Title V, Developing Hispanic-Serving Institutions Program

Technical Assistance Workshop

Washington, DC

March 4th, 2009

1

Title V Pre-Application Technical Assistance Agenda

- Overview of Title V, Part A & B
- Eligibility
- Planning and Development of Activities
- GPRA Reporting
- Allowable Activities
- Selection Criteria
- Application Submission
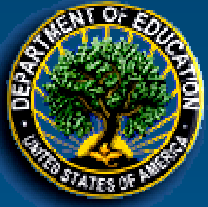- Application Review Process

OVERVIEW OF TITLE V

Title V-
What's New for FY 2009

The Higher Education Opportunity Act of 2008

The Higher Education Opportunity Act (HEOA)

- Expands Title V allowable activities:

  - To improve student services including innovative and customized instruction courses to help retain students and move the students into core courses.

  - Adds articulation agreements to facilitate the transfer from 2-year to 4-year institutions.

  - Adds the ability to provide education, counseling, or financial information to improve financial and economic literacy of students or their families.

  - Also redefines "distance learning academic instruction capabilities" to "distance education technologies".

The Higher Education Opportunity Act (HEOA) (cont.)

- The Act authorizes the creation of a program for Hispanic-serving postbaccalaureate institutions (Section 502 Part B).
    - To expand graduate educational opportunities for, and expand academic attainment of Hispanic students; and expand academic offerings, program quality of the institutions that educate them.
- Institutions must meet the eligibility definition of an HSI in Section 502 and offer graduate certificates or have a graduate program.
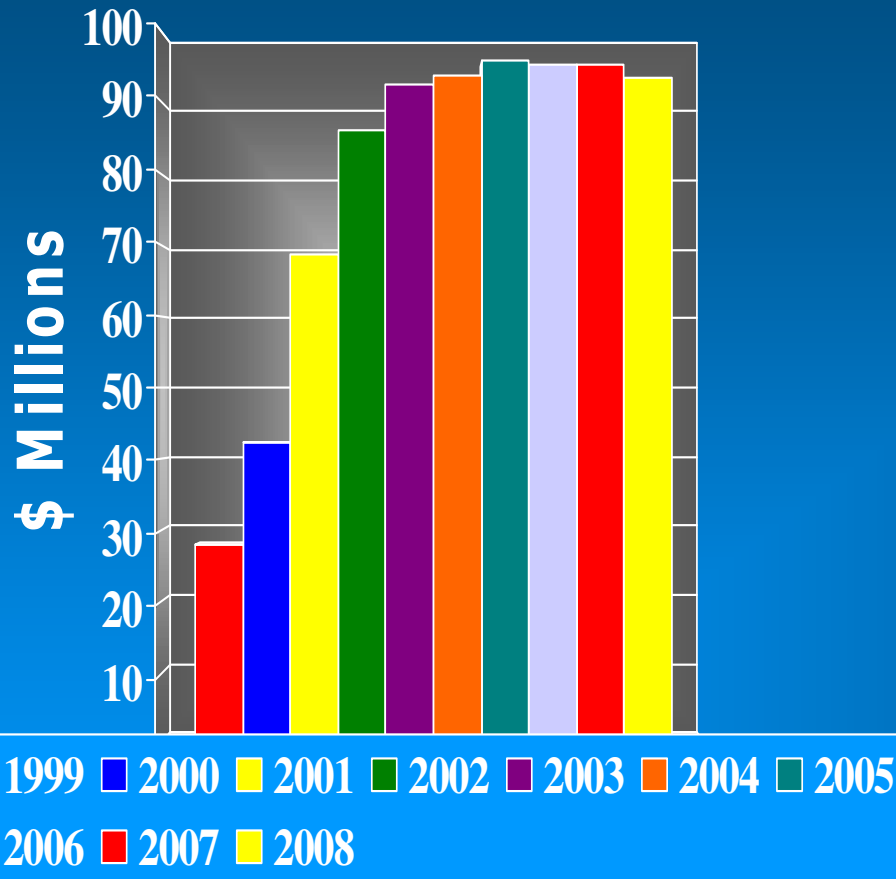
FY 2009

- The Title V program plans to have 2 competitions, one for the regular, undergraduate Title V and one for the graduate program.

- All eligible HSIs may apply.

- At this moment, we are still working with the policy division and others within the department to clarify dates for competitions and regulations, including additional details for the new graduate program.

- **Remember, as always, the final applicant and funding process information will be published in the *federal register*.**

Title V Funding History

$ Millions

Legend: 1999, 2000, 2001, 2002, 2003, 2004, 2005, 2006, 2007, 2008

Non-Competing Continuations
FY 2009 Appropriation TBD

- FY 1999: **$28,000,000** *39 awards*
- FY 2000: **$42,250,000**
  39 NCCs and 69 awards*
- FY 2001: **$68,500,000**
  108 NCCs and 49 awards
- FY 2002: **$86,000,000**
  157 NCCs and 34 awards
- FY 2003: **$92,396,000**
  191 NCCs and 29 awards
- FY 2004: **$93,551,000**
  181 NCCs and 31 awards
- FY 2005: **$95,873,000**
  143 NCCs and 46 awards
- FY 2006: **$94,914,000**
  139 NCCs and 36 awards
- FY 2007: **$94, 914, 000**
  138 NCCs and 30 awards
- FY 2008: **$93, 255, 852**
  140 NCCs and 23 awards

8

Purposes of Title V, Part A Hispanic-Serving Institutions

- To expand educational opportunities for, and improve the academic attainment of, Hispanic students.

- Expand and enhance the academic offerings, program quality, and institutional stability of the colleges and universities that educate the majority of Hispanic students and helping large numbers of Hispanic students and other low-income individuals complete postsecondary degrees.

Development Grants

5-year development grants:

Individual development award:
$550,000 - $575,00 per year

Page limit: 50

•Cooperative development award: $650,000 - $700,000 per year

Page limit: 70

The final application and funding process information will be published in the *federal register*.

Purposes of Title V, Part B Promoting Postbaccalaureate Opportunities for Hispanic Americans

- To expand postbaccalaureate educational opportunities for, and improve the academic attainment of, Hispanic students; And

- To expand the postbaccalaureate academic offerings and enhance the program quality in the institutions of higher education that are educating the majority of Hispanic college students and helping large numbers of Hispanic and low-income students complete postsecondary degrees.
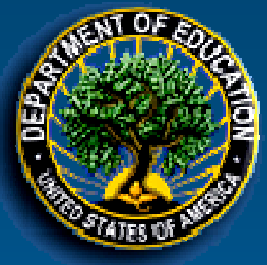
11

5-Year Development Grant

- **Type of grant: individual development.**
- **Estimated available funds: $11,500,000.**
- **Estimated range of awards: $385,000 - $575,000.**
- **Estimated average size of awards: $500,000.**
- **Estimated number of awards: 20-25.**

The final application and funding process information will be published in the *federal register*.

Title V Eligibility

Two Components of Eligibility

1. **Request for Designation of Eligibility**.

   – Deadline was February 20th, 2009.

   – Your institution must be designated as an eligible institution before your proposal will be reviewed and before you can receive federal grant funds from IDUES.

   – You must apply every year you seek funding under Title III and Title V.

Two Components of Eligibility-Continued

2. **HSI Assurance**

   – Due <u>with</u> Title V applications (Part A & B).

   – Mandatory for Title V Programs eligibility.

   – An enrollment of undergraduate full-time. equivalent (FTE) students that is at least 25% Hispanic.

   The Department <u>does not</u> pre-certify and/or certify institutions as HSIs.

HSI Assurance Data

- **Applicable federal law requires verification of eligibility at the time of application. To verify the data submitted, the Department will cross-reference with:**

- data reported to the Integrated Postsecondary Education Data System (IPEDS),

- the institution's state reported enrollment data, and

- the institutional annual report.

- Institutions will be required to include their IPEDS data, state reported enrollment data, and their Hispanic student enrollment on the Program Profile Form.

HSI Assurance Data (cont.)

- If there are any differences in the percentages reported to IPEDS, the state or in the institution's annual report, the institution <u>must justify the differences in the Program Profile Form</u>.

- If the Department receives a replica of the instructions and/or cannot validate assurance, the application will be deemed ineligible.

- Institutions should use enrollment data of Fall 2008 (up to September 30, 2008).

What Eligible IHE Can Apply?

Individual development grant.

- An eligible IHE that does not currently have a Title III or Title V grant.

- An eligible IHE whose current Title III grant finishes by 9/30/2009.

- For Title V, part B (PPOHA) only – an IHE must offer a postbaccalaureate certificate or postbaccalaureate degree program.

Cooperative development grant.

- Any eligible HSI(s) in cooperation with one or more IHE.

- An IHE can only be involved with one cooperative development grant in the same five-year award period as the institution's existing cooperative arrangement development grant award.
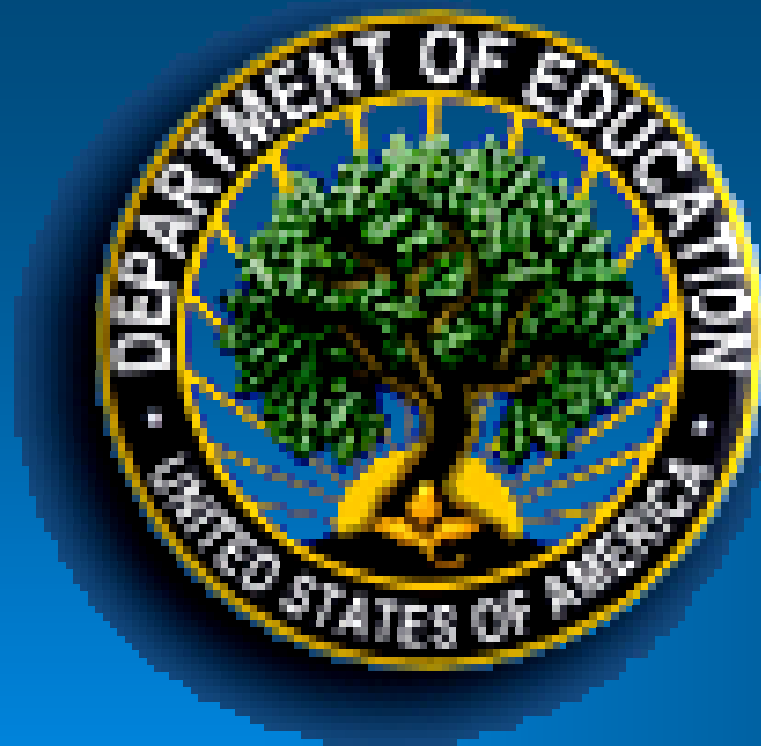
Planning and Development
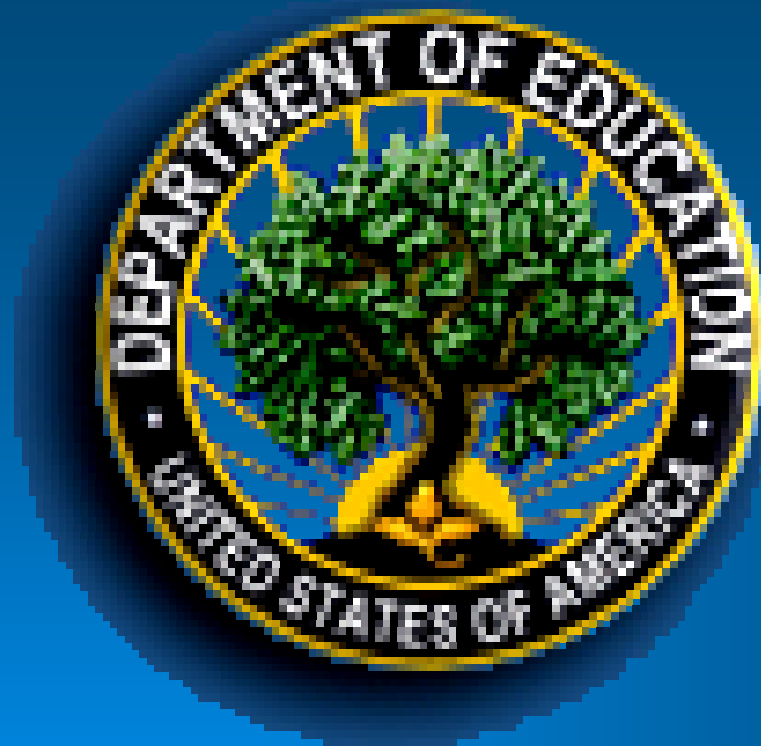
Cooperative Arrangements

When Does a Coop Make Sense?

- Solid evidence shows that a particular problem would best be solved between two or more institutions rather than one.

- The partners would benefit equitably.

- The arrangement would enhance the effectiveness and impact of the activities.

- The project would reduce costs by eliminating duplication.

When Does a Coop Make Sense? (Cont.)

- When each institution has a clear rationale for participating and a well-defined role in the project

- **Cooperative arrangement statutory priority:**

  Among applications for cooperative arrangement grants, the Secretary gives priority to proposed cooperative arrangements that are geographically and economically sound, or will benefit the institutions applying for the grant

Who Can Participate in a Cooperative Development Grant?

- Lead institution <u>must</u> be an eligible HSI.

- Any IHE can be a partner, however:

  – In order to receive Title V funds a partner IHE must

    - <u>Not</u> be funded under Title III of the HEA

- An IHE that currently has a Title V individual development grant <u>may</u> receive additional funds as the lead or partner institution in a Cooperative grant.

Who **Cannot** Participate in a Cooperative Development Grant?

- Any IHE who is already participating in a cooperative development grant, either as a partner or as the lead institution.
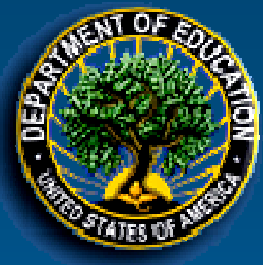
Special Challenges for Co-ops

- Increased probability of flaws in the project design.

- Expressing common problems & solutions in the proposal.

- Communication & management.

- Sharing resources and information (data).

- Clarifying expectations.

- Multi-institution coordination and cooperation.
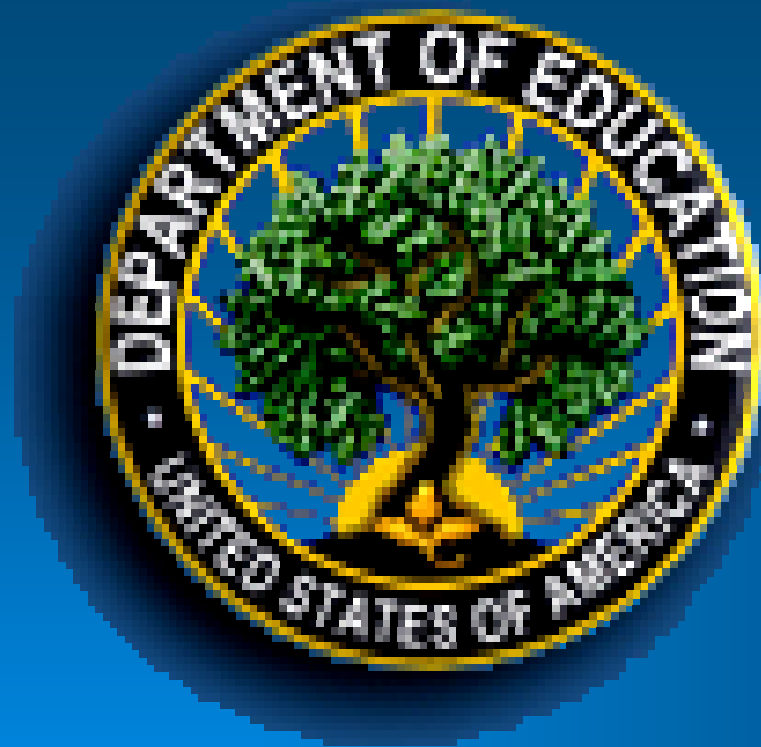
Institutional Buy-in

Institutional Buy-in

- Do Your key campus players support the development of a Title V proposal (Chancellor or President, Faculty and Staff)?

- Do you have commitments from the major constituencies of the institution to participate in the planning and development?

- Will the project become tangled up in campus politics?

- Is this a "pet project" or an institutional project?

Advice to ensure institutional buy-in...

- Build on existing analysis and evaluations of institutional problems.

- Focus on the most well analyzed problems that confront your institution.

- Consider addressing problems that your institution will have to resolve regardless of Title V funding this way, funded or not, there is *value* in the planning process.

Activity Development

Development

- What are the possible solutions for the institutional problems identified?
    - What is appropriate for your institution?
    - Is there a pilot project that could be expanded?
    - Is there a model program that worked at a similar institution?
- Gather evidence to support the fact that your solutions will actually address the problems
    - How do you know that the activity will solve the problem?
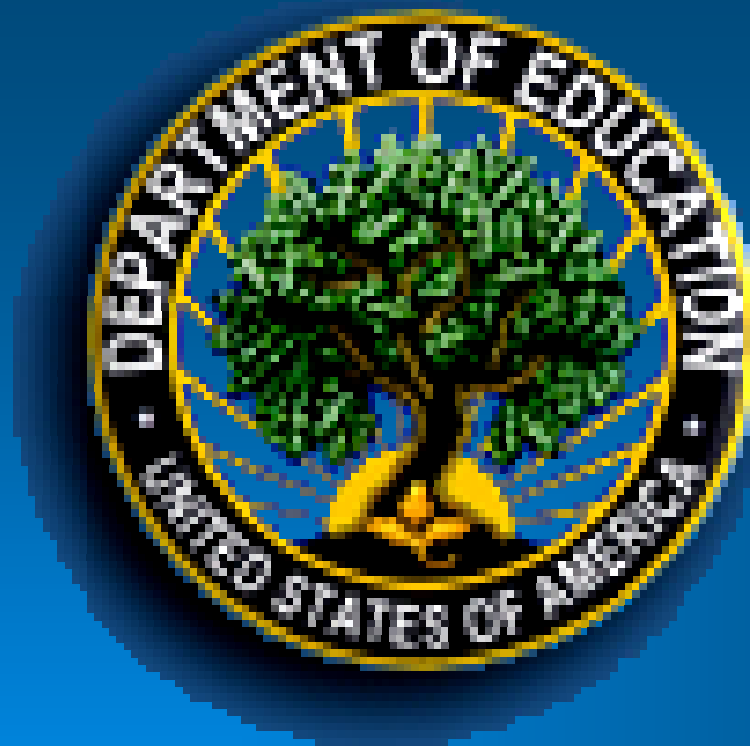
Results

Results

- What are the expected results of each activity?
  - What will change if the project is implemented?
  - Can you measure this change (Quantitative or Qualitative)?
  - Will you see the results within five years?
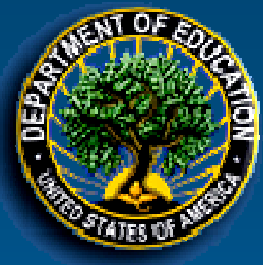- **This leads to your evaluation plan for the project…**

Project Evaluation

- Your project design should accommodate timely and useful evaluations of your progress.

- Identify intermediate *outputs* that will provide formative data to help you make informative changes during your grant.

Project Evaluation (Cont.)

- Identify one-year and five-year *outcomes* that will provide information on the success of your grant.

- Be sure to:
  - Quantify when possible
  - Establish baseline data
  - Set meaningful outcomes and goals

Output vs. Outcome

Outputs (formative result)

33% of the faculty integrated technology into their courses.

85% of freshmen pre-med students participated in learning communities.

Outcomes(summative result)

Retention in the nursing program was increased by 3%.

Fall to Fall retention in the pre-med program increased by 15%.

Institutionalization

- Lasting change is the goal of Title V.

- Although only worth eight (8) points in the peer review, institutionalization can significantly sway a reader one way or the other.

- Show how institutional resources will be used in consort with Title V funds to demonstrate your commitment to institutionalization.

Grant Management

- **What management plan will support the implementation the activities and evaluation?**
  - Knowledge, skills, and abilities (KSAs) of the key personnel (job descriptions)

  - Time commitment of the key personnel

  - Organizational chart

Key Personnel: Grant Director and Activity Coordinators

Other Personnel: You will need to have a good idea of the KSAs of other personnel in order to budget appropriately.
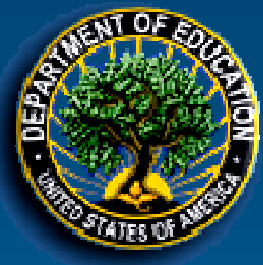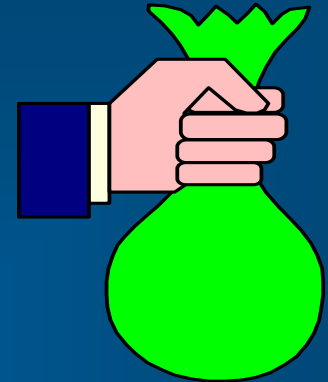
BUDGET

- **Draft a detailed and a summary budget for each activity**

  – *Develop your budget according to your institution's requirements and then translate it into the department's format.*

Budget Categories

- Personnel
- Fringe benefits
- Travel
- Equipment
- Supplies
- Contractual
- Construction
- Other

Budget costs must be:

- Justifiable - necessary for project's success.

- Allowable - permitted or not specifically prohibited.

  - Read the Title V law, regulations, EDGAR and OMB Circulars (especially A-21, section J) to familiarize yourselves with the allowable costs. You can find these at: www.ed.gov/hsi under Laws, Regs & Guidance.

- Reasonable - costs incurred by a "prudent" person.

General Advice...

- Begin planning right now! Don't wait for the competition announcement.

- Understand the problems inside and out in order to have a better understanding of what you can achieve in a finite timeline with finite funds.

- Formulas for success:

    Planning + buy-in = better design

Good design = smooth implementation + <u>results</u>

General Advice...

- Be *realistic* and *straightforward* about every aspect of your project design:
    - Design activities that are manageable and directly attack your identified problems.
    - Know your budget and ensure that all costs are justifiable, allowable and reasonable.
    - Forecast and create an implementation strategy that reflects reality.
    - Analyze every proposed objective to ensure that it is attainable, meaningful and beneficial.

Grant Performance Monitoring

Government Performance and Results Act (GPRA)

Initiated in 1993 by congress.

- Requires all federal agencies to manage their activities with attention to the consequences of those activities.

  - **What is to be accomplished?**
  - **Identity resources required.**
  - **Report progress to congress**.

GPRA, Con't.

- The Title V Developing Hispanic-Serving Institutions Program's overarching goal is to:
  - Improve the capacity of minority-serving institutions.
  - Improve student success.
  - Provide high-quality educational opportunities.

GPRA, Con't.

- Effectiveness of the HSI program is assessed by:
  - ❖ Number of full-time degree-seeking undergraduates enrolled at HSIs.
  - ❖ The percentage of first-time, full-time degree-seeking undergraduate students who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same institution.

GPRA, Con't.

- Effectiveness of the HSI program-Continued-

❖ Percentage of first-time, full-time degree-seeking undergraduate students enrolled at four-year HSIs graduating within six years of enrollment.

❖ Percentage of first-time, full-time degree-seeking undergraduate students enrolled at two-year HSIs graduating within three years of enrollment.

GPRA, Con't.

- Effectiveness of the PPOHA Program is measured by:

  ❖ Percentage change of the number of full-time degree-seeking graduate and professional students enrolled at HSIs.

  ❖ Percentage change of the number of master's, doctoral and first professional degrees and post baccalaureate certificates awarded at HSIs.
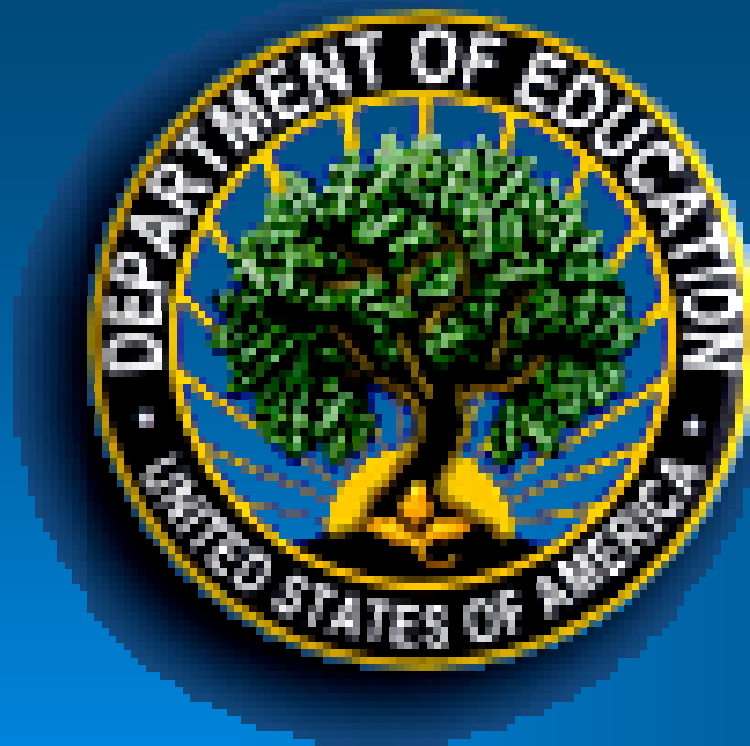
Allowable Activities

Activities

- Projects can have more than one activity
  - activities do not have to relate to each other
  - each activity may have an activity director
- Allowable and unallowable activities are listed in the regulations (34 CFR 606.10).
  - In general, any activity that meets the purpose of the Title V Program
 - Only address in the CDP the problems you seek funding for.

Allowable Activities

- Purchase equipment for education or research

- Improve instruction facilities [construction, maintenance, renovation]

- Faculty and staff development

- Curriculum revision and development

- Purchase educational materials

Allowable Activities (Cont.)

- Strengthen telecommunications capacity
- Enhance student services
- Strengthen administrative and funds management systems
- Establish or improve a development office
- Community outreach programs for elementary and secondary students
- Establish or increase the institutional endowment fund
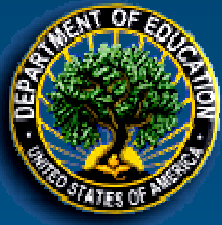
Overview of Common Activities

- **Academic Quality**
  - Faculty development
  - Curriculum development
  - Improvement of basic skills courses
  - Acquisition of library materials and laboratory equipment
- **Student Services**
  - Counseling (peer, career, personal)
  - Tutoring and mentoring
  - Establishing learning communities
  - Improving student facilities and computer labs
- **Student Outcomes**
  - Improving student retention and graduation rates
  - Increasing academic achievement

- **Fiscal Stability**
  - Establishing or improving a development office
  - Strengthening Alumni relationships and fundraising
  - Building an endowment
  - Increase research dollars
- **Institutional Management**
  - Creating and maintaining Management Information Systems
  - Training and developing staff other than teaching faculty
  - Construction and renovation
  - Improving the infrastructure for internet access

Title V, Part A (HSI)
New Additional Allowable Activities

- Articulation agreements and student support programs designed to facilitate the transfer from two-year to four-year institutions.

- Providing education, counseling services, or financial information designed to improve the financial literacy and economic literacy of students or the students' families, especially with regard to student indebtedness and student assistance programs under title IV.

- Distance Education Technologies.

Title V, Part B (PPOHA) Program Specific Allowable Activities

- Support for low-income postbaccalaureate students including outreach, academic support services, mentoring, scholarships, fellowships, and other financial assistance to permit enrollment of such students in postbaccalaureate certificate and postbaccalaureate degree granting programs.

- Collaboration with other institutions of higher education to expand postbaccalaureate certificate and postbaccalaureate degree offerings.

Endowment Fund

- Use up to 20% of total 5-year title V funds.

- Match dollar for dollar with non-federal funds before you can draw down title V funds.

- Invest both grant and matching funds for 20 years.

- Can spend up to half the interest during the 20 years.

Title V Cannot Fund:

- activities not mentioned in the original application
- activities inconsistent with applicable State higher education plans
- religious worship
- non-degree or non-credit courses
- operational costs
- salaries for college-wide officials
- costs of organized fundraisers
- costs for student recruitment
- costs of publications to promote the institution

Selection Criteria

Selection Criteria

- Selection Criteria determine the order of the application
  - do not count on the reader to recall information from previous sections or to change their opinion if they find missing information later.
- Quality of the content is key
  - It is not a writing skills game
    - But, check your grammar and spelling!

58

Selection Criteria

- **Seven evaluation areas:**
  - **Comprehensive development plan (CDP)-**25 points
    - Strengths and weaknesses, goals and objectives of institution, 5-year plan.
  - **Activity objectives—**15 points
    - Objectives of the project, relate to weaknesses, evidence they will work.
  - **Implementation strategy—**20 points
    - Rationale for implementation, studies to support course of action.
  - **Key personnel—**7 points
    - Past experience and training, how it relates to project, time commitment.
  - **Project management plan—**10 points
    - Procedures ensuing efficient and effective management, PD authority.
  - **Evaluation plan—**15 points
    - Data elements & collection procedures appropriate, measure project goals, formative and summative results.
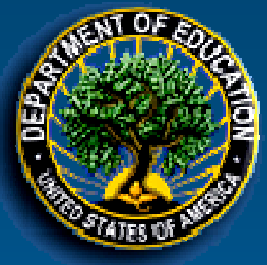 - **The budget—**8 points

Total Points: 100

59

Common Problems

- Unsubstantiated statements of fact.
- Inconsistencies between the narrative and the budget.
- Unrealistic budgeting of salaries for key personnel.
  - May want to note high or low cost of living
- Not addressing all components within one criterion.
- Assuming that the reader knows:
  - Acronyms
  - Results of studies
  - Theories by name
  - Local demographic, economic or political issues

Advice...

- Remain focused and direct.

- State your case clearly with evidence.

- Don't make assumptions.

- Ensure consistency between sections.

- Don't let the reviewer come to a better conclusion than you!

- Address each component of every single selection criteria.
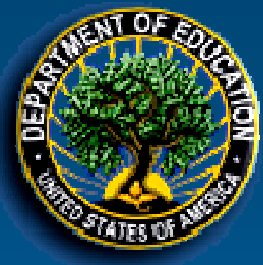
- Use your imagination...

The Bottom Line...

A sound analysis of your problems and a strong project design will compel the reviewers far more than writing skills, or elaborate bells and whistles.

Application Submission

Grants.gov

- One common place for applicants to FIND and APPLY for federal Grant Opportunities across all 26 grant-making agencies (**http://www.grants.gov**)

The applicant submits an application in Grants.gov and receives email notifications from Grants.gov.

- –Be proactive, check Grants.gov for the status of your application.
- –**Grants.gov accepts only .doc, .rtf or .pdf documents.**
- –You cannot "un-submit"—applications must be entirely re-submitted. **The Department will process the application with the latest date/time received validation**

All applicants will be required to submit their application electronically

Final Preparation

- Did you include your signed cover page (ED form 424)?

- Is there *complete* and *correct* contact information for a person *knowledgeable* about the application from your institution on your cover page?
    - Name
    - Phone (with extension number)
    - Fax
    - Email

- Are all the assurances and certificates submitted by your president or CEO?

Contact Information

Title V questions	Title V Web Site
Title.Five@ed.gov	**http://www.ed.gov/hsi**

Title V Program Office

- ➤ **Peter Fusscas**   (202) 502-7590 Team Leader
- ➤ **Carnisia Proctor**   (202) 502-7606
- ➤ **Maria Carrington**   (202) 502-7548
- ➤ **Darryl Davis**   (202) 502-7657
- ➤ **Sandra Steed**   (202) 219-7120
- ➤ **Carolyn Proctor**   (202) 502-7567
- ➤ **Richard Gaona**   (202) 502-7635
- ➤ **Everardo Gil**   (202) 219-7000

Questions?