after April 4, 2022. If you do not enter the UEI assigned by SAM on your application, Grants.gov will reject your application.

The Grants.gov site does not allow applicants to “un-submit” applications. Therefore, if you discover that changes or additions are needed once your application has been accepted and validated by the Department, you must “re-submit” the application. Please know that, if the Department receives duplicate applications, we will accept and process the application with the latest “date/time received” validation.

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 must adhere to the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date.

**Format of Applications**

We recommend that you limit the application narrative to no more than 50 pages for an Individual Development Grant, and to no more than 65 pages for a Cooperative Arrangement Development Grant. We also recommend that you use the following standards: a “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides; double-space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, 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, and no smaller than 10 pitch (characters per inch); and use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. We also recommend that you limit your response to the Absolute Priority to no more than five pages. The Notice contains additional information governing formatting instructions.

All attachments must be in PDF format only. Other types of files will not be accepted.

**Notice to Successful Applicants**

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

**Notice to Unsuccessful Applicants**

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

A pre-application webinar will be provided by the competition manager. Please contact Robyn Wood at (202) 453 or via email at Robyn.Wood@ed.gov.
Grants.gov Submission Procedures and Tips for Applicants

Revised 03/2022

IMPORTANT – PLEASE READ FIRST

U.S. Department of Education

Grants.gov Submission Procedures and Tips for Applicant

To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education.

Browser Support

The latest versions of Microsoft Internet Explorer (IE), Mozilla Firefox, Google Chrome, and Apple Safari are supported for use with Grants.gov. However, these web browsers undergo frequent changes and updates, so we recommend you have the latest version when using Grants.gov. Legacy versions of these web browsers may be functional, but you may experience issues. Grants.gov no longer provides support for Microsoft Internet Explorer 9 or below.

For additional information or updates, please see the Grants.gov Browser information in the Applicant FAQs: http://www.grants.gov/web/grants/applicants/applicant-faqs.html#browser

ATTENTION – Workspace, Adobe Forms and PDF Files

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different web forms within an application. For each funding opportunity announcement (FOA), you can create individual instances of a workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities, refer to: https://www.grants.gov/web/grants/applicants/workspace-overview.html

1) Create a Workspace: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.

2) Complete a Workspace: Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.

a. Adobe Reader: If you decide not to apply by filling out web forms you can download individual PDF forms in Workspace. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader. NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at: https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html

b. Mandatory Fields in Forms: In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.
c. Complete SF-424 Fields First: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and Unique Entity Identifier (UEI) Number. Once it is completed, the information will transfer to the other forms.

3) Submit a Workspace: An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.

4) Track a Workspace Submission: After successfully submitting a workspace application, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

For additional training resources, including video tutorials, refer to https://www.grants.gov/web/grants/applicants/applicant-training.html.

Helpful Reminders

1) REGISTER EARLY – Grants.gov registration involves many steps including registration on SAM (www.sam.gov), which usually takes approximately 7 to 10 business days, but can take longer depending on the completeness and accuracy of the data entered into the SAM database by an applicant. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. Please note that once your SAM registration is active, it will take 24-48 hours for the information to be available in Grants.gov, and before you can submit an application through Grants.gov. For detailed information on the Registration Steps, please go to: http://www.grants.gov/web/grants/register.html. Please note that your organization will need to update its SAM registration annually.

Information about SAM is available at www.SAM.gov. To further assist you with registering in SAM or updating your existing SAM registration, see the Quick Start Guide for Grant Registrations and the Entity Registration Video at https://sam.gov/content/entity-registration.

2) UEI TRANSITION AND SAM MAINTENANCE: SAM.gov will be down for maintenance to complete the transition to UEI from DUNS beginning on April 1, 2022, at 8:00 PM (ET) until no later than 9:00 AM (ET) April 4, 2022. March 29, 2022, is the last day to obtain a new DUNS Number from Dun and Bradstreet for registering an entity or getting a UEI. After April 4, 2022, entities will go to SAM.gov, not Dun and Bradstreet, to obtain their UEI. April 1, 2022, at 8:00 p.m. ET is the last day and time you can use a DUNS Number to get a UEI or register an entity in SAM.gov.

To register in SAM.gov, click on the “Get Started” link under the “Register Your Entity…” heading in SAM.gov. Grantees, and other entities wanting to do business with the U.S. Department of Education (e.g., entities applying for a grant), that are not already registered in SAM.gov must complete the “Register Entity” registration option and NOT the “Get a Unique Entity ID” option. The “Get a Unique Entity ID” option, which is not a full registration, is only available to entities for reporting purposes. Failing to complete the “Register Entity” option may result in loss of funding, loss of applicant eligibility, and/or delays in receiving a grant award.

3) SUBMIT EARLY – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully to Grants.gov before 11:59:59 p.m. Eastern Time on the deadline date.
Note: If you registered in SAM prior to April 4, 2022, and submit your application before April 4, 2022, you must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This DUNS number is typically the same number used when your organization registered in SAM. If you do not include the same DUNS number assigned by SAM on your application as the DUNS you registered with, Grants.gov will reject your application.

To submit successfully beginning on April 4, 2022, you must provide the UEI on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This UEI is assigned to your organization in SAM at the time your organization registers in SAM, when that registration occurs after April 4, 2022. If you do not enter the UEI assigned by SAM on your application, Grants.gov will reject your application.

4) VERIFY SUBMISSION IS OK – You will want to verify that Grants.gov received your application submission on time and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 11:59:59 p.m. Eastern Time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned. Once the Department of Education receives your application from Grants.gov, an Agency Tracking Number (PR/award number) will be assigned to your application and will be available for viewing on Grants.gov’s Track My Application link.

If the date/time received is later than 11:59:59 p.m. Eastern Time, on the deadline date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: [http://www.grants.gov/web/grants/applicants/encountering-error-messages.html](http://www.grants.gov/web/grants/applicants/encountering-error-messages.html). For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Software Tip Sheet at: [http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html](http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html). If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

Submission Problems – What should you do?
If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or email at: mailto:support@grants.gov or access the Grants.gov Self-Service Knowledge Base web portal at: [https://grants-portal.psc.gov/Welcome.aspx?pt=Grants](https://grants-portal.psc.gov/Welcome.aspx?pt=Grants)

We discourage paper applications, but if electronic submission is not possible (e.g., you do not have access to the internet), (1) you must provide a prior written notification that you intend to submit a paper application and (2) your paper application must be postmarked by the application deadline date. If you submit your prior written notification by email, it must be received by the Department no later than 14 calendar days before the application deadline date. If you mail your notification to the Department, it must be postmarked no later than 14 calendar days before the application deadline date (See the 2021 Common Instructions for detailed instructions regarding this procedure).

Helpful Hints When Working with Grants.gov


Slow Internet Connections
When using a slow internet connection, such as 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. Failure to fully upload an application by the deadline date and time will result in your application being marked late in the G5 system. If you do not have access to a high-speed internet connection, 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 14 calendar days before the application deadline date. (See the Federal Register notice for detailed instructions and the 2021 Common Instructions.)

Attaching Files – Additional Tips
Please note the following tips related to attaching files to your application:

• When you submit your application electronically, you must upload any narrative sections and all other attachments to your application as files in either Portable Document Format (PDF) or Microsoft Word. Although applicants have the option of uploading any narrative sections and all other attachments to their application in either PDF or Microsoft Word, we **recommend** applicants submit all documents as read-only flattened PDFs, meaning any fillable PDF files must be saved and submitted as non-fillable PDF files and not as interactive or fillable PDF files, to better ensure applications are processed in a more timely, accurate, and efficient manner.

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

• When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded file names must be fewer than 50 characters, and, in general, applicants should not use any special characters. However, Grants.gov does allow for the following UTF-8 characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.

• Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package with all attachments is less than 5 MB. Therefore, you may want to check the total size of your package before submission.
Application Transmittal Instructions

This program requires the electronic submission of applications; specific requirements and waiver instructions can be found in the Federal Register NIA.

Applications Submitted Electronically

You must submit your grant application through the Internet using the software provided on the Grants.gov Web site (http://www.grants.gov) by 11:59:59 p.m. (Eastern Time) on or before the closing date of May 31, 2022.

If you submit your application through the Internet via the Grants.gov Web site, you will receive an automatic acknowledgement when we receive your application.

For more information on using Grants.gov, please refer to NIA that was published in the Federal Register or visit http://www.grants.gov.

Other Submission Instructions

For detailed instructions on applications sent by mail or delivery, please review the Common Instructions for Applicants to Department of Education Discretionary Grant Programs Notice, published in the Federal Register on December 27, 2021 (86 FR 73264), and available at: www.federalregister.gov/d/2021-27979.

Late Applications

If your application is late, we will notify you that we will not consider the application.
DEPARTMENT OF EDUCATION

Applications for New Awards; Alaska Native and Native Hawaiian-Serving Institutions Program, Part A

AGENCY: Office of Postsecondary Education, Department of Education.

ACTION: Notice.

SUMMARY: The Department of Education (Department) is issuing a notice inviting applications for new awards for fiscal year (FY) 2022 for the Alaska Native and Native Hawaiian-Serving Institutions (ANNNH) Program, Part A, Assistance Listing Numbers 84.031N (Alaska Native) and 84.031W (Native Hawaiian). This notice relates to the approved information collection under OMB control number 1840-0810.

DATES:


ADDRESSES: For the addresses for obtaining and submitting an application, please refer to our Common Instructions for Applicants to Department of Education Discretionary Grant Programs, published in the Federal Register on December 27, 2021, (86 FR 73264) and available at
www.federalregister.gov/d/2021-27979. Please note that these Common Instructions supersede the version published on February 13, 2019, and, in part, describe the transition from the requirement to register in SAM.gov a Data Universal Numbering System (DUNS) number to the implementation of the Unique Entity Identifier (UEI). More information on the phaseout of DUNS numbers is available at https://www2.ed.gov/about/offices/list/ofo/docs/unique-entity-identifier-transition-fact-sheet.pdf.


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

SUPPLEMENTARY INFORMATION:

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The ANNH Program provides grants to eligible institutions of higher education (IHEs) to enable them to improve and expand their capacity to serve Alaska Native and Native Hawaiian students. Institutions may use these grants to plan, develop, or implement activities that strengthen the
Background: The ANNH Program is critical to the Department’s efforts to improve college completion for Alaska Native and Native Hawaiian students, who have been traditionally underrepresented in postsecondary education. Through the absolute priority in this competition, we give particular attention to projects that promote student success by providing student support services based on moderate evidence. This may include, but is not limited to, academic tutoring and counseling programs. We encourage IHEs to develop and/or enhance existing internal student support systems and/or train personnel in strategies and systems of support that provide wraparound services to students and promote retention to ensure that students receive academic and wraparound support.

Priority: This notice contains one absolute priority. The absolute priority is from section 317(c)(2)(H) of the Higher Education Act of 1965, as amended (HEA), and 34 CFR 75.226(d).

Absolute Priority: For FY 2022 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this priority.

This priority is:

Supporting Student Success by Providing Academic Tutoring
and Counseling Programs, and Student Support Services; Moderate Evidence.

Projects that--

(a) Provide academic tutoring and counseling programs, and student support services; and

(b) Are supported by evidence that meets the conditions in the definition of “moderate evidence.”

Note: Applicants responding to this absolute priority must identify on the Evidence Form in the application package no more than two studies that underpin the primary practice or strategy they intend to carry out based on the activities outlined in the applicant’s response to the absolute priority. The Department will review the research cited by the applicant to determine if it meets the requirements for moderate evidence, as well as whether it is sufficiently aligned with the programs and services proposed under paragraph (a) of the priority. In assessing the relevance of the research cited to support the proposed project activity, the Secretary will consider: (1) the overlap in populations or settings between the cited research and the proposed project, (2) the relevance of a key finding(s) in the cited research to the intended outcomes of the proposed project, (3) the similarity between the project component in the cited research and that of the proposed project, and (4) the portion of the requested funds that will be dedicated to the
identified evidence-based activities. For those activities included in their absolute priority, applicants can cite WWC intervention reports, WWC practice guides, or individual studies, both those already listed in the Department’s WWC Database of Individual Studies¹ and those that have not yet been reviewed by the WWC. It is also important to note that studies listed in the WWC Database of Individual Studies do not necessarily satisfy the criteria needed to meet the moderate evidence standard. Therefore, applicants should themselves ascertain the suitability of the study for the evidence priority. Applicants may use the WWC Database of Individual Studies to find and cite studies designated as either Tier I (strong evidence) or Tier II studies (moderate evidence). (See footnote 1.) Applicants citing WWC practice guides should pay careful attention to the specific recommendations that meet moderate evidence standard.

Definitions: For FY 2022 and any subsequent year in which we make awards from the list of unfunded applications from this competition, the following definitions apply. These definitions are from 34 CFR 77.1.

Demonstrates a rationale means a key project component

included in the project’s logic model is informed by research or evaluation findings that suggest the project component is likely to improve relevant outcomes.

Logic model (also referred to as theory of action) means a framework that identifies key project components of the proposed project (i.e., the active “ingredients” that are hypothesized to be critical to achieving the relevant outcomes) and describes the theoretical and operational relationships among the key project components and relevant outcomes.


Moderate evidence means that there is evidence of effectiveness of a key project component in improving a relevant outcome for a sample that overlaps with the populations or settings proposed to receive that component, based on a relevant
finding from one of the following:

(i) A practice guide prepared by the WWC using version 2.1, 3.0, 4.0, or 4.1 of the WWC Handbooks reporting a “strong evidence base” or “moderate evidence base” for the corresponding practice guide recommendation;

(ii) An intervention report prepared by the WWC using version 2.1, 3.0, 4.0, or 4.1 of the WWC Handbooks reporting a “positive effect” or “potentially positive effect” on a relevant outcome based on a “medium to large” extent of evidence, with no reporting of a “negative effect” or “potentially negative effect” on a relevant outcome; or

(iii) A single experimental study or quasi-experimental design study reviewed and reported by the WWC using version 2.1, 3.0, 4.0, or 4.1 of the WWC Handbooks, or otherwise assessed by the Department using version 4.1 of the WWC Handbooks, as appropriate, and that--

(A) Meets WWC standards with or without reservations;

(B) Includes at least one statistically significant and positive (i.e., favorable) effect on a relevant outcome;

(C) Includes no overriding statistically significant and negative effects on relevant outcomes reported in the study or in a corresponding WWC intervention report prepared under version 2.1, 3.0, 4.0, or 4.1 of the WWC Handbooks; and

(D) Is based on a sample from more than one site (e.g.,
State, county, city, school district, or postsecondary campus) and includes at least 350 students or other individuals across sites. Multiple studies of the same project component that each meet requirements in paragraphs (iii)(A), (B), and (C) of this definition may together satisfy the requirement in this paragraph (iii)(D).

Project component means an activity, strategy, intervention, process, product, practice, or policy included in a project. Evidence may pertain to an individual project component or to a combination of project components (e.g., training teachers on instructional practices for English learners and follow-on coaching for these teachers).

Relevant outcome means the student outcome(s) or other outcome(s) the key project component is designed to improve, consistent with the specific goals of the program.

What Works Clearinghouse Handbooks (WWC Handbooks) means the standards and procedures set forth in the WWC Standards Handbook, Versions 4.0 or 4.1, and WWC Procedures Handbook, Versions 4.0 or 4.1, or in the WWC Procedures and Standards Handbook, Version 3.0 or Version 2.1 (all incorporated by reference, see 34 CFR 77.2). Study findings eligible for review under WWC standards can meet WWC standards without reservations, meet WWC standards with reservations, or not meet WWC standards. WWC practice guides and intervention reports include findings
from systematic reviews of evidence as described in the WWC Handbooks documentation.

**Program Authority:** 20 U.S.C. 1059d (title III, part A, of the HEA).

**Note:** In 2008, the HEA was amended by the Higher Education Opportunity Act of 2008 (HEOA), Pub. L. 110-315. Please note that the regulations for ANNH in 34 CFR part 607 have not been updated to reflect these statutory changes. The statute supersedes all other regulations.

**Note:** Projects will be awarded and must be operated in a manner consistent with the nondiscrimination requirements contained in the Federal civil rights laws.

**Applicable Regulations:** (a) The Education Department General Administrative Regulations in 34 CFR parts 75, 77, 79, 82, 84, 86, 97, 98, and 99. (b) The Office of Management and Budget Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) in 2 CFR part 180, as adopted and amended as regulations of the Department in 2 CFR part 3485. (c) The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR part 200, as adopted and amended as regulations of the Department in 2 CFR part 3474. (d) The regulations for this program in 34 CFR part 607.

II. Award Information
Type of Award: Discretionary grants. Five-year Individual Development Grants and Cooperative Arrangement Development Grants will be awarded in FY 2022.

Note: A cooperative arrangement is an arrangement to carry out allowable grant activities between an institution eligible to receive a grant under this part and another eligible or ineligible IHE, under which the resources of the cooperating institutions are combined and shared to better achieve the purposes of this part and avoid costly duplication of effort.

Estimated Available Funds: $10,408,792

Individual Development Grants:

Estimated Range of Awards: $775,000 - $825,000 per year.

Estimated Average Size of Awards: $800,000 per year.

Maximum Award: We will not make an award exceeding $825,000 for a single budget period of 12 months.

Estimated Number of Awards: 6.

Cooperative Arrangement Development Grants:

Estimated Range of Awards: $850,000 - $900,000 per year.

Estimated Average Size of Awards: $875,000 per year.

Maximum Award: We will not make an award exceeding $900,000 for a single budget period of 12 months.

Estimated Number of Awards: 6.

Note: The Department is not bound by any estimates in this notice.
Project Period: Up to 60 months.

III. Eligibility Information

1. a. Eligible Applicants:

This program is authorized by title III, part A, of the HEA. At the time of submission of their applications, applicants must certify that an Alaska Native-serving institution has an enrollment of undergraduate students that are at least 20 percent Alaska Native students or that a Native Hawaiian-serving institution has an enrollment of undergraduate students that is at least 10 percent Native Hawaiian students. An assurance form, which is included in the application materials for this competition, must be signed by an official for the applicant and submitted with this application.

To qualify as an eligible institution under the ANNH Program, an institution must--

(i) 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;

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

(iii) Demonstrate that it (1) has an enrollment of needy students as described in 34 CFR 607.3; and (2) has low average
education and general expenditures per full-time equivalent (FTE) undergraduate student as described in 34 CFR 607.4.

Note: The notice announcing the FY 2022 process for designation of eligible institutions, and inviting applications for waiver of eligibility requirements, was published in the Federal Register on December 16, 2021 (86 FR 71470). The Department extended the deadline for applications in a notice published in the Federal Register on February 7, 2022 (87 FR 6855). Only institutions that the Department determines are eligible, or which are granted a waiver under the process described in that notice, may apply for a grant in this program.

b. Relationship between the Title III, Part A Programs and the Developing Hispanic-Serving Institutions (HSI) Program:

A grantee under the HSI Program, which is authorized under title V of the HEA, may not receive a grant under any HEA, title III, part A program. The title III, part A programs are the Strengthening Institutions Program, the Tribally Controlled Colleges and Universities Program, the Alaska Native and Native Hawaiian-Serving Institutions Program, the Asian American and Native American Pacific Islander-Serving Institutions Program, and the Native American-Serving Nontribal Institutions Program. Furthermore, a current HSI program grantee may not give up its HSI grant in order to be eligible to receive a grant under ANNH or any title III, part A program as described in 34 CFR
607.2(g)(1).

An eligible HSI that is not a current grantee under the HSI program may apply for a FY 2022 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 as described in 34 CFR 607.2(g)(1).

An eligible IHE that submits applications for an Individual Development Grant and a Cooperative Arrangement Development Grant in this competition may be awarded both in the same fiscal year. However, we will not award a second Cooperative Arrangement Development Grant to an otherwise eligible IHE for an award year for which the IHE already has a Cooperative Arrangement Development Grant award under the ANNH Program. A grantee with an Individual Development Grant or a Cooperative Arrangement Development Grant may be a subgrantee in one or more Cooperative Arrangement Development Grants. The lead institution in a Cooperative Arrangement Development Grant must be an eligible institution. Partners or subgrantees are not required to be eligible institutions.

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

b. Supplement-Not-Supplant: This program involves supplement-not-supplant funding requirements. Grant funds must
be used so that they supplement and, to the extent practical, increase the funds that would otherwise be available for the activities to be carried out under the grant and in no case supplant those funds (34 CFR 607.30 (b)).

3. **Subgrantees:** A grantee under this competition may not award subgrants to entities to directly carry out project activities described in its application.

IV. Application and Submission Information

1. **Application Submission Instructions:** Applicants are required to follow the Common Instructions for Applicants to Department of Education Discretionary Grant Programs, published in the *Federal Register* on December 27, 2021 (86 FR 73264) and available at [www.federalregister.gov/d/2021-27979](http://www.federalregister.gov/d/2021-27979), which contain requirements and information on how to submit an application. Please note that these Common Instructions supersede the version published on February 13, 2019, and, in part, describe the transition from the requirement to register in SAM.gov a DUNS number to the implementation of the UEI. More information on the phase-out of DUNS numbers is available at [https://www2.ed.gov/about/offices/list/ofo/docs/unique-entity-identifier-transition-fact-sheet.pdf](https://www2.ed.gov/about/offices/list/ofo/docs/unique-entity-identifier-transition-fact-sheet.pdf).

2. **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.

3. **Funding Restrictions:** We specify unallowable costs in 34 CFR 607.10(c). We reference additional regulations outlining funding restrictions in the **Applicable Regulations** section of this notice.

4. **Recommended Page Limit:** The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. We recommend that you limit the application narrative to no more than 50 pages for Individual Development Grants and to no more than 65 pages for Cooperative Arrangement Development Grants. When addressing the absolute priority, we recommend that you limit your response to no more than an additional five pages total. Please include a separate heading when responding to the absolute priority. We also recommend that you use the following standards:

   - A “page” is 8.5” x 11”, on one side only, with 1” margins at the top, bottom, and both sides.

   - Double-space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, 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 and no smaller than 10 pitch (characters per inch).

• Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.

The recommended page limit does not apply to Part I, the cover sheet; Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; or the one-page abstract and the bibliography. However, the recommended page limit does apply to all of the application narrative.

Note: The Budget Information-Non-Construction Programs Form (ED 524) Sections A-C are not the same as the narrative response to the Budget section of the selection criteria.

V. Application Review Information

1. Selection Criteria: The following selection criteria for this competition are from 34 CFR 607.22(a) through (g) and 34 CFR 75.210. Applicants should address each of the following selection criteria separately for each proposed activity. We will award up to 100 points to an application under the selection criteria. The maximum score for each criterion is noted in parentheses.

   (a) Quality of the applicant’s comprehensive development plan. (20 points). The extent to which--
(1) The strengths, weaknesses, and significant problems of the institution’s academic programs, institutional management, and fiscal stability are clearly and comprehensively analyzed and result from a process that involved major constituencies of the institution;

(2) The goals for the institution’s academic programs, institutional management, and fiscal stability are realistic and based on comprehensive analysis;

(3) The objectives stated in the plan are measurable, related to institutional goals, and, if achieved, will contribute to the growth and self-sufficiency of the institution; and

(4) The plan clearly and comprehensively describes the methods and resources the institution will use to institutionalize practice and improvements developed under the proposed project, including, in particular, how operational costs for personnel, maintenance, and upgrades of equipment will be paid with institutional resources.

(b) Quality of activity objectives. (15 points). The extent to which the objectives for each activity are--

(1) Realistic and defined in terms of measurable results; and

(2) Directly related to the problems to be solved and to the goals of the comprehensive development plan.
(c) Quality of the project design. (10 points).

(1) The Secretary considers the quality of the design of the proposed project.

(2) In determining the quality of the design of the proposed project, the Secretary considers the extent to which the proposed project demonstrates a rationale (as defined in this notice).

(d) Quality of implementation strategy. (18 points). The extent to which--

(1) The implementation strategy for each activity is comprehensive;

(2) The rationale for the implementation strategy for each activity is clearly described and is supported by the results of relevant studies or projects; and

(3) The timetable for each activity is realistic and likely to be attained.

(e) Quality of key personnel. (8 points). The extent to which--

(1) The past experience and training of key professional personnel are directly related to the stated activity objectives; and

(2) The time commitment of key personnel is realistic.

(f) Quality of project management plan. (10 points). The extent to which--
(1) Procedures for managing the project are likely to ensure efficient and effective project implementation; and

(2) The project coordinator and activity directors have sufficient authority to conduct the project effectively, including access to the president or chief executive officer.

(g) Quality of evaluation plan. (12 points). The extent to which--

(1) The data elements and the data collection procedures are 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; and

(2) The data analysis procedures are clearly described and are 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.

(3) The extent to which the methods of evaluation will, if well implemented, produce evidence about the project’s effectiveness that would meet the What Works Clearinghouse standards with or without reservations as described in the What Works Clearinghouse Handbook (as defined in 34 CFR 77.1(c)).

(h) Budget. (7 points). The extent to which the proposed costs are necessary and reasonable in relation to the project’s
2. Review and Selection Process: We remind potential applicants that in reviewing applications in any discretionary grant competition, the Secretary may consider, under 34 CFR 75.217(d)(3), the past performance of the applicant in carrying out a previous award, such as the applicant’s use of funds, achievement of project objectives, and compliance with grant conditions. The Secretary may also consider whether the applicant failed to submit a timely performance report or submitted a report of unacceptable quality.

In addition, in making a competitive grant award, the Secretary requires various assurances, including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

A panel of three non-Federal reviewers will review and score each application in accordance with the selection criteria. A rank order funding slate will be made from this review. Awards will be made in rank order according to the average score received from the peer review.

In tie-breaking situations for development grants, 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 type institutions that offer similar instruction. We award one additional point to an application from an IHE that has expenditures for library materials per FTE enrolled student that are less than the average expenditure for library materials per FTE enrolled student at similar type institutions. 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 2019-2020 data.

If a tie remains after applying the tie-breaker mechanism above, priority will be given to applicants that have the lowest endowment values per FTE enrolled student.

3. **Risk Assessment and Specific Conditions:** Consistent with 2 CFR 200.206, before awarding grants under this program
the Department conducts a review of the risks posed by applicants. Under 2 CFR 200.208, the Secretary may impose specific conditions and, under 2 CFR 3474.10, in appropriate circumstances, high-risk conditions on a grant if the applicant or grantee is not financially stable; has a history of unsatisfactory performance; has a financial or other management system that does not meet the standards in 2 CFR part 200, subpart D; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

4. **Integrity and Performance System:** If you are selected under this competition to receive an award that over the course of the project period may exceed the simplified acquisition threshold (currently $250,000), under 2 CFR 200.206(a)(2), we must make a judgment about your integrity, business ethics, and record of performance under Federal awards--that is, the risk posed by you as an applicant--before we make an award. In doing so, we must consider any information about you that is in the integrity and performance system (currently referred to as the Federal Awardee Performance and Integrity Information System (FAPIIS)), accessible through the System for Award Management. You may review and comment on any information about yourself that a Federal agency previously entered and that is currently in FAPIIS.

Please note that, if the total value of your currently
active grants, cooperative agreements, and procurement contracts from the Federal Government exceeds $10,000,000, the reporting requirements in 2 CFR part 200, Appendix XII, require you to report certain integrity information to FAPIIS semiannually. Please review the requirements in 2 CFR part 200, Appendix XII, if this grant plus all the other Federal funds you receive exceed $10,000,000.

5. **In General:** In accordance with the Office of Management and Budget’s guidance located at 2 CFR part 200, all applicable Federal laws, and relevant Executive guidance, the Department will review and consider applications for funding pursuant to this notice inviting applications in accordance with:

   (a) Selecting recipients most likely to be successful in delivering results based on the program objectives through an objective process of evaluating Federal award applications (2 CFR 200.205);

   (b) Prohibiting the purchase of certain telecommunication and video surveillance services or equipment in alignment with section 889 of the National Defense Authorization Act of 2019 (Pub. L. No. 115–232) (2 CFR 200.216);

   (c) Providing a preference, to the extent permitted by law, to maximize use of goods, products, and materials produced in the United States (2 CFR 200.322); and
(d) Terminating agreements in whole or in part to the greatest extent authorized by law if an award no longer effectuates the program goals or agency priorities (2 CFR 200.340).

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); or we may send you an email containing a link to access an electronic version of your 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 of 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. **Open Licensing Requirements:** Unless an exception applies, if you are awarded a grant under this competition, you will be required to openly license to the public grant
deliverables created in whole, or in part, with Department grant funds. When the deliverable consists of modifications to pre-existing works, the license extends only to those modifications that can be separately identified and only to the extent that open licensing is permitted under the terms of any licenses or other legal restrictions on the use of pre-existing works. Additionally, a grantee or subgrantee that is awarded competitive grant funds must have a plan to disseminate these public grant deliverables. This dissemination plan can be developed and submitted after your application has been reviewed and selected for funding. For additional information on the open licensing requirements please refer to 2 CFR 3474.20.

4. Reporting: (a) If you apply for a grant under this competition, you must ensure that you have in place the necessary processes and systems to comply with the reporting requirements in 2 CFR part 170 should you receive funding under the competition. This does not apply if you have an exception under 2 CFR 170.110(b).

(b) 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 multiyear award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. 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.

5. **Performance Measures:** The Secretary has established the following key performance measures established for the purpose of Department reporting under 34 CFR 75.110.

   (a) The percentage change, over the five-year period, of the number of full-time degree-seeking undergraduates enrolled at Alaska Native and Native Hawaiian-Serving Institutions *(Note: 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 Alaska Native and Native Hawaiian-Serving Institutions who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same Alaska Native and Native Hawaiian-Serving Institution;

   (c) The percentage of first-time, full-time degree-seeking undergraduate students at two-year Alaska Native and Native Hawaiian-Serving Institutions who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same Alaska Native and Native Hawaiian-Serving Institution;

   (d) The percentage of first-time, full-time degree-seeking
undergraduate students enrolled at four-year Alaska Native and Native Hawaiian-Serving Institutions who graduate within six years of enrollment; and

(e) The percentage of first-time, full-time degree-seeking undergraduate students enrolled at two-year Alaska Native and Native Hawaiian-Serving Institutions who graduate within three years of enrollment.

6. Continuation Awards: In making a continuation award under 34 CFR 75.253, the Secretary considers, among other things: whether a grantee has made substantial progress in achieving the goals and objectives of the project; whether the grantee has expended funds in a manner that is consistent with its approved application and budget; and, if the Secretary has established performance measurement requirements, whether the grantee has made substantial progress in achieving the performance targets in the grantee’s approved application.

In making a continuation award, the Secretary also considers whether the grantee is operating in compliance with the assurances in its approved application, including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

VII. Other Information
Accessible Format: On request to the program contact person listed under FOR FURTHER INFORMATION CONTACT, individuals with disabilities can obtain this document and a copy of the application package in an accessible format. The Department will provide the requestor with an accessible format that may include Rich Text Format (RTF) or text format (txt), a thumb drive, an MP3 file, braille, large print, audiotape, or compact disc, or other accessible format.

Electronic Access to This Document: The official version of this document is the document published in the Federal Register. You may access the official edition of the Federal Register and the Code of Federal Regulations at www.govinfo.gov. At this site you can view this document, as well as all other documents of this Department published in the Federal Register, in text or Portable Document Format (PDF). To use PDF you must have Adobe Acrobat Reader, which is available free at the site.

You may also access documents of the Department published in the Federal Register by using the article search feature at: www.federalregister.gov. Specifically, through the advanced feature at this site, you can limit your search to documents published by the Department.

Dated:

/s/

____________________________
Michelle Asha Cooper,
Deputy Assistant Secretary for Higher Education Programs,
Delegated the Authority to Perform the Functions and Duties of the Assistant Secretary, Office of Postsecondary Education.
Program Statute

Legislation:

- Higher Education Act of 1965, as amended; Alaska Native and Native Hawaiian-serving institutions; Title III, Part A, §1059d; CFDA 84.031N (Alaska Native) and 84.031W (Native Hawaiian)

- Higher Education Opportunity Act of 2008 §304

Regulations:

- 34 CFR Part 607.1-607.31

Government-wide Guidance:

Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR 200).
This program falls under the rubric of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79. One of the objectives of the Executive order is to strengthen federalism—or the distribution of responsibility between localities, States, and the Federal government—by fostering intergovernmental partnerships. This idea includes supporting processes that State or local governments have devised for coordinating and reviewing proposed Federal financial grant applications.

The process for doing this requires grant applicants to contact State Single Points of Contact for information on how this works. Multi-state applicants should follow procedures specific to each state. Further information about the State Single Point of Contact process and a list of names by State can be found at:


Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372—ALN# 84.031R/V, U.S. Department of Education, room 7E200, 400 Maryland Avenue, SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 11:59:59 p.m. (Eastern Time) on the closing date indicated in this notice.

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

**NOTE:** Applicants for new awards must include information in their applications to address this provision in order to receive funding under this program.
Government Performance and Results Act (GPRA)

What is GPRA?

The Government Performance and Results Act of 1993 (GPRA) is a straightforward statute that requires all federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

How has the Department of Education Responded to the GPRA Requirements?

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 2018-2022. 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: Support state and local efforts to improve learning outcomes for all P-12 students in every community.

Goal 2: Expand postsecondary educational opportunities, improve outcomes to foster economic opportunity and promote an informed, thoughtful and productive citizenry.

Goal 3: Strengthen the quality, accessibility and use of education data through better management, increased privacy protections and transparency.

Goal 4: Reform the effectiveness, efficiency and accountability of the Department.

What are the performance indicators for the Alaska Native and Native Hawaiian-Serving Institution (ANNH) Program?

The specific performance indicators for ANNH are as follows:

1. The number of full-time degree-seeking undergraduates enrolled at ANNH institutions.

   Note that this is a long-term measure, which will be used periodically to gauge performance, beginning in FY 2009.

2. The percentage of first-time, full-time degree-seeking undergraduate students at 4-year ANNH institutions who were in their first year of postsecondary enrollment in the previous


year and are enrolled in the current year at the same ANNH institution.

3. The percentage of first-time, full-time degree-seeking undergraduate students at 2-year ANNH institutions who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same ANNH institution.

4. The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year ANNH institutions graduating within six years of enrollment.

5. The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 2-year ANNH institutions who graduate within three years of enrollment.

6. The cost per successful program outcome: federal cost per undergraduate and graduate degree at ANNH institutions.

**How does the Department of Education determine whether performance goals have been met?**

An applicant that receives a grant award will be required to submit annual progress reports and a final report as a condition of the award. The reports will document the extent to which project goals and objectives are met.

Information about the annual performance report data collection form can be viewed at [https://hepis.ed.gov/ISAPR/](https://hepis.ed.gov/ISAPR/).
Instructions for Completing the Application

The ANNH application consists of the following sections. These sections are organized in the same manner that the submitted application should be organized. Remember to upload all forms and sections and follow carefully the Grants.gov application instructions. The sections are as follows:

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

**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” 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 should be included in the “Budget Narrative Attachment Form.”

**Assurances for Non-Construction Programs (SF-424B)**

**Disclosure of Lobbying Activities (SF-LLL)**

**GEPA Section 427 Form**

**ED Abstract Form:**
Attach your one-page project abstract that will provide an overview of the proposed project.

**Project Narrative Attachment Form:**
The project narrative should include narrative responses to the selection criteria. Please include a Table of Contents as the first page of the application narrative. We recommend that your project narrative is no more than 50 pages for Individual Development Grants and 65 pages for Cooperative Arrangement Development Grants. The project narrative should be consecutively numbered.

**Budget Narrative Attachment Form:**
The budget narrative should include a detailed line item budget to justify costs are reasonable and necessary to accomplish the proposed project objectives. Note: The selection criterion also requires a budget section that you will respond to as a part of your project narrative (selection criteria).

**Program Profile Form:**
Included in this application is an ANNH Program Profile Form. This form should be attached to the “Other Attachments Form” in Grants.gov.
**Evidence Attachment Form:**
The Evidence Form is where you will cite no more than two studies, which at least meet the moderate evidence standard, that underpin the primary practice or strategy you intend to carry out based on the activities outlined in your response to the absolute priority.

**Other Attachments:**
In this section, you will include your responses to the Absolute Priority. We recommend that your response be no more than five pages.
The project narrative shall be attached to the “Project Narrative Attachment Form” in Grants.gov.

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

The Secretary evaluates an application according to the program specific criteria identified in 34 CFR 607.22. The Project Narrative should provide in detail the responses to 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 concise and clear manner. We recommend you limit the section of the narrative that addresses the selection criteria to no more than 50 pages for an individual development grant and to no more than 65 pages for a cooperative arrangement grant.

Selection Criteria:

The Secretary evaluates an application on the basis of the criteria in § 34 CFR 607.22. The maximum score that any application may receive on the selection criteria is 100 points. The selection criteria and factors for applications in this competition are as follows:

Applicants MUST address each of the following ANNH selection criteria:

<table>
<thead>
<tr>
<th>Criterion</th>
<th>Points Value</th>
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<tbody>
<tr>
<td>Quality of Comprehensive Development Plan</td>
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<td>Quality of Activity Objectives</td>
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<td>Quality of Budget</td>
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<tr>
<td><strong>Total Maximum Points</strong></td>
<td><strong>100</strong></td>
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(a) **Quality of Comprehensive Development Plan** (Maximum: 20 points) The extent to which-

(1) The strengths, weaknesses, and significant problems of the institution’s academic programs, institutional management, and fiscal stability are clearly and comprehensively analyzed and result from a process that involved major constituencies of the institution;
(2) The goals for the institution’s academic programs, institutional management, and fiscal stability are realistic and based on comprehensive analysis; 
(3) The objectives stated in the plan are measurable, related to institutional goals, and, if achieved, will contribute to the growth and self-sufficiency of the institution; and 
(4) The plan clearly and comprehensively describes the methods and resources the institution will use to institutionalize practice and improvements developed under the proposed project, including, in particular, how operational costs for personnel, maintenance, and upgrades of equipment will be paid with institutional resources.

Selection Criterion Breakdown:

Separately describe and analyze your institution's strengths, weaknesses, and significant problems in the following three areas as they relate to each proposed activity:

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. Such as, “to decrease, from 42 percent to 30 percent, 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. Such as, “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 recent 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.
Based on a comprehensive analysis of your institution's strengths, weaknesses, and significant problems, separately state the institutional goals as they relate to each proposed activity you plan to address using Title III, Part A ANNH Program funds. These will be the overall goals you expect from the successful implementation of the activity/activities. These goals should include the GPRA measures established for ANNH, which can be found on page 48 of this booklet. Broadly, the ANNH GPRA measures can be classified under enrollment, retention, graduation, and program costs.

Focusing only on the overall (5-year) institutional outcomes/objectives that are specifically related to your proposed Title III, Part A, ANNH Program activities, separately provide measurable objectives for how you will reach each of the goals as you discussed in #2. Achieving the objectives outlined should contribute to the growth and self-sufficiency of the institution. For example, by revamping the curriculum (academic stability) to include technology and other pedagogical best practices, the goal is to increase the retention of first-year students by 40% by 9/30/20XX. These outcomes/objectives are directly related to the individual activity objectives, but they are not the same. These are the cumulative result of each activity’s objectives. To continue with the above example, yearly objectives will show shorter increases in retention of first-year students—5% in year one, 10% in year two 20% in year three, 30% in year four and 40% in year five.

**Describe in measurable terms how objectives are related to the goals of the institution. The description should include details on the following:**

**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.

In this section, separately describe the following for each proposed activity:

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?

Provide 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.
Your response should be clear, specific, and realistic. It is not realistic to solely depend on revenue from the expected increase in retention or enrollment (long-term outcome) to fund the institutionalization of the activity/activities. Should these increases not materialize, how will the institution continue to implement successful activities?

(b) Quality of Activity Objectives (Maximum: 15 Points)

(1) The extent to which the objectives for each activity are realistic and defined in terms of measurable results.

Selection Criterion Breakdown:

State your annual objectives, separately 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 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 use words such as “to increase” or “to decrease” since you are more likely to be describing a genuine, outcome objective. However, please add a measurable target by which you will increase or decrease your proposed action and a date by which you expect the increase or decrease to be completed.

- DO provide a realistic number of objectives and performance indicators for each proposed activity and for each year you are requesting funds for that activity.

For example:
Objective:
- By the end of year 2 (9/30/20XX) 30% of all incoming freshmen will have a college pathway plan established.

Some Possible Performance Indicators:
- Train an additional 15 faculty members on advising methods by October 30, 20XX
- By October 1st, schedule advising appointments for 60% of incoming freshmen.
- Send electronic reminders to all scheduled students (60% of incoming freshmen) regarding their upcoming appointments.
(2) The extent to which the objectives for each activity are directly related to the problems to be solved and to the goals of the comprehensive development plan.

Separately describe how meeting the objectives of each proposed activity will address a problem identified in the CDP and affect your institution’s ability to address its goals for its academic programs, institutional management, or fiscal stability.

If you need funds for more than one activity, you may propose different start and end 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.

(c) **Quality of the Project Design** (Maximum: 10 points)

(1) The Secretary considers the extent to which the proposed project demonstrates a rationale (as defined in the Notice Inviting Applications).

**Definitions:**

*Demonstrates a rationale* means a key project component included in the project's logic model is informed by research or evaluation findings that suggest the project component is likely to improve relevant outcomes.

*Logic model* (also referred to as theory of action) means a framework that identifies key project components of the proposed project (i.e., the active “ingredients” that are hypothesized to be critical to achieving the relevant outcomes) and describes the theoretical and operational relationships among the key project components and relevant outcomes.

*Project component* means an activity, strategy, intervention, process, product, practice, or policy included in a project. Evidence may pertain to an individual project component or to a combination of project components (e.g., training teachers on instructional practices for English learners and follow-on coaching for these teachers).

*Relevant outcome* means the student outcome(s) or other outcome(s) the key project component is designed to improve, consistent with the specific goals of the program.

**Selection Criterion Breakdown:**

A logic model shows the reasoning of your project, what resources you have, how you will implement them and what you expect to change as a result of those actions. In your logic model, include the main institutional objectives that you outline in your CDP (increase retention, graduation, etc.), as part of your long-term outcomes. The connections between the resources, individual activities and outputs should show how they all “feed” into achieving the overall goals of the CDP (and the program—the GPRA indicators on page 48).
As defined above, the logic model is analogous to the theory of action/theory of change. Theory of change shows the ideas (activities) that are expected to lead to change (outcomes). Theory of action details how the theory of change is delivered/implemented. A logic model encompasses both. This means that your logic model and your Implementation Strategy are in direct relationship to each other. The goals and activities in the logic model should also be listed in the implementation strategy table and vice-versa.

A logic model does not have to be only one page; it can be longer. We encourage applicants to provide a thorough and detailed logic model. Nevertheless, you may not be able to include every component of the inputs, activities, outputs and outcomes of your proposed project. These complete, detailed steps needed for the thorough grant execution should be entirely represented in your Implementation Strategy section of the application.

When creating a logic model, it is usually best to start with your end in mind. What is your overall goal (outcomes = CDP and GPRA goals)? Build your logic model by reverse engineering. How are you going to achieve these goals (activities)? What are the tangible measures that will indicate you are on the right path (outputs)? Do not just include a logic model. There should be a narrative section (can be a table) that explains the study chosen to validate the activity selection and how the activity aligns with the selected study.

To develop your logic models, you may want to use resources such as the Pacific Education Laboratory’s Education Logic Model Application (https://ies.ed.gov/ncee/edlabs/regions/pacific/elm.asp). The three examples provided in the site all show the interrelationship between all the components of the logic model.

We have also included a sample logic model below, to assist you with the development of the logic model and the ANNH grant.
Logic Model

**Overall Outcome/Goal:** To increase developmental education completion by 40%; student persistence by 5%; graduation by 5%; and transfer rates by 5% over the baseline.

**Inputs**

- Strengths:
  - Technology, student services, faculty and business process subject matter experts
  - Committed leadership support
  - Existing technology systems
  - Range of learning and personal supports for student success

- Weaknesses (also Inputs):
  - Low rates of developmental transfer to degree-credit courses
  - Insufficient advising resources
  - Lack of accessibility of information about student career and academic goals

**Activities**

- Co-requisite developmental education model designed to accelerate remediation established
  - Faculty trained to teach revised curriculum
- Build and deploy online individualized educational planning and service delivery tool integrated with college data systems (My Roadmap)
- Implement comprehensive, coherent advising and career services model, leveraging technology and data to provide proactive individualized services
  - Provide robust advising professional development for faculty

**Outputs**

- 550 students total enroll in 15 sections each of remedial Math and remedial English
  - All receive intrusive advising
- Unified portal with student and advisor views centralizes key educational planning and advising data for all students
  - 100% of students unsure of career goal or off-track of educational plan are identified and receive timely interventions
  - 400 students create My Roadmap
- 100% of professional advisors receive Master Advising Certification, renewed yearly
  - 300 full-time faculty complete advising training
  - 85% of trained faculty provide advising within their programs congruent with model
  - All students have assigned advisors

**Outcomes**

- **Short (S)**
  - Targeted students:
    - Complete developmental courses at rate of 10% over baseline (S)
    - Enroll in and complete college-level courses at a rate of 5% over baseline (S)
  - 40% of new program students complete an educational plan in their first year in college (S)
  - Increase by 30% over baseline the yearly rate at which targeted student groups access career and/or advising services (S)
  - Rate at which targeted students are retained from their first year to their second increases 5% over baseline (S)
  - Rate at which targeted students complete a credential or transfer within 3 years increases 5% over baseline (M)

- **Medium (M)**

- **Long (L)**

**Impacts:**

- Increased enrollments and tuition revenue
- Sustainable IT infrastructure
- Institutionalized faculty advising
- More efficient use of advising resources
- Improved access and success for low-income and underrepresented students
- Transformed delivery of developmental education
(d) **Quality of Implementation Strategy** (Maximum: 18 Points)

(1) The extent to which the implementation strategy for each activity is comprehensive.

(2) The extent to which the rationale for the implementation strategy for each activity is clearly described and is supported by the results of relevant studies or projects.

**Selection Criterion Breakdown:**

For each proposed activity, explain why you chose a specific method for implementing that activity. Include how you determined that method to be most effective, indicating relevant studies or projects that you reviewed and experts that you consulted. In this section, expand on the selected study that guided your project.

(3) **The timetable for each activity is realistic and likely to be attained.**

- 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, 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) **Quality of Key Personnel** (Maximum: 8 Points)

(1) The extent to which the experience and training of key professional personnel are directly related to the stated activity objectives.

(2) The extent to which the time commitment of key personnel is realistic.

**Selection Criterion Breakdown:**

For each proposed activity, list, by title which positions are being proposed to manage the Title III grant and describe the qualifications you require of that position and the amount of time each person will allot to the proposed activity. **This information should be included for all staff that are key for the successful implementation of the grant, not only the project director or the Activity Director, regardless of whether they are paid by the grant or by the institution.** For example, in a project that requires significant software and IT hardware updates, the institution’s IT manager’s experience and training are relevant and should be included.
If you want to use a consultant, explain why a consultant is more advantageous than using the institution’s personnel.

(f) **Quality of Project Management Plan** (Maximum: 10 Points)

(1) The extent to which procedures for managing the project are likely to ensure efficient and effective project implementation.

(2) The extent to which project coordinator and activity directors have sufficient authority to conduct the project effectively, including access to the president or chief executive officer.

For the project director/coordinator’s position, activity director, and other key positions, provide the following:

**Selection Criterion Breakdown:**

- Under “Quality of Key Personnel,” be sure to include the director/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 how much time the Title III, Part F, director/coordinator and other key staff will commit to the project. Make the time commitment realistic, not too high nor too low, and relative to the tasks the individual will perform.

Note: Your Title III, Part A director/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 director/coordinator who is the director of technology in the ordinary hierarchy of the college. He or she may allot 10 percent 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 percent time or 100 percent time commitment paid for with Title III, Part F, 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 director/project coordinator 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 director/project coordinator 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 director/project coordinator to key institutional decision makers, including the president.
(g) **Quality of Evaluation Plan** (Maximum: 12 Points)

(1) The extent to which the data elements and the data collection procedures are 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.

(2) The data analysis procedures are clearly described and are 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.

(3) The extent to which the methods of evaluation will, if well implemented, produce evidence about the project’s effectiveness that would meet the What Works Clearinghouse standards with or without reservations as described in the What Works Clearinghouse Handbook (as defined in 34 CFR 77.1(c)).

**Selection Criterion Breakdown:**

For each proposed activity, describe the data collection procedures the institution will use to identify the data elements, objectives, and goals identified in the CDP. Include measure attainment of each proposed activity. Include procedures for analyzing and using both formative and summative data.

The overall impact indicator, the goals and the objectives in the implementation of this grant have been identified. How will they be measured? What elements need to be measured? How will information on those elements be collected? How often? Who is going to do it? Will it be an internal evaluator (an institutional staff member) or an external one? What are the benefits of the chosen measures? When will the evaluator begin work?

For the Title III, ANNH Program, 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.

For each proposed activity, describe in detail the project’s evaluation plan, including who, what, when and how. Define the baseline indicators of progress that you will use. Once the above data are established, how will they be analyzed to show what the yearly (formative) and the 5-year (summative) results are? Will the analysis lead to obtaining formative and summative results, ones that are clearly linked to the activity objectives and the CDP goals?

The detailed 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; and
• 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.

An individual or organization, independent of the project team (and all of its partners), but not necessarily external to the grantee institution, should execute the project evaluation plan. 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.

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.

For the Quality of Evaluation Plan, sub criterion (3), see:

• Definition for “What Works Clearinghouse”: https://www.ecfr.gov/current/title-34/part-77#p-77.1(c)

• Link to the Current Standards and Current Procedures WWC Handbooks: WWC | Handbooks and Other Resources (ed.gov)

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 34 CFR 607.24 for information on how project performance may affect future funding).

(h) **Budget** (Maximum: 7 Points)

The extent to which the proposed costs are necessary and reasonable in relation to the project’s objectives and scope.

**Selection Criterion Breakdown:**

**Content:** Review the program regulations (34 CFR 607.10 and 607.30) for guidance on which activities and costs are allowable. 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 and;
• Cover indirect costs.

Prepare a separate, detailed, budget narrative for each proposed activity for each year you are requesting grant funds. Demonstrate and justify that all costs are reasonable in today’s market and necessary to accomplish your activity objectives. For each activity, provide itemized costs (in dollars), and a narrative justification to support your request for:

- Personnel
- Fringe Benefits
- Travel
- Equipment
- Supplies
- Contractual
- Construction
- Other
- Total

You must provide details so we can determine if the costs are allowable, necessary and reasonable.

Note: The Title III, Part A, ANNH Program, ALN 84.031 N&W, does not reimburse grantees for indirect costs they incur in carrying out a project funded under this program. Therefore, applicants should not show any dollar amounts for indirect costs on either line 10 of the application budget form (ED 524) or in their budget narrative. Applicants should also be aware that un-reimbursed indirect costs under grants of this program may not be charged as direct cost items in the same award, used to satisfy matching or cost-sharing requirements, or charged to another Federal award.

Note: Check all combined totals for the proposed activity budgets and compare it to the total on the ED 524. The totals must match.

U. S. Department of Education Budget Information Non-Construction Programs (Section A - Budget Summary U.S. Department of Education Funds and Section B – Budget Summary Non-Federal Funds (ED 524 form)).

First, carefully read the instructions contained in this document. Then, using the Department of Education Budget Information for Non-Construction Programs (ED524) form, prepare a budget for the entire project that totals all the costs for each year of the grant.
Instructions for Addressing the Absolute Priority

Absolute Priority:

Supporting Student Success by Providing Academic Tutoring and Counseling Programs, and Student Support Services; Moderate Evidence.

Projects that:

(a) Provide academic tutoring and counseling programs, and student support services; and
(b) Are supported by evidence that meets the conditions in the definition of “moderate evidence.”

• The response to this priority is mandatory.
• There are no points assigned to this priority.
• We recommend five pages maximum to address this AP. The page limit does not include the Evidence Form.
• Attach your five-page response to the “Other Attachments” form in Grants.gov.
• In addition to your narrative response, you must complete the “Evidence Form” in Grants.gov.

Your narrative response to the absolute priority should include: 1) the project component(s) from the cited research that you intend to implement in your ANNH project, (2) the relevant outcome(s) that are included in both the study (or What Works Clearinghouse (WWC) practice guide or intervention report) and in the proposed project, (3) the research findings suggesting a favorable relationship between the project component and the relevant outcome, and (4) how the population and/or settings in the cited research overlap with that of the proposed project.
The following WWC resources may assist you in identifying evidence-based activities that meet the FY 2022 definition of moderate evidence:

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<th>Intervention Reports</th>
<th>Practice Guides</th>
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<td>• Dual Enrollment Programs</td>
<td>• Effective Advising for Postsecondary Students</td>
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<td>• Accelerated Study in Associate Programs (ASAP)</td>
<td>• Designing and Delivering Career Pathways at Community Colleges</td>
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<td>• Dana Center Mathematics Pathways</td>
<td>• Using Technology to Support Student Learning</td>
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<tr>
<td>• Integrated Basic Education Skills and Training (IBEST)</td>
<td>• Strategies for Postsecondary Students in Developmental Education–A Practice Guide for College and University Administrators, Advisors, and Faculty</td>
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<td>• First Year Experience Courses</td>
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<td>• Open Learning Initiative</td>
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<td>• Inside Track Coaching</td>
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<td>• Single Stop</td>
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<td>• Boston Coaching</td>
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You may also use the WWC Database of Individual Studies to find and cite studies designated as either Tier I (strong evidence) or Tier II studies (moderate evidence) at:

[https://ies.ed.gov/ncee/wwc/ReviewedStudies#/OnlyStudiesWithPositiveEffects:true%7CSetNumberOfResults:1%7CEssaRatingId](https://ies.ed.gov/ncee/wwc/ReviewedStudies#/OnlyStudiesWithPositiveEffects:true%7CSetNumberOfResults:1%7CEssaRatingId)
Instructions for Standard Forms

- Instructions for the SF-424
- Instructions for the Department of Education Supplemental Information for SF-424
- Definitions for Department of Education Supplemental Information for SF-424
- Instructions for ED 524
- Instructions for General Education Provisions Act (GEPA)
- Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

Note: Instructions can also be found at: [Grant Application and Other Forms (ed.gov)]

Other Information and Guidance

- Supplemental Information and Instructions
- Program Profile Instructions
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.

<table>
<thead>
<tr>
<th>Item</th>
<th>Entry:</th>
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</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Type of Submission: (Required) Select one type of submission in accordance with agency instructions.</td>
<td>10.</td>
<td>Name of Federal Agency: (Required) Enter the name of the federal agency from which assistance is being requested with this application.</td>
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<td></td>
<td>• Pre-application</td>
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<td>• Application</td>
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<td>• Changed/Corrected Application – Check if this submission is to change or correct a previously submitted application.</td>
<td>11.</td>
<td>Catalog of Federal Domestic Assistance Number/Title: 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.</td>
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<td></td>
<td>Unless requested by the agency, applicants may not use this form to submit changes after the closing date.</td>
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<td>2.</td>
<td>Type of Application: (Required) Select one type of application in accordance with agency instructions.</td>
<td>12.</td>
<td>Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement.</td>
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<td>• New – An application that is being submitted to an agency for the first time.</td>
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<td></td>
<td>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</td>
<td>13.</td>
<td>Competition Identification Number/Title: Enter the competition identification number and title of the competition under which assistance is requested, if applicable.</td>
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<td></td>
<td>• 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.</td>
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<td></td>
<td>A. Increase Award</td>
<td>14.</td>
<td>Areas Affected by Project: 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.</td>
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<td>B. Decrease Award</td>
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<td></td>
<td>C. Increase Duration</td>
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<td>D. Decrease Duration</td>
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<td>E. Other (specify)</td>
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<td>3.</td>
<td>Date Received: Leave this field blank. This date will be assigned by the Federal agency.</td>
<td>15.</td>
<td>Descriptive Title of Applicant’s Project: (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.</td>
</tr>
<tr>
<td>4.</td>
<td>Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or the applicant’s control number if applicable.</td>
<td>16.</td>
<td>Congressional Districts Of: 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 5th district, CA-012 for California 12th district, NC-103 for North Carolina’s 103rd 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.</td>
</tr>
<tr>
<td>5a.</td>
<td>Federal Entity Identifier: Enter the number assigned to your organization by the federal agency, if any.</td>
<td>17.</td>
<td>Proposed Project Start and End Dates: (Required) Enter the proposed start date and end date of the project.</td>
</tr>
<tr>
<td>5b.</td>
<td>Federal Award Identifier: 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.</td>
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<td>6.</td>
<td>Date Received by State: Leave this field blank. This date will be assigned by the state, if applicable.</td>
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<tr>
<td>7.</td>
<td>State Application Identifier: Leave this field blank. This identifier will be assigned by the state, if applicable.</td>
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<td>8.</td>
<td>Applicant Information: Enter the following in accordance with agency instructions:</td>
<td></td>
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<td></td>
<td>a. Legal Name: (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>.</td>
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</table>

| 67 |
b. Employer/Taxpayer Number (EIN/TIN): (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.

18. Estimated Funding: (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.

c. Organizational DUNS: (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 www.Grants.gov.

19. Is Application Subject to Review by State Under Executive Order 12372 Process? (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 intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.

d. Address: 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. Is the Applicant Delinquent on any Federal Debt? (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. Organizational Unit: Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.

21. Authorized Representative: 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. Name and contact information of person to be contacted on matters involving this application: 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>
<thead>
<tr>
<th>A. State Government</th>
<th>M. Nonprofit</th>
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<tbody>
<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>
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<tr>
<td>E. Regional Organization</td>
<td>Q. Small Business</td>
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<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>
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</tbody>
</table>

[U.S Department of Education note: As of spring, 2010, the FON discussed in Block 12 of the instructions can be found via the following URL: http://www.grants.gov/applicants/find_grant_opportunities.jsp.]
INSTRUCTIONS FOR U.S. DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR THE SF-424

1. **Project Director.** Name, address, telephone and fax numbers, and e-mail and alternate email addresses of the Project Director to be contacted on matters involving this application. Enter Project Director’s level of effort (the percentage of time devoted to the grant). Items marked with an asterisk (*) are mandatory.

2. **New Potential Grantee or Novice Applicant.** If applicable, for (a), check “Yes” if you meet the definition for new potential grantees or novice applicants specified in the program competition’s notice inviting applications (NIA) and included on the attached page entitled “Definitions for U.S. Department of Education Supplemental Information for the SF-424”. By checking “Yes” the applicant certifies that it meets the new potential grantee or novice applicant requirements. Check “No” if you do not meet the definition for new potential grantees or novice applicants. For (b), if the program competition NIA is giving competitive preference points for new potential grantees or novice applicants, indicate how many points you are claiming for your application. The NIA will indicate how many are available depending on the design of the competition. Some competitions may provide more than one category of new potential grantees with differing levels of points.

3. **Qualified Opportunity Zones.** If applicable, provide the Qualified Opportunity Zones (QOZ) census tract number(s) if the NIA includes a QOZ Priority in which you propose to either provide services in QOZ(s) or are located in a QOZ.


4a. **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.

4b. **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. Check the exemption number(s) corresponding to one or more of the eight exemption categories (Regulation revised in 2018 and became effective in 2019) listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for U.S. Department of Education Supplemental Information for the SF-424 Application for Federal Assistance.”

4c. **Human Subjects Assurance Number.** If the applicant has an approved Federal Wide Assurance (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. (A list of current FWAs is available at: [http://ohrp.nih.gov/search/search.aspx?styp=bsc](http://ohrp.nih.gov/search/search.aspx?styp=bsc).) 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 part 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.

4d. **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 U.S. Department of Education Supplemental Information for the SF-424 Application for Federal Assistance.”)

4e. **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 attached page entitled “Definitions for U.S. Department of Education Supplemental Information for the SF-424 Application for Federal Assistance.”

5. **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.

6. **No covered human subjects research can be conducted until the study has ED clearance for protection of human subjects in research.**

Public Burden Statement:
According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 20 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. The obligation to respond to this collection is required to obtain or retain benefit (20 USC 3474 General Education Provisions Act). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email ICDocketMgr@ed.gov and reference the OMB Control Number 1894-0007. Note: Please do not return the completed ED SF 424 Supplemental Form to this address.
Definitions:

NEW POTENTIAL GRANTEE OR NOVICE APPLICANT

New Potential Grantee: The definition of New Potential Grantee is set in the program competition’s Notice Inviting Applications (NIA). The New Potential Grantee priority is from the Department’s Administrative Priorities for Discretionary Grant Programs published in the Federal Register March 9, 2020 (85 FR 13640).

Novice Applicant: For discretionary grant programs, 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. The Novice Applicant priority is from 34 CFR 75.225, and it must be included in the program competition NIA to be claimed on the form.

QUALIFIED OPPORTUNITY ZONES

Definition: From 26 USC section 1400Z–1 of the Internal Revenue Code, which, in relevant part, defines “qualified opportunity zone” as “a population census tract that is a low-income community that is designated as a qualified opportunity zone.”

The Qualified Opportunity Zones priority is from the Department’s Final Priority for Discretionary Grant Programs published in the Federal Register November 27, 2019 (84 FR 65300).

Note: The Treasury Department has created a website of Opportunity Zones Resources that includes a searchable map: https://www.cdfifund.gov/Pages/Opportunity-Zones.aspx.

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. 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 (i) information or biospecimens through intervention or interaction with the individual and uses, studies, or analyzes the information or biospecimens, or (ii) obtains, uses, studies, analyzes, or generate identifiable private information or identifiable biospecimens.”

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. If an activity involves obtaining private information about a living person in such a way that the information can be directly or indirectly linked to that individual, 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 eight categories of exemptions are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, that specifically involves normal educational practices that are not likely to adversely impact students’ opportunity to learn required educational content or the assessment of educators who provide instruction. This
includes most research on regular and special education instructional strategies, and research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods. If an educational practice is being introduced to the site and is not widely used for similar populations, it is not covered by this exemption.

(2) Research that only includes interactions involving educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior (including visual or auditory recordings) if at least one of the following criteria is met: (i) the information obtained is recorded by the investigator in such a manner that the identity of the human subjects cannot readily be ascertained, directly or through identifiers linked to the subjects; (ii) Any disclosure of the human subjects’ responses outside the research would not reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects’ financial standing, employability, educational advancement or reputation; or (iii) the information obtained is recorded by the investigator in such a manner that the identity of the human subjects can readily be ascertained, directly or through identifiers linked to the subjects, and an Institutional Review Board (IRB) conducts a “limited IRB review” to make the determinations required by 34 CFR 97.111(a)(7).

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 when 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 benign behavioral interventions in conjunction with the collection of information from an adult subject through verbal or written responses (including data entry) or audiovisual recording if the subject prospectively agrees to the intervention and information collection and at least one of the following criteria is met: (A) The information obtained is recorded by the investigator in such a manner that the identity of the human subjects cannot readily be ascertained directly or through identifiers linked to the subjects; (B) Any disclosure of the human subjects’ responses outside the research would not reasonably place the subjects at risk of criminal or civil liability or be damaging to the subject’s financial standing, employability, educational advancement or reputation; or (C) The information obtained is recorded by the investigator in such a manner that the identity of the human subjects can readily be ascertained, directly or through identifiers linked to the subjects, and an IRB conducts a limited IRB review to make the determination required by 34 CFR 97.111(a)(7).

For the purpose of this provision, benign behavioral interventions are brief in duration, harmless, painless, not physically invasive, not likely to have a significant adverse lasting impact on the subjects, and the investigator has no reason to think the subjects will find the interventions offensive or embarrassing. Provided all such criteria are met, examples of such benign behavioral interventions would include having the subject play an online game, having them solve puzzles under various noise conditions, or having them decide how to allocate a nominal amount of received cash between themselves and someone else.

If the research involves deceiving the subjects regarding the nature or purposes of the research, this exemption is not applicable unless the subject authorizes the deception through a prospective agreement to participate in research in circumstances in which the subject is informed that he or she will be unaware of or misled regarding the nature or purposes of the research.

(4) Secondary Research for which Consent is not required. Secondary research uses of identifiable private information or identifiable biospecimens, if at least one of the following criteria is met: (i) The identifiable private information or identifiable biospecimens are publicly available; (ii) Information, which may include information about biospecimens, is recorded by the investigator in such a manner that the identity of the human subjects cannot readily be ascertained directly or through identifiers linked to the subjects, the investigator does not contact the subjects, and the investigator will not re-identify subjects; (iii) the research involves only information collection and analysis involving the investigators’ use of identifiable health information when that use is regulated under 45 CFR parts 160 and 164, subparts A and E, for the purposes of “health care operations” or “research” as those terms are defined at 45 CFR 164.501 or for “public health activities and purposes” as described under 45 CFR 164.512 (b); or (iv) The research is conducted by, or on behalf of, a Federal department or agency using government-generated or government-collected information obtained for nonresearch activities, if the research generates identifiable private information that is or will be maintained on information technology that is subject to and in compliance with section 208(b) of the E-Government Act of 2002, 44 USC 3501 note, if all of the identifiable private information collected, used or generated as part of the activity will be maintained in systems of records subject to the Privacy Act of 1974, 5 USC 552a, and, if applicable, the information used in the research was collected subject to the Paperwork Reduction Act of 1995, 44 USC 3501 et seq.

(5) Research and demonstration projects that are conducted or supported by a Federal department or agency, or otherwise subject to the approval of department or agency heads (or the approval of the heads of bureaus or other subordinate agencies that have been delegated authority to conduct the research and demonstration projects), and that are designed to study, evaluate, improve, or otherwise examine public benefit or service programs, including procedures for obtaining benefits or services under those programs, possible changes in or
alternative to those programs or procedures, or possible changes in methods or levels of payment for benefits or services under those programs. Such projects include, but are not limited to, internal studies by Federal employees, and studies under contracts or consulting arrangements, cooperative agreements, or grants. Exempt projects also include waivers of otherwise mandatory requirements using authorities such as sections 1115 and 1115A of the Social Security Act as amended. Each Federal department or agency conducting or supporting the research and demonstration projects must establish, on a publicly accessible Federal website or in such other manner as the department or agency head may determine, a list of the research and demonstration projects that the Federal department or agency conducts or supports under this provision. The research or demonstration project must be published on this list prior to commencing the research involving human subjects.

(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.

(7) Storage or Maintenance for Secondary Research for which Broad Consent is required. Storage or maintenance of identifiable private information or identifiable biospecimens for potential secondary research use if an IRB conducts a limited IRB review and makes the determinations requires by 34 CFR 97.111(a)(8).

(8) Secondary Research for which Broad Consent is Required. Research involving the use of identifiable private information or identifiable biospecimens for secondary research use if the following criteria are met: (i) Broad Consent for the storage, maintenance and secondary research use of the identifiable private information or identifiable biospecimens was obtained in accordance with 34 CFR 97.116(a) (1)-(4), (a) (6) and (d); (ii) Documentation of informed consent or waiver of documentation of consent was obtained in accordance with 34 CFR 97.117. (iii) an IRB conducts a limited IRB review and makes the determination that the research to be conducted is within the scope of the broad consent referenced in paragraph (d)(8)(i) of this section; and (iv) The investigator does not prevent an investigator from abiding by any legal requirements to return individual research results.

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked “Yes” for Item 3.b. of the U.S. Department of Education Supplemental Information for the SF-424 form, the applicant must attach a human subjects “exempt research” or “nonexempt research” narrative to the U.S. Department of Education Supplemental Information for the SF-424 form. If you have multiple projects, include information about each, labeling the responses as to the project they address. For applications that include multiple research projects this can be done in a single narrative or in more than one narrative as appropriate.

A. Exempt Research Narrative.
If you marked “Yes” for item 3.b. and designated exemption numbers(s), attach the “exempt research” narrative to the U.S. Department of Education Supplemental Information for the SF-424 form. 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.b. you must attach the “nonexempt research” narrative to the U.S. Department of Education Supplemental Information for the SF-424 form. 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 subgroup. 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 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.


NOTE: The State Applicant Identifier on the SF-424 form is for State Use only. Please complete it on the SF-424 form in the upper right corner of the form (if applicable).
INSTRUCTIONS FOR ED 524

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 cited within these instructions at: https://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5230h72a6b70a1&tpl=/ecfrbrowse/Title02/2CFR§200.414(f). Note, you may only use the 10 percent de minimis rate if you are a first-time Federal grant recipient, and you do not have an Approved Indirect Cost Rate Agreement. You may not use the de minimis rate if you are a State, Local government, or Indian Tribe, or if your grant is funded under a training rate or restricted rate program.

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 cost sharing and matching regulations found in 2 CFR 200.306.]

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 may 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.

If Applicable Section D - Budget Summary Limitation on Administrative Expenses.

If your program is subject to an administrative cost cap (as indicated Section III.2.C of the program’s Notice Inviting Applications (NIA)), fill out this form as follows:

1. On the top of the page, list the percentage cap on administrative costs, and indicate whether your administrative cost cap applies to both indirect and direct costs, or only direct costs (from Section III.2.C of the program’s NIA).

2. IF the cost cap applies to both indirect and direct costs:
   (a) Fill out the entire table noting your administrative costs, including line 8. Line 8 is taken from Section A, line 10. For lines 1-6, these are only direct administrative costs; do not include in lines 1-6 any costs included in your indirect cost rate. If your program has a matching requirement (see NIA), include in lines 1-6 the administrative portions of the applicable rows from both Section A and Section B. If there is no program matching requirement, only use Section A.
   (b) Ensure that the line 10 percentage DOES NOT EXCEED the percentage cap on administrative costs. If your program does not have a matching requirement, divide line 9 by Section A line 12. If your program does have a matching requirement, to calculate line 10, divide line 9 by the sum of Section A line 12 and Section B line 12.

3. IF the cost cap applies ONLY to direct costs:
   (a) Fill out the entire table noting your administrative costs, EXCLUDING line 8.
   Ensure that the line 10 percentage DOES NOT EXCEED the percentage cap on administrative costs. If your program does not have a matching requirement, divide line 7 by Section A line 9. If your program does have a matching requirement, to calculate line 10, divide line 7 by the sum of Section A line 9 and Section B line 9.

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 the Office of Finance and Operations, Office of Acquisitions and Grants Administration, Grants Policy and Training Division, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.
NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about the following 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.

(4) An applicant that proposes a project to increase school safety might describe the special efforts it will take to address concern of lesbian, gay, bisexual, and transgender students, and efforts to reach out to and involve the families of LGBT students.

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. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Public Law 103-382. Send comments
regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email ICDOCKETMGR@ED.GOV and reference the OMB Control Number 1894-0005.
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 follow up 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 Assistance Listing Number (ALN) 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.
Supplemental Information and Instructions

**ANNH Program Profile:** All applicants must complete the information requested on this page. Using the profile, the applicant will provide information on Assurances and Eligibility. **Do not modify, amend or delete any of this document.**

Applicants must copy and paste this page into a separate document, or recreate the page exactly as it appears. Then, complete the page, save it to your computer and attach it to the “ANNH Program Profile Form,” in Grants.gov, as a .PDF document. Do not modify or amend the contents of the form in any way.

**Page Limits:** The project narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. We have established recommended page limits for Individual Development and Cooperative Arrangement Development Grant applications. It is recommended to limit the section of the narrative that addresses the selection criteria to no more than 50 pages for the Individual Development Grant. For the Cooperative Arrangement Development Grant, the recommended page limit is 65 pages. It is recommended that you use up to five additional pages for your response to the Absolute Priority.

The page limit does not apply to Part I, the Application for Federal Assistance (SF 424); the Department of Education Supplemental Information form (SF 424); Part II, Budget Information—Non-Construction Programs (ED Form 524); Part IV, the assurances and certifications; or the one-page project abstract, program activity budget detail form and supporting narrative, and the five-year plan. However, the page limit does apply to all of the project narrative section (Part III), including the budget narrative of the selection criteria. You must include your complete response to the selection criteria in the project narrative.

**Formatting Requirements:** A “page” is 8.5” x 11”, on one side only, with 1 inch margins at the top, bottom, and both sides. Double space (no more than three lines per vertical inch) all text in the application narrative, including 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. Use font size 12 or larger and no smaller than 10 pitch (characters per inch).
84.031 N & W Alaska Native and Native Hawaiian-Serving Institutions Program Profile

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

OPE ID #___________

1. INSTITUTION (Legal Name):_____________________________________________________________________

2. Are you applying as a Branch Campus? _____YES _____NO

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

Project Address: _______________________________________________________

City: __________________________ State: ______ Zip: _____________

4. Alaska Native and Native Hawaiian-Serving Institutions Certification:

☐ By checking this box (or placing an “X” beside it), the applicant certifies pursuant to the statutory requirements governing the Alaska Native and Native Hawaiian-Serving Institutions Program, authorized under Title III, Part A, Section 317 of the Higher Education Act of 1965, as amended (HEA) by the Higher Education Opportunity Act of 2008 (HEOA) that:

The named institution of higher education, at the time of application, has an enrollment of undergraduate students that is at least twenty percent (20%) Alaska Native (84.031N) or ten percent (10%) Native Hawaiian (84.031W). The term “Alaska Native” means a citizen of the United States who is a person of one-fourth degree or more Alaska Indian (including Tsimshian Indians not enrolled in the Metlaktla Indian Community) Eskimo, or Aleut blood, or combination thereof. The term includes any Native as so defined either or both of whose adoptive parents are not Natives. It also includes, in the absence of proof of a minimum blood quantum, any citizen of the United States who is regarded as an Alaska Native by the Native village or Native group of which he claims to be a member and whose father or mother is (or, if deceased, was) regarded as Native by any village or group. Any decision of the Secretary regarding eligibility for enrollment shall be final. (See 43 U.S. Code §1602-Definitions) The term “Native Hawaiian” means any individual who is—

(A) a citizen of the United States; and
(B) a descendant of the aboriginal people who, prior to 1778, occupied and exercised sovereignty in the area that now comprises the State of Hawaii, as evidenced by—

(i) genealogical records;

(ii) Kupuna (elders) or Kamaaina (long-term community residents) verification; or

(iii) certified birth records. (See 20 U.S. Code §7517 – Definitions)

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

<table>
<thead>
<tr>
<th>Institution Name</th>
<th>DUNS Number</th>
<th>City</th>
<th>State</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

6. **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 the Code of Federal Regulations; Title 34, 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 2019-2020 FULL-TIME EQUIVALENT (FTE) STUDENTS=__________**

- **A. Total market value of endowment fund at the end of 2019-2020 $__________**

- **B. Total expenditures for library materials during 2019-2020 **

- **$__________**

- **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
    
  - $__________
**Application Checklist**

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

- 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 (Use “ED Abstract Form”)
- Project Narrative for the proposed grant (Use “Project Narrative Attachment Form”)
- Budget Narrative (“Use Budget Narrative Attachment Form”)
- Evidence of Effectiveness Form (“Use Evidence of Effectiveness Attachment Form”)
- Other Attachments (Use “Other Attachments Form”)
  - ANNH Program Profile
  - Absolute Priority – Titled: “Absolute Priority Response”

**Assurances and Certifications**

- Grants.gov Lobbying Form (ED 80-0013)
- Disclosure of Lobbying Activities (SF-LLL) - OPTIONAL
- ED GEPA 427 Form
According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 160 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Title III, Part F, Section 371 of the Higher Education Act of 1965 as amended by the HEOA). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to regulations.gov during the public comment period for this collection of information. If you have specific questions about the form, instrument or survey, please contact: Alaska Native and Native Hawaiian-Serving Institutions Program, U.S. Department of Education, 400 Maryland Avenue, S.W., Rm. 2B203, Washington, DC 20202-8510.