

**U.S. DEPARTMENT OF EDUCATION**

Office of Postsecondary Education

Washington, DC 20202

[www.ed.gov/hsi](http://www.ed.gov/hsi)



**Fiscal Year 2020**

**APPLICATION FOR GRANTS  
UNDER THE DEVELOPING  
HISPANIC-SERVING INSTITUTIONS PROGRAM**

**CFDA NUMBER: 84.031S**

**Form Approved**

**OMB No. 1840-0745, Expiration Date: 2/29/2020**

**DATED MATERIAL – OPEN IMMEDIATELY**

**CLOSING DATE: 2/10/2020**

## Table of Contents

	Page
Dear Applicant Letter.....	1
Competition Highlights.....	3
Grants.gov Submission Procedures and Tips for Applicants .....	4
Notice Inviting Applications for New Awards.....	8
Program Statute.....	41
Intergovernmental Review.....	51
General Education Provisions Act (GEPA).....	52
Government Performance and Results Act (GPRA).....	53
Instructions for Completing the Application.....	55
Instructions for Standard Forms.....	57
Instructions for the SF 424.....	58
Instructions for Department of Education Supplemental Information for SF 424...	62
Instructions for ED 524.....	64
Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities.....	66
Instructions for Completion of General Education Provisions Act (GEPA).....	67
Instructions for Evidence Form.....	68
Supplemental Instructions for the Project Narrative.....	69
HSI Program Profile Form.....	73
HSI Program Profile Form Instructions.....	76
Application Checklist .....	79
Paperwork Burden Statement.....	80

Dear Applicant:

Thank you for your interest in applying for a new grant under the fiscal year (FY) 2020 Title V, Part A, Developing Hispanic-Serving Institutions (DHSI) Program grant competition. This letter highlights items in the application package that will be important to you in applying for a grant under this program. Please review the entire application package carefully before preparing and submitting your application.

In order to receive a grant under the DHSI Program, an institution of higher education must have been designated as an eligible institution or granted a waiver. The notice announcing the FY 2020 process for designation of eligible institutions, and inviting applications for waiver of eligibility requirements, was published in the *Federal Register* on December 16, 2020 (84 FR 68434). The deadline for transmittal of applications is January 31, 2020. In addition to basic eligibility requirements, an institution must have at least 25 percent enrollment of undergraduate full-time equivalent (FTE) Hispanic students at the end of the award year immediately preceding the date of application. For this competition, an institution must have 25 percent Hispanic enrollment full-time equivalency for academic year 2018-2019.

We highly encourage applicants to notify us of their intent to submit an application. To do so, please email Njeri Clark, the program contact person, at [Njeri.clark@ed.gov](mailto:Njeri.clark@ed.gov) with the subject line as "Intent to Apply." Include the applicant's name and a contact person's name and email address. Applicants that do not submit a notice of intent to apply may still apply for funding; applicants that do submit a notice of intent to apply are not bound to apply or bound by the information provided. The Department will be able to review grant applications more efficiently if we know the approximate number of applicants that intend to apply. Therefore, we strongly encourage each potential applicant to notify us of their intent to apply.

For information on the selection criteria and competitive preference priorities, refer to the *Federal Register* Notice Inviting Applications (NIA) for New Awards for FY 2020, which is included in this application package.

Applications for FY 2020 grants under the DHSI Program must be submitted electronically using Grants.gov at: <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 February 13, 2019 (84 FR 3768) and available at [www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf](http://www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf). This document contains requirements and information on how to submit an application.

The NIA published in the *Federal Register* is the official document describing the requirements for submitting a DHSI grant application. You should not rely upon any information that is inconsistent with the guidance contained in the official document. If you have any questions or require additional information, please contact Njeri Clark at (202) 453-6224 or [Njeri.clark@ed.gov](mailto:Njeri.clark@ed.gov). We encourage applicants to review the "Competition Highlights" found in this application package for an overview of important items.

I appreciate your interest in the DHSI Program and look forward to receiving your application.

Sincerely,

/s/

Robert King

Principal Deputy Under Secretary

Delegated to Perform the Duties of Under Secretary and

Assistant Secretary for the Office of Postsecondary  
Education

## Competition Highlights

1. Developing Hispanic-Serving Institutions grant applications for FY 2020 must be submitted electronically through Grants.gov at: <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 February 13, 2019 (84 FR 3768), and available at [www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf](http://www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf) which contain requirements and information on how to submit an application.
2. The Higher Education Opportunity Act (HEOA) of 2008 amended the authorized grant activities under Part A of Title V of the Higher Education Act (HEA) of 1965 (individual development grants) to include innovative and customized instruction course development; articulation agreement and student support program activities designed to facilitate student transfer from two-year to four-year institutions; activities that improve student financial and economic literacy; and activities to develop distance education technologies.
3. Grants under this competition will be awarded on a competitive basis for the following type of grant: Individual Development Grants only. For this competition, an eligible institution of higher education may submit **one** Individual Development Grant application.
4. We will not make an award exceeding the maximum allowable amount for a single budget period of 1 year. (See Notice Inviting Applications for information on the maximum allowable amount.)
5. Total performance period for new awards is 5 years.
6. There are two competitive preference priorities for this competition. We will award an application up to 5 (five) additional points for each priority. Applicants may respond to one or both competitive preference priorities for a total of up to 10 (ten) additional points. Points are awarded based on the quality of the response to the priority.
9. All applicants are encouraged to limit the Project Narrative portion of the application to no more than 55 pages.
10. Applicants must complete a supporting budget narrative for each line item on the ED-524 form.
11. Applicants must complete the “DHSI Program Profile Form” located in this application package. This form serves as the assurance regarding the Hispanic enrollment percent required by the program’s statutory language.
12. A current grantee under the DHSI Program, which is authorized by Title V of the HEA, may not simultaneously hold or receive another grant under any HEA, Title III, Part A or Title III, Part B program.
13. 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.
14. Applicants are reminded that the Notice Inviting Applications published in the Federal Register is the official document. You should not rely upon any information that is inconsistent with the guidance contained within the official document.
15. Pre-Application Workshops will be conducted by the program office. Please contact Njeri Clark for information on 202-453-6224 or [Njeri.clark@ed.gov](mailto:Njeri.clark@ed.gov).

## IMPORTANT – PLEASE READ FIRST

### U.S. Department of Education

### *Grants.gov Submission Procedures and Tips for Applicants*

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.

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 DUNS 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](http://www.sam.gov)) which may take approximately one week to complete, but could take upwards of several weeks to complete, depending upon 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>. [Note: Your organization will need to update its SAM registration annually.]

Primary information about SAM is available at [www.sam.gov](http://www.sam.gov). However, to further assist you with obtaining and registering your DUNS number and TIN in SAM or updating your existing SAM account, the Department of Education has prepared a SAM.gov Tip Sheet which you can find at: <http://www2.ed.gov/fund/grant/apply/sam-faqs.html>.

- 2) **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: To submit successfully, 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 with the SAM. If you do not enter the same DUNS number on your application as the DUNS you registered with, Grants.gov will reject your application.**

- 3) **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, log in 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>. 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>. 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 [support@grants.gov](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>.

If electronic submission is required, you must submit an electronic application before 11:59:59 p.m. Eastern Time, unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date. (See the Federal Register notice for detailed instructions.)

### Helpful Hints When Working with Grants.gov

Please go to <http://www.grants.gov/web/grants/support.html> for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Applicant FAQs found at this Grants.gov link: <http://www.grants.gov/web/grants/applicants/applicant-faqs.html>, as well as additional information on Workspace at <https://www.grants.gov/web/grants/applicants/applicant-faqs.html#workspace>.

### Dial-Up Internet Connections

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

### Attaching Files – Additional Tips

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

- When you submit your application electronically, you have the option of uploading 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 **highly 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, semi 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.

4000-01-U

DEPARTMENT OF EDUCATION

Applications for New Awards; Developing Hispanic-Serving  
Institutions Program

AGENCY: Office of Postsecondary Education, Department of  
Education.

ACTION: Notice.

SUMMARY: The Department of Education (Department) is issuing a  
notice inviting applications (NIA) for new awards for fiscal  
year (FY) 2020 for the Developing Hispanic-Serving Institutions  
(DHSI) Program, Catalog of Federal Domestic Assistance (CFDA)  
number 84.031S. This notice relates to the approved information  
collection under OMB control number 1840-0745.

DATES:

Applications Available: December 27, 2019.

Deadline for Transmittal of Applications: February 10, 2020.

Deadline for Intergovernmental Review: April 10, 2020.

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 February 13, 2019  
(84 FR 3768), and available at [www.govinfo.gov/content/pkg/FR-  
2019-02-13/pdf/2019-02206.pdf](http://www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf).

FOR FURTHER INFORMATION CONTACT: Njeri Clark, U.S. Department of Education, 400 Maryland Avenue, SW, room 260-14, Washington, DC 20202-4260. Telephone: (202) 453-6224. Email: [Njeri.Clark@ed.gov](mailto:Njeri.Clark@ed.gov).

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 DHSI Program provides grants to assist Hispanic-Serving Institutions (HSIs) to expand educational opportunities for, and improve the academic attainment of, Hispanic students. DHSI Program grants enable HSIs to expand and enhance the academic offerings, program quality, faculty quality, and institutional stability of colleges and universities that are educating the majority of Hispanic college students and help large numbers of Hispanic students and other low-income individuals complete postsecondary degrees.

Background: Hispanic students are enrolling in postsecondary institutions at higher rates than ever before, yet their high enrollments are not translating to degree completion.<sup>1</sup> HSIs have

---

<sup>1</sup> [Digest of Education Statistics 2017](https://nces.ed.gov/pubs2018/2018070.pdf), January 2019, <https://nces.ed.gov/pubs2018/2018070.pdf>.

an opportunity to both improve individual educational outcomes and support our Nation's economic growth and competitiveness by increasing the number of certificates and degrees attained by Hispanic and low-income students. HSIs' high enrollment of Hispanic and low-income students positions them to serve as models for how best to meet the needs of Hispanic and low-income students. The DHSI program supports HSIs that demonstrate a commitment to developing or enhancing a comprehensive plan that looks to identify and address the strengths and weaknesses of an institution's enrollment, retention, support, and graduation rates of Hispanic and low-income students.

HSIs interested in applying to this grant program can use the development of their comprehensive plan to examine the alignment of their mission and current strategic plan with the needs of the target population and surrounding community to develop, enhance, and implement leadership, practice, and policies that best promote student success. Moreover, HSIs can use their plans as road maps to help all students, especially those with the highest needs, find exciting pathways to employment and career advancement.

To this end, this competition includes two competitive preference priorities that are designed to promote student success.

Priorities: This notice contains two competitive preference priorities from the Secretary's Final Supplemental Priorities and Definitions for Discretionary Grant Programs, published in the *Federal Register* on March 2, 2018 (83 FR 9096) (Supplemental Priorities).

Competitive Preference Priorities: For FY 2020 and any subsequent year in which we make awards from the list of unfunded applications from this competition, these priorities are competitive preference priorities. Under 34 CFR 75.105(c)(2)(i), we award an application up to 5 additional points, depending on how well the application meets one of these priorities. Applicants may respond to one or both priorities, for a total of up to 10 additional points.

These priorities are:

Competitive Preference Priority 1--Fostering Flexible and Affordable Paths to Obtaining Knowledge and Skills (up to 5 additional points).

Projects that are designed to address at least one of the following priority areas:

(a) Improving collaboration between education providers and employers to ensure student learning objectives are aligned with the skills or knowledge required for employment in in-demand industry sectors or occupations (as defined in section 3(23) of the Workforce Innovation and Opportunity Act of 2014).

(b) Providing work-based learning experiences (such as internships, apprenticeships, and fellowships) that align with in-demand industry sectors or occupations (as defined in section 3(23) of the Workforce Innovation and Opportunity Act of 2014).

(c) Creating or expanding opportunities for students to obtain recognized postsecondary credentials in science, technology, engineering, mathematics, or computer science (as defined in this notice).

Competitive Preference Priority 2--Fostering Knowledge and Promoting the Development of Skills That Prepare Students To Be Informed, Thoughtful, and Productive Individuals and Citizens (up to 5 additional points).

Projects that are designed to support instruction in personal financial literacy, knowledge of markets and economics, knowledge of higher education financing and repayment (e.g., college savings and student loans), or other skills aimed at building personal financial understanding and responsibility.

Definitions: The following definitions are from 34 CFR 77.1 and the Supplemental Priorities and apply to the priorities and selection criteria in this notice:

Baseline means the starting point from which performance is measured and targets are set.

Budget period means an interval of time into which a project period is divided for budgetary purposes.

Computer science means the study of computers and algorithmic processes and includes the study of computing principles and theories, computational thinking, computer hardware, software design, coding, analytics, and computer applications.

Computer science often includes computer programming or coding as a tool to create software, including applications, games, websites, and tools to manage or manipulate data; or development and management of computer hardware and the other electronics related to sharing, securing, and using digital information.

In addition to coding, the expanding field of computer science emphasizes computational thinking and interdisciplinary problem-solving to equip students with the skills and abilities necessary to apply computation in our digital world.

Computer science does not include using a computer for everyday activities, such as browsing the internet; use of tools like word processing, spreadsheets, or presentation software; or using computers in the study and exploration of unrelated subjects.

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.

Department means the U.S. Department of Education.

Evidence-based means the proposed project component is supported by promising evidence or evidence that demonstrates a rationale.

Experimental study means a study that is designed to compare outcomes between two groups of individuals (such as students) that are otherwise equivalent except for their assignment to either a treatment group receiving a project component or a control group that does not. Randomized controlled trials, regression discontinuity design studies, and single-case design studies are the specific types of experimental studies that, depending on their design and implementation (e.g., sample attrition in randomized controlled trials and regression discontinuity design studies), can meet What Works Clearinghouse (WWC) standards without reservations as described in the WWC Handbook:

(i) A randomized controlled trial employs random assignment of, for example, students, teachers, classrooms, or schools to receive the project component being evaluated (the treatment group) or not to receive the project component (the control group).

(ii) A regression discontinuity design study assigns the project component being evaluated using a measured variable (e.g., assigning students reading below a cutoff score to



tutoring or developmental education classes) and controls for that variable in the analysis of outcomes.

(iii) A single-case design study uses observations of a single case (e.g., a student eligible for a behavioral intervention) over time in the absence and presence of a controlled treatment manipulation to determine whether the outcome is systematically related to the treatment.

Fiscal year means the Federal fiscal year—a period beginning on October 1 and ending on the following September 30.

Grant period means the period for which funds have been awarded.

Grantee means the legal entity to which a grant is awarded and that is accountable to the Federal Government for the use of the funds provided. The grantee is the entire legal entity even if only a particular component of the entity is designated in the grant award notice (GAN). For example, a GAN may name as the grantee one school or campus of a university. In this case, the granting agency usually intends, or actually intends, that the named component assume primary or sole responsibility for administering the grant-assisted project or program.

Nevertheless, the naming of a component of a legal entity as the grantee in a grant award document shall not be construed as relieving the whole legal entity from accountability to the Federal Government for the use of the funds provided. (This

definition is not intended to affect the eligibility provision of grant programs in which eligibility is limited to organizations that may be only components of a legal entity.) The term "grantee" does not include any secondary recipients, such as subgrantees and contractors, that may receive funds from a grantee pursuant to a subgrant or contract.

Logic model (also referred to as a 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.

Note: In developing logic models, applicants may want to use resources such as the Pacific Education Laboratory's Logic Model Application ([www.ies.ed.gov/ncee/edlabs/regions/pacific/elm.asp](http://www.ies.ed.gov/ncee/edlabs/regions/pacific/elm.asp)).

Performance measure means any quantitative indicator, statistic, or metric used to gauge program or project performance.

Performance target means a level of performance that an applicant would seek to meet during the course of a project or as a result of a project.

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).

Promising evidence means that there is evidence of the effectiveness of a key project component in improving a relevant outcome, based on a relevant finding from one of the following:

(i) A practice guide prepared by What Works Clearinghouse (WWC) reporting a "strong evidence base" or "moderate evidence base" for the corresponding practice guide recommendation;

(ii) An intervention report prepared by the WWC reporting a "positive effect" or "potentially positive effect" on a relevant outcome with no reporting of a "negative effect" or "potentially negative effect" on a relevant outcome; or

(iii) A single study assessed by the Department, as appropriate, that—

(A) Is an experimental study, a quasi-experimental design study, or a well-designed and well-implemented correlational study with statistical controls for selection bias (e.g., a study using regression methods to account for differences between a treatment group and a comparison group); and

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

Quasi-experimental design study means a study using a design that attempts to approximate an experimental study by

identifying a comparison group that is similar to the treatment group in important respects. This type of study, depending on design and implementation (e.g., establishment of baseline equivalence of the groups being compared), can meet WWC standards with reservations, but cannot meet WWC standards without reservations, as described in the WWC Handbook.

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

Subgrant means an award of financial assistance in the form of money, or property in lieu of money, made under a grant by a grantee to an eligible subgrantee. The term includes financial assistance when provided by contractual or any other form of legal agreement, but does not include procurement purchases, nor does it include any form of assistance that is excluded from the definition of "grant or award" in this part (See 2 CFR 200.92, "Subaward").

What Works Clearinghouse Handbook (WWC Handbook) means the standards and procedures set forth in the WWC Procedures and Standards Handbook, Version 3.0 or Version 2.1 (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 Handbook documentation.

Program Authority: 20 U.S.C. 1101-1101d and 1103-1103g.

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 (OMB) 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 606. (e) The Supplemental Priorities.

## II. Award Information

Type of Award: Discretionary grants. Five-year Individual Development Grants only. Cooperative Arrangement Grants and Planning Grants will not be awarded in FY 2020.

Estimated Available Funds: The Department estimates that \$124,415,000 will be available for the DHSI program in FY 2020, of which approximately \$52,800,000 will be available for new awards. The actual level of funding, if any, depends on final congressional action. However, we are inviting applications to allow enough time to complete the grant process before the end

of the current fiscal year, if Congress appropriates funds for this program.

Contingent upon the availability of funds and the quality of applications, we may make additional awards in subsequent fiscal years from the list of unfunded applications from this competition.

Estimated Range of Awards: \$500,000-\$600,000.

Maximum Awards: We will not make an award exceeding \$600,000 for a single budget period of 12 months.

Estimated Number of Awards: 96.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 60 months.

### III. Eligibility Information and Supplemental Requirements

1. Eligible Applicants: (a) Institutions of higher education (IHEs) that qualify as eligible HSIs are eligible to apply for new Individual Development Grants under the DHSI Program. To be an eligible HSI, an IHE must--

(i) Have an enrollment of needy students, as defined in section 502(b) of the HEA (section 502(a)(2)(A)(i) of the HEA; 20 U.S.C. 1101a(a)(2)(A)(i));

(ii) Have, except as provided in section 522(b) of the HEA, average education and general expenditures that are low, per full-time equivalent (FTE) undergraduate student, in

comparison with the average education and general expenditures per FTE undergraduate student of institutions that offer similar instruction (section 502(a)(2)(A)(ii) of the HEA; 20 U.S.C. 1101a(a)(2)(A)(ii));

Note: To demonstrate an enrollment of needy students and low average education and general expenditures per FTE undergraduate student, an IHE must be designated as an "eligible institution" in accordance with 34 CFR 606.3 through 606.5 and the notice inviting applications for designation as an eligible institution for the fiscal year for which the grant competition is being conducted.

Note: The notice announcing the FY 2020 process for designation of eligible institutions, and inviting applications for waiver of eligibility requirements, was published in the *Federal Register* on December 16, 2019 (84 FR 68434). Only institutions that the Department determines are eligible, or are granted a waiver, may apply for a grant in this program.

(iii) Be accredited 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, or making reasonable progress toward accreditation, according to such an agency or association (section 502(a)(2)(A)(iv) of the HEA; 20 U.S.C. 1101a(a)(2)(A)(iv));

(iv) Be legally authorized to provide, and provides within the State, an education program for which the institution awards a bachelor's degree (section 502(a)(2)(A)(iii) of the HEA; 20 U.S.C. 1101a(a)(2)(A)(iii)), or be a junior or community college (section 502(a)(2)(A)(iii) of the HEA; 20 U.S.C. 1101a(a)(2)(A)(iii));

(v) Have an enrollment of undergraduate FTE students that is at least 25 percent Hispanic students at the end of the award year immediately preceding the date of application (section 502(a)(5)(B) of the HEA; 20 U.S.C. 1101a(a)(5)(B)); and

(vi) Provide, as an attachment to the application, the documentation the IHE relied upon in determining that at least 25 percent of the IHE's undergraduate FTE students are Hispanic. The 25 percent requirement applies only to undergraduate Hispanic students and is calculated based upon FTE students as defined in section 502(a)(4) of the HEA. Instructions for formatting and submitting the verification documentation to Grants.gov are in the application package for this competition.

(b) For this program, the "end of the award year immediately preceding the date of application" refers to the end of the fiscal year prior to the application due date. For purposes of this competition, the data that we will use to determine percent enrollment is for academic year 2018-2019.



(c) In considering applications for grants under this program, the Department will compare the data and documentation the institution relied on in its application with data reported to the Department's Integrated Postsecondary Education Data System (IPEDS), the IHE's State-reported enrollment data, and the institutional annual report. If different percentages or data are reported in these various sources, the institution must, as part of the 25 percent assurance verification, explain the reason for the differences. If the IPEDS data show that less than 25 percent of the institution's undergraduate FTE students are Hispanic, the burden is on the institution to show that the IPEDS data are inaccurate. If the IPEDS data indicate that the institution has an undergraduate FTE less than 25 percent, and the institution fails to demonstrate that the IPEDS data are inaccurate, the institution will be considered ineligible.

(d) A grantee under the DHSI Program, which is authorized by title V of the HEA, may not receive a grant under any HEA, title III, part A or part B program (section 505 of the HEA; 20 U.S.C. 1101d). The title III, part A programs include: the Strengthening Institutions Program; the American Indian Tribally Controlled Colleges and Universities Program; the Alaska Native and Native Hawaiian-Serving Institutions Programs; the Asian American and Native American Pacific Islander-Serving

Institutions Program; the Predominantly Black Institutions program; and the Native American-Serving Non-Tribal Institutions Program. Furthermore, a current DHSI Program grantee may not give up its HSI grant in order to receive a grant under any title III, part A program (34 CFR 606.2(c)(1)).

(e) An eligible HSI may only submit one Individual Development Grant application.

(f) Nothing in this notice alters a grantee's obligations to comply with nondiscrimination requirements in the U.S. Constitution and Federal civil rights laws, including on the basis of race or ethnicity, among others.

2. Cost Sharing or Matching: This program does not require cost sharing or matching unless the grantee uses a portion of its grant for establishing or improving an endowment fund. If a grantee uses a portion of its grant for endowment fund purposes, it must match or exceed those grant funds with non-Federal funds (section 503(c)(2) of the HEA; 20 U.S.C. 1101b(c)(2)).

3. Supplement-Not Supplant: This program involves supplement-not-supplant funding requirements. Grant funds shall 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 606.30(b)).

4. Subgrantees: Under 34 CFR 75.708(b) and (c), a grantee under this competition may award subgrants--to directly carry out project activities described in its application--to the following types of entities: local educational agencies; State educational agencies; IHEs; nonprofit organizations. The grantee may award subgrants to entities it has identified in an approved application or that it selects through a competition under procedures established by the grantee.

#### 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 February 13, 2019 (84 FR 3768), and available at [www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf](http://www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf), which contain requirements and information on how to submit an application.

2. Submission of Proprietary Information: Given the types of projects that may be proposed in applications for the DHSI Program, your application may include business information that you consider proprietary. In 34 CFR 5.11 we define "business information" and describe the process we use in determining whether any of that information is proprietary and, thus, protected from disclosure under Exemption 4 of the Freedom of Information Act (5 U.S.C. 552, as amended).

An applicant may wish to request confidentiality of business information because successful applications may be made available to the public, if requested.

Consistent with Executive Order 12600, please designate in your application any information that you believe is exempt from disclosure under Exemption 4. In the appropriate Appendix section of your application, under "Other Attachments Form," please list the page number or numbers on which we can find this information. For additional information please see 34 CFR 5.11(c).

3. 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.

4. Funding Restrictions: We specify unallowable costs in 34 CFR 606.10(c). We reference additional regulations outlining funding restrictions in the Applicable Regulations section of this notice.

5. Recommended Page Limit: The application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. We recommend that you (1) limit the application narrative to no more than 55 pages and (2) 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 applies to the Project Narrative, which is your complete response to the selection criteria, and any response to the competitive preference priorities, if applicable. However, the page limit does not apply to the Application for Federal Assistance form (SF-424); the ED SF-424 Supplement form; the Budget Information--Non-Construction Programs form (ED 524); the assurances and certifications; or the one-page project abstract, the program profile form, and supporting budget narrative.

6. Notice of Intent to Apply: The Department will be able to review grant applications more efficiently if we know the approximate number of applicants that intend to apply. Therefore, we strongly encourage each potential applicant to notify us of their intent to submit an application. To do so,

please email the program contact person listed under FOR FURTHER INFORMATION CONTACT with the subject line "Intent to Apply," and include the applicant's name and a contact person's name and email address. Applicants that do not submit a notice of intent to apply may still apply for funding; applicants that do submit a notice of intent to apply are not bound to apply or bound by the information provided.

#### V. Application Review Information

1. Selection Criteria: The selection criteria for this competition are from 34 CFR 75.210, 606.8, and 606.22 and are as follows:

(a) Quality of the applicant's comprehensive development plan. (up to 25 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 (up to 5 points);

(2) The goals for the institution's academic programs, institutional management, and fiscal stability are realistic and based on comprehensive analysis (up to 5 points);

(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 (up to 5 points);

(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 (up to 5 points); and

(5) The plan clearly and comprehensively describes the five-year plan to improve its services to Hispanic and other low-income students (up to 5 points).

Note: A comprehensive development plan is an institution's strategy for achieving growth and self-sufficiency by strengthening its--

- (1) Academic programs;
- (2) Institutional management; and
- (3) Fiscal stability.

(b) Quality of the project design. (up to 15 points)

The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers the following:

(1) The extent to which the proposed project demonstrates a rationale (as defined in this notice) (up to 10 points); and

(2) The extent to which the proposed project is supported by promising evidence (as defined in this notice) (up to 5 points).

Note: To establish that their projects "demonstrate a rationale," applicants must use a logic model (as defined in this notice). To establish that their projects are supported by "promising evidence," applicants should cite the supporting study or studies that meets the conditions in the definition of "promising evidence" and attach the studies as part of the application attachments. In addressing "promising evidence," applicants are encouraged to align the direct student services proposed in this application to evidence-based practices identified in the selected studies.

(c) Quality of activity objectives. (up to 10 points)

The extent to which the objectives for each activity are--

(1) Realistic and defined in terms of measurable results (up to 5 points); and

(2) Directly related to the problems to be solved and to the goals of the comprehensive development plan (up to 5 points).

(d) Quality of implementation strategy. (up to 20 points)

The extent to which--

(1) The implementation strategy for each activity is comprehensive (up to 10 points);



(2) The rationale for the implementation strategy for each activity is clearly described and is supported by the results of relevant studies or projects (up to 5 points); and

(3) The timetable for each activity is realistic and likely to be attained (up to 5 points).

(e) Quality of project management plan. (up to 10 points)

The extent to which--

(1) Procedures for managing the project are likely to ensure efficient and effective project implementation (up to 5 points); 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 (up to 5 points).

(f) Quality of key personnel. (up to 5 points)

The extent to which--

(1) The past experience and training of key professional personnel are directly related to the stated activity objectives (up to 2 points); and

(2) The time commitment of key personnel is realistic (up to 3 points).

(g) Quality of evaluation plan. (up to 10 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 (up to 5 points); 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 (up to 5 points).

(h) Budget. (up to 5 points)

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

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 in this notice, as well as the competitive preference priorities. 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.

Tiebreaker: In tie-breaking situations for development grants described in 34 CFR 606.23(b), the DHSI Program regulations in 34 CFR part 606, subpart C require that we award additional points to an application from an IHE that--

(1) Has an endowment fund of which the current market value, per FTE enrolled student, is less than the average current market value of the endowment funds, per FTE enrolled student, at comparable institutions that offer similar instruction;

(2) Has expenditures for library materials per FTE enrolled student that are less than the average expenditures for library materials per FTE enrolled student at comparable institutions that offer similar instruction; or

(3) Proposes to carry out one or more of the following activities--

(i) Faculty development (1 point);

(ii) Funds and administrative management (1 point);

(iii) Development and improvement of academic programs (2 points);

(iv) Acquisition of equipment for use in strengthening management and academic programs (1 point);

(v) Joint use of facilities (2 points); or

(vi) Student services (2 points).

If a tie remains after applying the tiebreaker mechanism above, priority will be given to applicants that addressed the statutory priority found in section 521(d) of the HEA (20 U.S.C. 1071).

If a tie still remains after applying the additional point(s) and the relevant statutory priority, we will determine the ranking of applicants based on the applicant that scores the highest under the selection criteria, quality of the applicant's comprehensive development plan, followed by quality of implementation strategy.

3. Risk Assessment and Specific Conditions: Consistent with 2 CFR 200.205, before awarding grants under this program, the Department conducts a review of the risks posed by applicants. Under 2 CFR 3474.10, the Secretary may impose

specific conditions and, 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 200.205(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.

#### 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 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](http://www.ed.gov/fund/grant/apply/appforms/appforms.html). (c)

Under 34 CFR 75.250(b), the Secretary may provide a grantee with additional funding for data collection analysis and reporting. In this case, the Secretary establishes a data collection period.

5. Performance Measures: The Secretary has established the following key performance measures for assessing the effectiveness of the DHSI Program:

(a) The annual rate of degree or certificate completion for all students, and specifically for Hispanic students, at DHSI grantee institutions.

(b) The annual persistence rate at DHSI grantee institutions for all students, and for Hispanic students in particular, from one year to the next.

(c) The percentage of all students, and of Hispanic students in particular, that transfer from a two-year HSI to a four-year institution.

(d) The number of all students, and the number of Hispanic students in particular, served by any direct student service supported by the grant.



(e) The Federal cost per undergraduate and graduate degree at institutions in the DHSI program.

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, 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: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) on request to the program contact person listed under FOR FURTHER INFORMATION CONTACT.

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](http://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](http://www.federalregister.gov). Specifically, through the advanced search feature at this site, you can limit your search to documents published by the Department.

Dated:

---

Robert L. King,  
Assistant Secretary  
for Postsecondary Education.

## Title V Program Statute

### **TITLE V—DEVELOPING INSTITUTIONS PART A—HISPANIC-SERVING INSTITUTIONS**

#### **SEC. 501. FINDINGS; PURPOSE; AND PROGRAM AUTHORITY.**

(a) FINDING. -- Congress makes the following findings:

(1) Hispanic Americans are at high risk of not enrolling or graduating from institutions of higher education.

(2) Disparities between the enrollment of non-Hispanic white students and Hispanic students in postsecondary education are increasing. Between 1973 and 1994, enrollment of white secondary school graduate in 4-year institutions of higher education increased at a rate two times higher than that of Hispanic secondary school graduates.

(3) Despite significant limitations in resources, Hispanic-serving institutions provide a significant proportion of postsecondary opportunities for Hispanic students.

(4) Relative to other institutions of higher education, Hispanic-serving institutions are underfunded. Such institutions receive significantly less in State and local funding, per full-time equivalent student, than other institutions of higher education.

(5) Hispanic-serving institutions are succeeding in educating Hispanic students despite significant resources problems that--

(A) limit the ability of such institutions to expand and improve the academic programs of such institutions; and

(B) could imperil the financial and administrative stability of such institutions.

(6) There is a national interest in remedying the disparities described in paragraphs (2) and (4) and ensuring that Hispanic students have an equal opportunity to pursue postsecondary opportunities.

(b) Purpose. -- The purpose of this title is to--

(1) expand educational opportunities for, and improve the academic attainment of Hispanic students, and;

(2) expand and enhance the academic offerings, program quality, and institutional stability of colleges and universities that are educating the majority of Hispanic college students and helping large number of Hispanic students and other low-income individuals complete postsecondary degrees.

(c) Program Authority. -- The Secretary shall provide grants and related assistance to Hispanic-serving institutions to enable such institutions to improve and expand their capacity to serve Hispanic students and other low-income individuals.

#### SEC. 502. DEFINITIONS; ELIGIBILITY.

(a) Definitions. For the purpose of this title:

(1) EDUCATIONAL AND GENERAL EXPENDITURES. The term “educational and general expenditures” means the total amount expended by an institution for instruction, research, public service, academic support (including library expenditures), student services, institutional support, scholarships and fellowships, operation and maintenance expenditures for the physical plant, and an mandatory transfers that the institution is required to pay by law.

(2) ELIGIBLE INSTITUTION. The term “eligible institution” means--

(A) an institution of higher education--

(i) has an enrollment of needy students as required by subsection (b);

(ii) except as provided in section 512(b), the average educational and general expenditures of which are low, per full time equivalent undergraduate student, in comparison with the average educational and general expenditures per full time equivalent undergraduate student of institutions that offer similar instruction:

(iii) that is--

(I) legally authorized to provide, and provides within the State, an education program for which the institution awards a bachelor’s degree or

(II) a junior or community college;

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

(v) that meets such other requirements as the Secretary may prescribe; and

(vi) that is located in a State; and

(B) any branch of any institution of higher education described under subparagraph (A) that by itself satisfies the requirements contained in clauses (I) and (ii) of such subparagraph. For purposes of the determination of whether an institution is an eligible institution under this paragraph, the factor described under subparagraph (A)(I) shall be given twice the weight of the factor described under subparagraph (A)(ii).

(3) ENDOWMENT FUND.-- The term “endowment fund” means a fund that

(A) is established by State law, by a Hispanic-serving institution, or by a foundation that is exempt from Federal income taxation;

(B) is maintained for the purpose of generating income for the support of the institution; and

(C) does not include real estate.

(4) FULL-TIME EQUIVALENT STUDENTS.--The term “full-time equivalent students” means the sum of the number of students enrolled full time at an institution, plus the full-time equivalent of the number of students enrolled part time (determined on the basis of the quotient of the sum of the credit hours or all part-time student divided by 12) at such institution.

(5) HISPANIC-SERVING INSTITUTION.-- The term “Hispanic-Serving institution” means an institution of higher education that—

(A) is an eligible institution; and

(B) has an enrollment of undergraduate full-time equivalent students that is at least 25 percent Hispanic students at the end of the award year immediately preceding the date of application.

(6) JUNIOR OR COMMUNITY COLLEGE. The term “junior or community college” means an institution of higher education--

(A) that admits as regular students persons who are beyond the age of compulsory school attendance in the State in which the institution is located and who have the ability to benefit from the training offered by the institution;

(B) that does not provide an educational program for which the institution awards a bachelor’s degree (or an equivalent degree); and

(C) that--

(i) provides an educational program of not less than 2 years in duration that is acceptable for full credit toward such a degree; or

(ii) offers a 2-year program in engineering, mathematics or the physical or biological sciences, designed to prepare a student to work as a technician or a the semiprofessional level in engineering, scientific, or other technological fields requiring the understanding the application of basic engineering, scientific, or mathematical principles of knowledge.

(b) Enrollment of Needy Students.-- For the purpose of this title, the term “enrollment of needy students” means an enrollment at an institution with respect to which--

(1) at least 50 percent of the degree students so enrolled are receiving need-based assistance under title IV in the second fiscal year preceding the

fiscal year for which the determination is made (other than loans for which an interest subsidy is paid pursuant to section 428); or

(2) a substantial percentage of the students so enrolled are receiving Federal Pell Grants in the second fiscal year preceding the fiscal year for which determination is made compared to the percentage of students receiving Federal Pell Grants at all such institutions in the second fiscal year preceding the fiscal year for which the determination is made, unless the requirement of this paragraph is waived under section 512(a).

#### SEC. 503. AUTHORIZED ACTIVITIES.

(a) TYPES OF ACTIVITIES AUTHORIZED. Grants awarded under this title shall be used by Hispanic-serving institutions of higher education to assist the institutions to plan, develop, undertake, and carry out programs to improve and expand such institutions' capacity to serve Hispanic students and other low-income students.

(b) AUTHORIZED ACTIVITIES. Grants awarded under this section shall be used for one or more of the following activities:

(1) Purchase, rental or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.

(2) Construction, maintenance, renovation, and improvement in classrooms, libraries, laboratories, and other instructional facilities.

(3) Support of faculty exchanges, faculty development, curriculum development, academic instruction, and faculty fellowships to assist in attaining advanced degrees in the fellow's field of instruction.

(4) Purchase of library books, periodicals, and other educational materials, including telecommunications program material.

(5) Tutoring, counseling, and student service programs designed to improve academic success.

(6) Funds management, administrative management, and acquisition of equipment for use in strengthening funds management.

(7) Joint use of facilities, such as laboratories and libraries.

(8) Establishing or improving a development office to strengthen or improve contributions from alumni and the private sector.

(9) Establishing or improving an endowment fund.

(10) Creating or improving facilities for Internet or other distance learning academic instruction capabilities, including purchase or rental of telecommunications technology equipment or services.

(11) Establishing or enhancing a program or teacher education designed to qualify students to teach in public elementary schools and secondary schools.

(12) Establishing community outreach programs that will encourage elementary school and secondary school students to develop the academic skills and the interest to pursue postsecondary education.

(13) Expanding the number of Hispanic and other underrepresented graduate and professional students that can be served by the institution by expanding courses and institutional resources.

(14) Other activities proposed in the application submitted pursuant to section 504 that --

(A) that contribute to carrying out the purposes of this title

(B) are approved by the Secretary as part of the review and acceptance of such application.

(c) Endowment fund limitations. --

(1) Portion of a grant. -- A Hispanic-serving institution may not use more than 20 percent of the grant funds provided under this title for any fiscal year for establishing or improving an endowment fund.

(2) Matching required. -- A Hispanic-serving institution that uses any portion of the grant funds provided under this title for any fiscal year for establishing or improving and endowment fund shall provide from non-Federal funds an amount equal to or greater than the portion.

(3) Comparability. -- The provisions of part C of subchapter III of this chapter regarding the establishment or increase of an endowment fund, that the Secretary determines are not inconsistent with this subsection, shall apply to funds used under paragraph (1).

#### SEC. 504. DURATION OF GRANT

(a) Award Period - The Secretary may award a grant to a Hispanic-serving institution under this title for 5 years.

(b) Planning grants. Notwithstanding subsection (a), the Secretary may award a grant to a Hispanic-serving institution under this part for a period of one year for the purpose of preparation of plans and applications for a grant under this title.

#### SEC. 505. SPECIAL RULE

No Hispanic-serving institution that is eligible for and receives funds under this title may concurrently receive other funds under part A or B of Title III during the period for which funds under this title are awarded.

### **PART B--GENERAL PROVISIONS**

#### SEC. 511. ELIGIBILITY; APPLICATION.

(a) Institutional Eligibility. Each Hispanic-serving institution desiring to receive assistance under this title shall submit to the Secretary such enrollment data as may be necessary to demonstrate that the institution is a Hispanic-serving institution as defined in section 502, along with such other data and information as the Secretary may be regulation require.

(b) Applications.

(1) Applications required. Any institution which is eligible for assistance under this subchapter shall submit to the Secretary an application for assistance at such time, in such form, and containing such information, as may be necessary to enable the Secretary to evaluate the institution's need for assistance. Subject to the availability of appropriations to carry out this title, the Secretary may approve an application for a grant under this title only if the Secretary determines that-

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

(B) the institution is eligible for assistance in accordance with the provisions of this title under which the assistance is sought.

(2) Preliminary Applications. -- In carrying out paragraph (1), the Secretary may develop a preliminary application for use by Hispanic-serving institutions applying under this title prior to the submissions of the principal application.

(c) Contents. A Hispanic-serving institution, in the institution's application for a grant, shall -

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

(2) include a 5-year plan for improving the assistance provided by the Hispanic-serving institution to Hispanic students and other low-income individuals;

(3) set forth policies and procedures to ensure that Federal funds made available under this subchapter for any fiscal year will be used to supplement and, to the extent practical, increase the funds that would otherwise be made available for the purposes of section 501(b), and in no case supplant those funds;

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

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

(6) provide that the institution will comply with the limitations set forth in Section 516;

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



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

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

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

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

(E) a detailed description of any activity which involves the expenditure of more than \$25,000, as identified in the budget referred to in subparagraph (E); and

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

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

(d) Priority. With respect to applications for assistance under this section, the Secretary shall give priority to an application that contains satisfactory evidence that the Hispanic-serving institution has entered into or will enter into a collaborative arrangement with at least one local education agency or community-based organization to provide such agency or organization with assistance (from funds other than funds provided under this title) in reducing dropout rates for Hispanic students, improving rates of academic achievement for Hispanic students, and increasing the rates at which Hispanic secondary school graduates enroll in higher education.

(e) Eligibility Data. The Secretary shall use the most recent and relevant data concerning the number and percentage of students receiving need-based assistance under IV in making eligibility determinations and shall advance the base-year for the determinations forward following each annual grant cycle.

## SEC. 512. WAIVER AUTHORITY AND REPORTING REQUIREMENT

(a) Waiver requirements; need-based assistance students. The Secretary may waive the requirements set forth in section 502(a)(2)(A)(I) in the case of an institution

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

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

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

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

(5) wherever located, if the Secretary determines that the waiver will substantially increase higher education opportunities appropriate to the needs of Hispanic Americans.

(b) Waiver determinations; expenditures-- (1) The Secretary may waive the requirements set forth in section 502(a)(2)(A)(ii) if the Secretary determines, based on persuasive evidence submitted by the institution, that the institution's failure to meet that criterion is due to factors which, when used in the determination of compliance with such criterion, distort such determination, and that the institution's designation as an eligible institution under part A is otherwise consistent with the purposes of this title.

(2) Expenditures--The Secretary shall submit to the Congress every other year a report concerning the institutions that, although not satisfying the requirements of section 502(a)(2)(A)(ii), have been determined to be eligible institutions under part A. Such report shall--

(A) identify the factors referred to in paragraph (1) which were considered by the Secretary as factors that distorted the determination of compliance with clauses (I) and (ii) of section 502(a)(2)(A); and

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

## SEC. 513. APPLICATION REVIEW PROCESS

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

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

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

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

(c) Recommendations of panel. In awarding grants under this title, the Secretary shall take into consideration the recommendations of the panel made under subsection (a).

(d) Notification. Not later than June 30 of each year, the Secretary shall notify each Hispanic-serving institution making an application under this title of

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

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

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

#### SEC. 514. COOPERATIVE ARRANGEMENTS

(a) General authority. The Secretary may make grants to encourage cooperative arrangements with funds available to carry out this title, between Hispanic-serving institutions eligible for assistance under this title and between such institutions and institutions not receiving assistance under this title, for assistance under this title, for the activities described in section 503 so that the resources of the cooperating institutions might be combined and shared in order to achieve the purposes of this title, to avoid costly duplicative efforts and to enhance the development of part A and part B eligible institutions.

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

(c) Duration. Grants to Hispanic-serving institutions having a cooperative arrangement may be made under this section for a period as determined under section 505.

#### SEC. 515. ASSISTANCE TO INSTITUTIONS UNDER OTHER PROGRAMS

(a) Assistance eligibility. Each Hispanic-serving institution that the Secretary determines to be an institution eligible under this title may be eligible for waivers in accordance with subsection (b).

(b) Waiver applicability

(1) In General-Subject to, and in accordance with, regulations promulgated for the purposes of this section, in the case of any application by a Hispanic-serving institution referred to in subsection (a) for assistance under any programs specified in paragraph (2), the Secretary is authorized, if such application is otherwise approvable, to waive any requirement for a non-Federal share of the cost of the program or project, or, to the extent not inconsistent with other law, to give, or require to be given, priority consideration of the application in relation to applications from other institutions.

(2) The provisions of this section shall apply to any program authorized by Title IV or section 604.

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

#### SEC. 516. LIMITATIONS

The funds appropriated under section 518 may not be used

- (1) for a school or department of divinity or any religious worship or sectarian activity;
- (2) for an activity that is inconsistent with a State plan for desegregation of higher education applicable to a Hispanic-serving institution;
- (3) for an activity that is inconsistent with a State plan of higher education applicable to a Hispanic-serving institution; or
- (4) for purposes other than the purposes set forth in the approved application under which the funds were made available to a Hispanic-serving institution.

#### SEC. 517. PENALTIES

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

#### SEC. 518. AUTHORIZATIONS OF APPROPRIATIONS

- (a) Authorizations. -- There are authorized to be appropriated to carry out this title \$62,500,000 for fiscal year 1999, and such sums as may be necessary for each of the 4 succeeding fiscal years.
- (b) Use of multiple year awards. In the event of a multiple year award to any Hispanic-serving institution under this title, the Secretary shall make funds available for such award from funds appropriated for this title for the fiscal year in which such funds are to be used by the institution.

## **EXECUTIVE ORDER 12372 (Intergovernmental Review of Federal Programs)**

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

The process for doing this requires grant applicants to contact State Single Points of Contact for information on how this works. Multi-state applicants should follow procedures specific to each state.

Further information about the State Single Point of Contact process and a list of names by State can be found at:

<http://www.whitehouse.gov/omb/grants/spoc.pdf>

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372—CFDA# 84.031S, 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 4:30 p.m. (Eastern Time) on the closing date indicated in this notice.

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

# General Education Provisions Act (GEPA)

## Section 427

Section 427 requires each applicant 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 section allows applicants discretion in developing the required description. The statute highlights six barriers that can impede equitable access or participation that you may address: *gender, race, national origin, color disability, or age.*

A general statement of an applicant's nondiscriminatory hiring policy is not sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers.

### \*Notes:

- Applicants are required to address this provision by uploading a statement to the ED GEPA 427 Form that must be downloaded from Grants.gov.
- All applicants must include information in their applications to address this provision in order to receive funding under this program.

## **Government Performance and Results Act (GPRA)**

### **What is GPRA?**

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

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

As required by GPRA, the Department of Education has prepared a strategic plan for 2014-2018. 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: Postsecondary Education, Career and Technical Education, and Adult Education.

Increase college access, affordability, quality, and completion by improving postsecondary education and lifelong learning opportunities for youths and adults.

Goal 2: Elementary and Secondary Education. Improve the elementary and secondary education system's ability to consistently deliver excellent instruction aligned with rigorous academic standards while providing effective support services to close achievement and opportunity gaps, and ensure all students graduate high school college- and career-ready.

Goal 3: Early Learning. Improve the health, social-emotional, and cognitive outcomes for all children from birth through 3<sup>rd</sup> grade, so that all children, particularly those with high needs, are on track for graduating from high school college- and career-ready.

Goal 4: Equity. Increase educational opportunities for underserved students and reduce discrimination so that all students are well-positioned to succeed.

Goal 5: Continuous Improvement of the U.S. Education System. Enhance the education system's ability to continuously improve through better and more widespread use of data, research and evaluation, evidence, transparency, innovation, and technology.

Goal 6: U.S. Department of Education Capacity. Improve the organizational capacities of the Department to implement this strategic plan.

### **What are the Performance Indicators for the DHSI Program?**

The performance indicators for the Developing Hispanic-Serving Institutions Program are part of the Department's plan for meeting Goal 1. The Developing Hispanic-Serving Institutions Program's overarching goal is: To improve the capacity of minority-serving institutions, which

traditionally have limited resources and serve large numbers of low-income and minority students, to improve student success and to provide high-quality educational opportunities for their students.

The specific performance indicators for the DHSI Program are as follows:

- a. The annual rate of degree or certificate completion for all students, and specifically for Hispanic students, at DHSI grantee institutions.
- b. The annual persistence rate at DHSI grantee institutions for all students, and for Hispanic students in particular, from one year to the next.
- c. The percent of all students, and of Hispanic students in particular, that transfer from a 2-year HSI to a 4-year institution.
- d. The annual percent change in the number of Hispanic Students completing a teacher preparation program.
- e. The number of all students, and the number of Hispanic students in particular, served by any direct student service supported by the grant.
- f. Federal cost per undergraduate and graduate degree at institutions in the DHSI program.

**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.

The most recent version of this program's annual performance report can be viewed at <https://hepis.ed.gov>. To access your institution's annual performance reports, go the Contact Us tab to make the request.



## Instructions for Completing the Application

The DHSI application within Grants.gov consists of standard forms and assurances along with forms that allow you to upload attachments. All attachments must be in .pdf format. Although Grants.gov allows various file types to be uploaded, you must only upload .pdf files when submitting applications to the Department of Education. This is due to functionality constraints within the Department's grants system which interfaces with Grants.gov to receive applications.

The forms are as follows:

1. **Application for Federal Assistance (SF 424)** - Complete all required fields.
2. **Assurances – Non-Construction Programs (SF 424B)** - Complete all required fields.
3. **Certification Regarding Lobbying** - Complete all required fields.
4. **Disclosure of Lobbying Activities (SF-LLL)** - Complete all required fields.
5. **GEPA Section 427 requirement** - Applicants must upload a GEPA statement here. Instructions are found within this application.
6. **Department of Education Supplemental Information for the SF 424** – Complete all required fields.
7. **U.S. Department of Education Budget Information Non-Construction Programs (SF 524)** - Applicants should include costs for all 5 project years. Section B of this form should only be completed if an Endowment Fund is one of your proposed activities since it requires matching grant funds with non-federal funds. Section C (budget narrative) of this form should be left blank. Applicants will upload their Budget Narrative to the “Budget Narrative Attachment Form” within Grants.gov. **Note:** Indirect costs are not allowed under this program.
8. **Evidence Form**- Use this form when responding to selection criterion, “Quality of the Project Design.” To establish that the proposed project is supported by “promising evidence,” applicants should cite the supporting study or studies that meet the conditions in the definition of “promising evidence” and attach the studies as part of the application attachments. **Note:** See the Definitions section in the Notice Inviting Applications for more information on “promising evidence.”
9. **ED Abstract Form** –Here is where you will upload a one-page project abstract that will provide an overview of the proposed project. Include the name of the applicant institution. You must upload the abstract in .pdf format.
10. **Project Narrative Attachment Form:** Here is where you will upload the responses to the selection criteria and if applicable, the competitive preference priority response that will be used to evaluate your application. The recommended page limit is 55 pages.

11. **Budget Narrative Attachment Form** - Here is where you upload a detailed supporting narrative explaining the proposed costs for each year of the performance period. Total costs per year should mimic the costs stated on the ED-524 form. Include the level of effort (time commitment) per year for key personnel. You must upload the supporting narrative in .pdf format. Note: The Budget Narrative response here is different than the response to the “Quality of the Budget” Selection Criterion. To respond to “Quality of the Budget,” applicants defend proposed costs (i.e. Are the costs that you are proposing reasonable and necessary? How were the costs determined?).

12. **Other Attachments Form** - Here is where you upload the completed DHSI Program Profile form found within this Application Instructions Booklet. You should recreate the form, complete all fields, include all required supporting documentation, and save the form as a .pdf file. When you recreate the form, be sure not to change any of the original language. This form is mandatory. If it is missing from your application, your application may be deemed ineligible.

**NOTE:** Please do not attach any miscellaneous narratives, supporting files, or application components to the standard forms (SF Forms) within Grants.gov. Although the forms accept optional attachments, please do not upload attachments there. If you deem it necessary, you may upload miscellaneous attachments to “Other Attachments Form,” but be mindful that uploaded information that is not required in the Notice may not be reviewed.

Remember, all attachments must be in .pdf format. Although Grants.gov allows various file types to be uploaded, you must only upload .pdf files when submitting applications to the Department of Education. This is due to functionality constraints within the Department’s grants system which interfaces with Grants.gov to receive applications.

## **Instructions for Standard Forms:**

- **APPLICATION FOR FEDERAL ASSISTANCE - (SF 424)**
- **U.S. DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR THE SF-424 (SF 424)**
- **U.S. DEPARTMENT OF EDUCATION BUDGET INFORMATION NON-CONSTRUCTION PROGRAMS (ED 524)**
- **DISCLOSURE OF LOBBYING ACTIVITIES (SF-LLL)**
- **GENERAL EDUCATION PROVISIONS ACT (GEPA)**
- **EVIDENCE FORM**

## INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

This is a standard form (including the continuation sheet) 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 items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:
1.	<b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Pre-application</li> <li>• Application</li> <li>• Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.</li> </ul>	10.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	<b>Type of Application: (Required) Select one type of application in accordance with agency instructions.</b> <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.  A. Increase Award      B. Decrease Award  C. Increase Duration    D. Decrease Duration  E. Other (specify)</li> </ul>	12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	<b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	<b>Areas Affected By Project:</b> List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.		
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.	16.	<b>Congressional Districts Of:</b> (Required) 16a. Enter the applicant's Congressional District, and 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 <sup>th</sup> district, CA-012 for California 12 <sup>th</sup> district, NC-103 for North Carolina's 103 <sup>rd</sup> district. <ul style="list-style-type: none"> <li>• 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.</li> <li>• If nationwide, i.e. all districts within all states are affected, enter US-all.</li> <li>• If the program/project is outside the US, enter 00-000.</li> </ul>
5b.	<b>Federal Award Identifier:</b> For new applications leave blank. 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.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		

	<p><b>a. Legal Name:</b> (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.</p> <p><b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.</p> <p><b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.</p> <p><b>d. Address:</b> Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p> <p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p> <p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>	17.	<p><b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.</p>		
		18.	<p><b>Estimated Funding:</b> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.</p>		
		19.	<p><b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> 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</p>		
		20.	<p><b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>		
9.	<p><b>Type of Applicant: (Required)</b>  <b>Select up to three applicant type(s) in accordance with agency instructions.</b></p> <table border="0" style="width: 100%;"> <tr> <td style="vertical-align: top; width: 50%;"> <p>A. State Government  B. County Government  C. City or Township Government  D. Special District Government  E. Regional Organization  F. U.S. Territory or Possession  G. Independent School District  H. Public/State Controlled Institution of Higher Education  I. Indian/Native American Tribal Government (Federally Recognized)  J. Indian/Native American Tribal Government (Other than Federally Recognized)  K. Indian/Native American Tribally Designated Organization  L. Public/Indian Housing Authority</p> </td> <td style="vertical-align: top; width: 50%;"> <p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)  N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)  O. Private Institution of Higher Education  P. Individual  Q. For-Profit Organization (Other than Small Business)  R. Small Business  S. Hispanic-serving Institution  T. Historically Black Colleges and Universities (HBCUs)  U. Tribally Controlled Colleges and Universities (TCCUs)  V. Alaska Native and Native Hawaiian Serving Institutions  W. Non-domestic (non-US) Entity  X. Other (specify)</p> </td> </tr> </table>	<p>A. State Government  B. County Government  C. City or Township Government  D. Special District Government  E. Regional Organization  F. U.S. Territory or Possession  G. Independent School District  H. Public/State Controlled Institution of Higher Education  I. Indian/Native American Tribal Government (Federally Recognized)  J. Indian/Native American Tribal Government (Other than Federally Recognized)  K. Indian/Native American Tribally Designated Organization  L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)  N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)  O. Private Institution of Higher Education  P. Individual  Q. For-Profit Organization (Other than Small Business)  R. Small Business  S. Hispanic-serving Institution  T. Historically Black Colleges and Universities (HBCUs)  U. Tribally Controlled Colleges and Universities (TCCUs)  V. Alaska Native and Native Hawaiian Serving Institutions  W. Non-domestic (non-US) Entity  X. Other (specify)</p>	21.	<p><b>Authorized Representative:</b> (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. 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.)</p>
<p>A. State Government  B. County Government  C. City or Township Government  D. Special District Government  E. Regional Organization  F. U.S. Territory or Possession  G. Independent School District  H. Public/State Controlled Institution of Higher Education  I. Indian/Native American Tribal Government (Federally Recognized)  J. Indian/Native American Tribal Government (Other than Federally Recognized)  K. Indian/Native American Tribally Designated Organization  L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)  N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)  O. Private Institution of Higher Education  P. Individual  Q. For-Profit Organization (Other than Small Business)  R. Small Business  S. Hispanic-serving Institution  T. Historically Black Colleges and Universities (HBCUs)  U. Tribally Controlled Colleges and Universities (TCCUs)  V. Alaska Native and Native Hawaiian Serving Institutions  W. Non-domestic (non-US) Entity  X. Other (specify)</p>				

# INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

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

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

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

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

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

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

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

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

Department of Education Supplemental Information For SF 424

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

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

## Paperwork Burden Statement

*According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street, S.W. Room 7076, Washington, DC 20202-4260.*

# DEFINITIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

(Attachment to Instructions for Supplemental Information for SF 424)

## Definitions:

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

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

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

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

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

#### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.*

Activities which meet this definition constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

#### —Human Subject

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

#### B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research

involves observation of public behavior and the investigator(s) participate in the activities being observed. [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or

Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

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

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

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

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

**(1) Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities,

agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

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

If the applicant marked “Yes” for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative.

persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable.

**(2) Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

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

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

**(5) Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring



necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

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

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

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

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

## Instructions for ED 524

### Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. Please consult with your Business Office prior to submitting this form.

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

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

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

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

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

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

Indirect Cost Information: If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the federal government. (2): If you checked “yes” in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another federal agency (Other) issued the approved agreement. If you check “Other,” specify the name of the federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

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

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

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

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

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

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

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

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the

grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

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

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

4. Provide other explanations or comments you deem necessary.

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

This disclosure form shall be completed by the reporting entity, whether sub-awardee 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 the 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 sub-award recipient. Identify the tier of the sub-awardee, e.g., the first sub-awardee of the prime is the 1st tier. Sub-awards include but are not limited to subcontracts, subgrants and contract awards under grants.

5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.

6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form; print his/her name, title, and telephone number.

# INSTRUCTIONS FOR COMPLETION OF GENERAL EDUCATION PROVISIONS ACT (GEPA)

OMB Number: 1894-0005  
Expiration Date: 03/31/2017

## NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

### To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

### What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity

concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

### What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

### Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. 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](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1894-0005.

# Instructions for Evidence Form

OMB Number: 1894-0001  
Expiration Date: 05/31/2022

**1. Level of Evidence.** Check the box next to the level of evidence for which you are applying. See the Notice Inviting Applications for the evidence definitions.

**2. Citation and Relevance.** Fill in the chart for each of the studies you are submitting to meet the evidence standards. If allowable under the program you are applying for, you may add additional rows to include more than four citations. (See below for an example citation.)

**a. Citation.** Provide the full citation for each study or WWC publication you are using as evidence. If the study has been reviewed by the WWC, please include the rating it received, the WWC review standards version, and the URL link to the description of that finding in the WWC reviewed studies database. Include a copy of the study or a URL link to the study, if available. Note that, to provide promising, moderate, or strong evidence, you must cite either a specific recommendation from a WWC practice guide, a WWC intervention report, or a publicly available, original study of the effectiveness of a component of your proposed project on a student outcome or other relevant outcome.

**b. Relevant Finding(s).** Describe: 1) the project component included in the study (or WWC practice guide or intervention report) that is also a component of your proposed project, 2) the student outcome(s) or other relevant outcome(s) that are included in both the study (or WWC practice guide or intervention report) and in the logic model (theory of action) for your proposed project, and 3) the study (or WWC intervention report) finding(s) or WWC practice guide recommendations supporting a favorable relationship between a project component and a relevant outcome. Cite page and table numbers from the study (or WWC practice guide or intervention report), where applicable.

**c. Overlap of Population and/or Settings.** Explain how the population and/or setting in your proposed project are similar to the populations and settings included in the relevant finding(s). Cite page numbers from the study or WWC publication, where applicable.

## Supplemental Instructions for the Project Narrative

The project narrative must be uploaded to the “Project Narrative Attachment Form” in Grants.gov.

Before preparing the Project Narrative, applicants should review the program statute, program regulations, and the *Federal Register* Notice for specific guidance and requirements. The Secretary evaluates an application according to the program specific criteria in 34 CFR 606.22 and 34 CFR 75.210. The Project Narrative is where the applicant provides detailed responses to each selection criterion and if applicable, the response to one of the Competitive Preference Priorities. 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. The Project Narrative should be written in a concise and clear manner and be consecutively numbered. We recommend that applicants limit the section of the narrative that addresses the selection criteria and the priority response to no more than **55** pages. Please include a Table of Contents as the first page of the application narrative. The Table of Contents is not included in your page count. Be certain to include the five-year plan to improve services to Hispanic and other low-income students within your Comprehensive Development Plan. Use a separate bold heading for the 5-year plan. The Project Narrative must be uploaded in .pdf format. The Project Narrative is mandatory so if any other format is used, it will not be received by the Department’s grants system and your application may be deemed ineligible. **Note:** If you choose to respond to one of the Competitive Preference Priorities, please include a separate bold heading. The applicant may choose where to include the competitive preference priority response within the project narrative.

**Formatting Recommendations:** 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 all text in charts, tables, and graphs. This excludes titles, headings, footnotes, quotations, references, captions. Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. Use font size 12.

### Applicants MUST address each of the following HSI selection criteria in the Project Narrative:

- |  |                     |
|--|---------------------|
| a. Quality of Comprehensive Development Plan (34 CFR 606.22 (a)) | (25 points)         |
| b. Quality of the Project Design (34 CFR 75.210)                 | (15 points)         |
| c. Quality of the Activity Objectives (34 CFR 606.22 (b))        | (10 points)         |
| d. Quality of the Implementation Strategy (34 CFR 606.22 (c))    | (20 points)         |
| e. Quality of the Project Management Plan (34 CFR 606.22 (e))    | (10 points)         |
| f. Quality of the Key Personnel (34 CFR 606.22 (d))              | ( 5 points)         |
| g. Quality of the Evaluation Plan (34 CFR 606.22 (f))            | (10 points)         |
| h. Quality of the Budget (34 CFR 606.22 (g))                     | ( <u>5 points</u> ) |

<b>Total Maximum Score for Selection Criteria</b>	<b>100 points</b>
<b>Total maximum score for Competitive Preference Priority #1</b>	<b>5 points</b>
<b>Total maximum score for Competitive Preference Priority #2</b>	<b>5 points</b>
<b>TOTAL POSSIBLE SCORE PER APPLICATION</b>	<b>110 POINTS</b>

## SELECTION CRITERIA

### **(a) Quality of the applicant's comprehensive development plan. (Up to 25 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; (up to 5 points)
- (2) The goals for the institution's academic programs, institutional management, and fiscal stability are realistic and based on comprehensive analysis; (up to 5 points)
- (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 (up to 5 points)
- (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. (Up to 5 points)
- (5) The plan clearly and comprehensively describes the five-year plan to improve its services to Hispanic and other low-income students. (up to 5 points)

### **(b) Quality of the project design. (Up to 15 points)**

- (1) The extent to which the proposed project demonstrates a rationale (as defined in this notice). (up to 10 points)
- (2) The extent to which the proposed project is supported by promising evidence (as defined in this notice). (up to 5 points)

Note: To establish that their projects “demonstrate a rationale,” applicants must use a logic model (as defined in this notice). To establish that their projects are supported by “promising evidence,” applicants should cite the supporting study or studies that meets the conditions in the definition of “promising evidence” and attach the studies as part of the application attachments. In addressing “promising evidence,” applicants are encouraged to align the direct student services proposed in this application to evidence-based practices identified in the selected studies.

### **(c) Quality of the activity objectives. (Up to 10 points)**

The extent to which the objectives for each activity are--

- (1) Realistic and defined in terms of measurable results; (up to 5 points) and
- (2) Directly related to the problems to be solved and to the goals of the comprehensive development plan. (up to 5 points)

### **(d) Quality of the implementation strategy. (Up to 20 points)**

The extent to which--

- (1) The implementation strategy for each activity is comprehensive; (up to 10 points)
- (2) The rationale for the implementation strategy for each activity is clearly described and is supported by the results of relevant studies or projects; (up to 5 points) and
- (3) The timetable for each activity is realistic and likely to be attained. (up to 5 points)



**(e) Quality of the project management plan. (Up to 10 points)**

The extent to which--

- (1) Procedures for managing the project are likely to ensure efficient and effective project implementation; (up to 5 points) 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. (up to 5 points)

**(f) Quality of the key personnel. (Up to 5 points)**

The extent to which--

- (1) The past experience and training of key professional personnel are directly related to the stated activity objectives; (up to 2 points) and
- (2) The time commitment of key personnel is realistic. (up to 3 points)

**(g) Quality of the evaluation plan. (Up to 10 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; (up to 5 points)
- (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; (up to 5 points) and

**(h) Quality of the Budget. (up to 5 points)**

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

**YOUR EVALUATION PLAN**

A strong evaluation plan should be included in the application narrative and should be used, as appropriate, to shape the development and implementation of the project from the beginning of the grant period. The plan should include benchmarks to monitor progress toward specific project objectives and outcome measures to assess the impact of the grant funded activities. More specifically, the plan should respond to the factors listed in the evaluation plan section of the selection criteria.

**COMPETITIVE PREFERENCE PRIORITIES**

If applicable, include your response within the Project Narrative. Use a **bold** heading. Applicants may respond to one or both priorities for a total of up to 10 additional points, depending on how well they respond.

**Competitive Preference Priority 1--Fostering Flexible and Affordable Paths to Obtaining Knowledge and Skills (up to 5 additional points).**

Projects that are designed to address at least one of the following priority areas:

- (a) Improving collaboration between education providers and employers to ensure student learning objectives are aligned with the skills or knowledge required for employment in in demand industry sectors or occupations (as defined in section 3(23) of the Workforce Innovation and Opportunity Act of 2014).

(b) Providing work-based learning experiences (such as internships, apprenticeships, and fellowships) that align with in-demand industry sectors or occupations (as defined in section 3(23) of the Workforce Innovation and Opportunity Act of 2014).

IN-DEMAND INDUSTRY SECTOR OR OCCUPATION.—

(A) IN GENERAL.—The term “in-demand industry sector or occupation” means—  
(i) an industry sector that has a substantial current or potential impact (including through jobs that lead to economic self-sufficiency and opportunities for advancement) on the State, regional, or local economy, as appropriate, and that contributes to the growth or stability of other supporting businesses, or the growth of other industry sectors; or (ii) an occupation that currently has or is projected to have a number of positions (including positions that lead to economic self-sufficiency and opportunities for advancement) in an industry sector so as to have a significant impact on the State, regional, or local economy, as appropriate

(c) Creating or expanding opportunities for students to obtain recognized postsecondary credentials in science, technology, engineering, mathematics, or computer science (as defined in this notice).

**Competitive Preference Priority 2--Fostering Knowledge and Promoting the Development of Skills That Prepare Students To Be Informed, Thoughtful, and Productive Individuals and Citizens (up to 5 additional points).**

Projects that are designed to support instruction in personal financial literacy, knowledge of markets and economics, knowledge of higher education financing and repayment (e.g., college savings and student loans), or other skills aimed at building personal financial understanding and responsibility.

## Developing Hispanic-Serving Institutions Program Profile Form

**INSTRUCTIONS:** ALL applicants must complete and submit this profile form. You may copy or recreate this form, but do not amend or modify the required information or format. Please complete all sections of this form. Upon completion, upload this document in .pdf format to the "Other Attachments Form" in Grants.gov.

<p><b>1. Name of Institution/Campus Requesting:</b> (Use your institution's complete name. If your institution is a branch campus, use the parent institution's name but follow it with the name of the branch campus. For example, you would cite the State University of New York- Brockport Campus.)</p>	
<p><b>Institution/Campus OPE ID#:</b></p>	<p><b>DUNS#:</b></p>
<p><b>2. Applicant Address:</b></p> <p>Address of institution:</p> <p>City: _____ State: _____ Zip: _____</p>	
<p><b>3. Title V, Part A allowable activities proposed in this application: (check all that apply.)</b></p> <p>Purchase, rent, lease lab equipment ___; Construction/renovation of facilities: ___; Faculty Development: ___; Curriculum Development: ___; Academic instruction: ___; Faculty fellowships: ___; Purchase of books/supplies/educational materials: ___; Articulation/transfer program: ___; Tutoring: ___; Counseling: ___; Mentoring: ___; FYE program: ___; Summer Bridge program: ___; Other student support service programs: ___; Funds mgmt./Admin. Mgmt.: ___; Equipment/Software purchase: ___; Establishing development office to strengthen alumni/private contributions: ___; Endowment Fund: ___; Distance learning instruction incl. purchase of technology: ___; teacher preparation program: ___; Community outreach to elementary/secondary students: ___; Expanding instruction/resources for graduate/professional students: ___; Other: _____</p> <p>_____</p>	
<p><b>4. Competitive Preference Priorities, if applicable:</b></p> <p>Are you responding to CPP #1 – YES ___ NO ___</p> <p>Are you responding to CPP #2 – YES ___ NO ___</p> <p>Will not respond to either <input type="checkbox"/></p>	
<p><b>5. Prior DHSI Grant Status:</b> If applicable, please list the PR Award numbers of prior DHSI grants that your institution has had in the past 5 years.</p>          	

**6. Level of Effort (time commitment) of Project Director proposed in this application: \_\_\_\_\_%**

List active grants for which the proposed Project Director already serves: (If Project Director is To Be Hired, state "N/A" below.

<b>PR Award Number of grant:</b>	<b>Level of effort:</b>	<b>Final year of performance period:</b>
1.	_____ %	
2.	_____ %	
3.	_____ %	

**7. Endowment Fund Assurance (Check here if you will have an Endowment Fund activity.):**

The institution certifies that it proposes to use no more than twenty percent (20%) of the Developing Hispanic-Serving Institutions Program development grant, made under the authority of Title V, of the Higher Education Act of 1965, as amended to establish or increase the institution's endowment fund. The institution agrees to abide by the Department of Education's regulations governing the Endowment Challenge Grant Program, 34 CFR Part 628, the program statute, and the program regulations, 34 CFR Part 606. The institution further agrees to raise the required matching funds. **YES** \_\_\_\_\_

**8. Dual Submission Certification:** If an institution applies for a grant this fiscal year under Title III programs, it must indicate the programs. (Check all that apply.)

- Strengthening Institutions Program
- American Indian Tribally Controlled Colleges and Universities Program
- Native Hawaiian-Serving Institutions Program
- Alaska Native-Serving Institutions Program

**8a. If your application ranks in funding range for more than one program this fiscal year, please state the preferred order of award acceptance.**

**9. Prior Title III grant status:** Please list the PR Award Numbers for all Title III, Part A and Title III, Part B grant awards that the institution has had in the past 5 five years:

**10. Institutional Assurance Statistics:** See the Application Guide and the Federal Register Notice for HSI Assurance Instructions. For the purpose of verifying demographic data, please provide Hispanic undergraduate FTE for school year 2018-2019 in boxes 10a and 10b.

<p><b>10a. HSI Assurance (institutional data):</b></p> <p>Total Undergraduate FTE Enrollment Count:</p> <p>Hispanic Undergraduate FTE Enrollment Count:</p> <p>Hispanic Undergraduate FTE Percent (%):</p>	<p><b>10b. IPEDS Reported Data:</b></p> <p>Total Undergraduate FTE Enrollment Count:</p> <p>Hispanic Undergraduate FTE Count:</p> <p>Hispanic Undergraduate FTE Percent (%):</p>
--	--

**10c. Eligibility Documentation:** Please provide us with the documentation the institution relied upon in determining that at least 25 percent of the institution’s undergraduate FTE students are Hispanic.

**NOTE:** The Department will cross-reference, for verification, provisional data in the Department’s Integrated Postsecondary Education Data System (IPEDS) for 2018-2019. If there are any differences in the percentages reported in IPEDS and the percentage reported in box 10a of this form, you should explain the differences as a part of your eligibility documentation. If you do not provide data or the Department is unable to verify data submitted by the institution, the Department may deem the applicant ineligible.

**11. Tiebreaker Information:** Enter information below for school year 2018-2019. See the Application Guide and Federal Register Notice for instructions on calculating FTE enrollment.

- a) Total FULL-TIME EQUIVALENT (FTE) students =
- b) Total market value of endowment fund for 2018-2019 =
- c) Total expenditures for library material during 2018-2019 =

**Note:** Failure to provide information requested in items a) and b) above may result in the Department not considering the application under a tie-breaker situation.

**12. Certifying Official (i.e. President, VP, Chancellor, etc):**  
 Name:  
 Title:  
 Contact Number:  
 Email:

**13.** By checking below, the applicant and President of the institution certify that the Institution of Higher Education (IHE) will comply with the statutory requirements, program standards, and program assurance cited in the DHSI program regulations 34 CFR Part 606.  
**Yes** \_\_\_\_\_

# DHSI PROGRAM PROFILE FORM

## INSTRUCTIONS

All applicants must complete the information requested on this page. This form captures information on assurances and eligibility as well as other information. It also serves as the assurance regarding the Hispanic enrollment percent required by the program's statutory language.

**Do not modify content or delete any part 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 form, save it to your computer and upload it to the "Other Attachments Form" in Grants.gov in .pdf format only.

**Item #1-** Provide the complete name of the applicant. If your institution is a branch campus, use the parent institution's name but follow it with the name of the branch campus. (For example, you would cite the State University of New York- Brockport Campus.) If the applicant is a district or foundation, also state the name of the institution that will implement the project. (For example, you would cite Kansas City District- University of Kansas City.)

**Item #2-** Enter complete address of applicant.

**Item #3-** Check all activities that the applicant proposes to implement with this grant.

**Item #4-** Check the box for the Competitive Preference Priority to which the applicant is responding, if applicable. Note: Applicants may respond to 1, both or none of the priorities.

**Item #5-** Past Performance- List all Title V, Part A (Developing Hispanic-Serving Institutions Program) grants that applicant has held in past 5 years.

*34CFR 606.24 -In addition to evaluating an application under the selection criteria, the Secretary evaluates an applicant's performance under any previous development grant awarded under the DHSI Program within five years of the year when the development grant will begin. The Secretary evaluates whether the applicant fulfilled or is making substantial progress toward fulfilling the goals and objectives of the previous grant.*

**Item #6-** If the proposed Project Director has already been selected and currently serves as PD on other awards, state the level of effort for those awards. Also, state the final performance year for those awards. If the PD has not been selected or does not serve as PD on other awards, state N/A.

**Item #7** – Check the box if the applicant proposes endowment fund activities with this grant. **Note:** If the applicant is awarded a grant under this competition, special financial reporting regarding the endowment fund is required.

**Item #8-** Check the box for all Title III, Parts A or B programs for which the applicant is applying or has applied this FY (2020), if applicable.

**Item #8a**—Since an institution that receives funds under this title may **not** concurrently receive other funds under Parts A or B of Title III during the period for which funds under this title are awarded, please state which grant (Title III or Title V) the applicant will accept if it applies for and qualifies for both.

*Per Title V, HSI Statute: SEC. 505. SPECIAL RULE -No Hispanic-serving institution that is eligible for and receives funds under this title may concurrently receive other funds under part A or B of Title III during the period for which funds under this title are awarded.*

**Item #9** –List all Title III, Parts A and B grants for which the applicant currently holds, if applicable. Also, state the final year of the performance period for those awards.

**Item #10- Institutional Assurance Statistics-** The statute governing the Developing Hispanic-Serving Institutions Program (Title V of the Higher Education Act of 1965, as amended (HEA)) requires the applicant to provide an assurance of the following: The applicant has an enrollment of undergraduate full-time equivalent (FTE) students that is at least 25 percent Hispanic students at the end of the award year immediately preceding the date of application.

### **FTE Calculation Instructions**

For the purposes of the calculation, use your institution’s student enrollment count for academic year 2018-2019. Per Title V Program Statute: The term “full –time equivalent students” means the sum of the number of students enrolled full time (whatever the full-time course load is at your institution, count a full-time undergraduate degree student as **one FTE**), plus the full-time equivalent of the number of students enrolled part time.

To determine the FTE for part-time undergraduate students, total the number of credit hours of all part-time undergraduate students. Include both part-time degree students and part-time unclassified students. Divide the total number of credit hours for the part-time undergraduate students by **twelve (12)**. The result is the FTE for part-time undergraduate students.

*Note: An unclassified undergraduate student is one who is not a candidate for a degree or other formal award but is taking courses for credit in regular classes with undergraduate degree students. However, both classified and unclassified undergraduate students enrolled must be in a program of at least two years in length that would result in the award of a certificate, associate degree or other educational credential.*

**Item #10a-** Provide the Undergraduate FTE Enrollment Count as reported to the state: Add the FTE of full-time undergraduate students and the FTE of part-time undergraduate students.

Provide the **Hispanic** Undergraduate FTE Enrollment Count as reported to the state: Add the FTE of full-time undergraduate Hispanic students and the FTE of part-time undergraduate Hispanic students.

Provide the Undergraduate FTE Hispanic Percent as reported to the state: Divide the Hispanic Undergraduate FTE Enrollment Count by the Total Undergraduate FTE Enrollment Count.

**Item #10b-** Provide the Undergraduate FTE Enrollment Count as provided by IPEDS.

Provide the **Hispanic** Undergraduate FTE Enrollment Count as provided by IPEDS.

Provide the Undergraduate FTE Hispanic Percent as provided by IPEDS.

**Item #10c-** Provide documentation the institution relied upon in determining that at least 25 percent of the institution's undergraduate FTE students are Hispanic.

*The Department will cross-reference, for verification, provisional data reported to the Department's Integrated Postsecondary Education Data System (IPEDS) and the institution's state reported enrollment data for school year 2018-2019. If there are any differences in the percentages, the institution should explain the differences as a part of its eligibility documentation in section 10c. Be advised that if the applicant does not provide data or the Department is unable to verify data submitted by the institution, the applicant may be deemed ineligible.*

**Item #11- Tiebreaker-**34 CFR 606.23 states that if funds are available to fund only one additional grant and each of the next fundable applications has received the same number of points, the Secretary shall award additional points as provided in the Notice Inviting Applications published in the Federal Register based on the information provided here. Failure to provide information requested may result in the Department not considering the application if there is a tie-breaker situation.

- a. Provide total full-time equivalent students as stated in Item #10.
- b. Provide the total market value of the applicant's endowment fund for 2018-2019 school year. If institution has no endowment fund, state "n/a" or "none."
- c. Provide total expenditures for library materials during 2018-2019 school year.

**Item #12-** Provide the contact information for the Certifying Official. The Certifying Official is not the Project Director proposed in this application or the grant writer. The Certifying Official has oversight authority (i.e. President, Vice-President, Chancellor, Provost, etc.) within the institution.

**Item #13-** By checking the box, the Certifying Official certifies that he or she, along with the applicant institution, will fully comply with the statutory requirements of this program.



## Application Checklist

Here's a checklist to use to ensure your successful submission of your proposal. Please make sure all items are checked before submitting your proposal in *Grants.gov*.

All items listed on this checklist are required.

- Application for Federal Assistance (SF 424)** – All required fields are complete.
- Department of Education Supplemental Information for SF 424** – All required fields are complete.
- Department of Education Budget Information Non-Construction Programs Form (ED 524)** – All required fields are complete.
- Assurances for Non-Construction Programs (SF-424B)** – All required fields are complete.
- Certification Regarding Lobbying** – All required fields are complete.
- Disclosure of Lobbying Activities (SF-LLL)** – All required fields are complete.
- ED GEPA 427 Form** – All required fields are complete and the GEPA statement has been uploaded to the form.
- Evidence form-** All required fields are complete.
- One-Page Project Abstract** – The one-page abstract has been uploaded in .pdf format to the “ED Abstract Form” in *Grants.gov*.
- Project Narrative** – Responses to all Selection Criteria and if applicable, the response to the chosen Competitive Preference Priority have been uploaded in .pdf format to the “Project Narrative Attachment Form” in *Grants.gov*.
- Budget Narrative** – Supporting narrative for the proposed budget has been completed for all 5 budget years of the performance period. Costs match the costs stated on the ED-524 Budget Form. The Narrative has been uploaded in .pdf format to the “Budget Narrative Attachment Form.”
- DHSI Program Profile Form** – All fields of this form have been completed. Profile form and supporting documentation regarding the required 25% Hispanic enrollment have been uploaded in .pdf format to the “Other Attachments Form” in *Grants.gov*.

## **PAPERWORK BURDEN STATEMENT**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 55 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 (Section 501 of the Higher Education Act of 1965, as amended). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to [regulations.gov](https://www.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 U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20202.