

**U.S. DEPARTMENT OF EDUCATION  
Washington, DC 20202**



**Fiscal Year 2015**

**Application Package to Request  
Designation as an Eligible Institution  
Under the Following Title III and Title V Programs:**

- Strengthening Institutions Program (SIP)
- Alaska Native and Native Hawaiian-Serving Institutions (ANNH) Program
- Native American-Serving Nontribal Institutions (NASNTI) Program
- Developing Hispanic-Serving Institutions (HSI) Program
- Hispanic-Serving Institutions STEM and Articulation (HSI STEM) Program
- Promoting Post-baccalaureate Opportunities for Hispanic Americans (PPOHA) Program
- Asian American and Native American Pacific Islander-Serving (AANAPISI) Program
- Predominantly Black Institutions (PBI) Program
- Waiver of the Non-Federal Cost-Share Requirement

**CLOSING DATE:**

**December 18, 2014 for Eligibility Designation  
and  
Non-Federal Cost-Share Waiver**

**CFDA Number: 84.031H  
OMB Number: 1840-0103, ED Form 1049**

**Expires: 02/28/2017**

# TABLE OF CONTENTS

Dear Applicant Letter	1
Eligibility Highlights	4
Before You Get Started	5
Instructions for Completing the Application	8
Part I: Identity of Applicant Institution	8
Part II: Institutional Enrollment	10
Part III: Institutional Statistics	11
Part IV: Specific Institutional Eligibility Requirements	14
Part V: Certification	24

## APPENDICES

Application for Designation as an Eligible Institution (ED Form 1049)	26
<u>Federal Register</u> Closing Date Notice Inviting Applications	29

Dear Applicant:

We are pleased to provide the application package for fiscal year (FY) 2015 Designation as an Eligible Institution under the following Title III and Title V programs of the Higher Education Act of 1965, as amended.

- STRENGTHENING INSTITUTIONS PROGRAM (SIP)
- ALASKA NATIVE AND NATIVE HAWAIIAN-SERVING INSTITUTIONS (ANNH) PROGRAM
- NATIVE AMERICAN-SERVING NONTRIBAL INSTITUTIONS (NASNTI) PROGRAM
- DEVELOPING HISPANIC-SERVING INSTITUTIONS (HSI) PROGRAM
- HISPANIC-SERVING INSTITUTIONS STEM and ARTICULATION (HSI STEM) PROGRAM
- PROMOTING POSTBACCALAUREATE OPPORTUNITIES FOR HISPANIC AMERICANS (PPOHA) PROGRAM
- ASIAN AMERICAN AND NATIVE AMERICAN PACIFIC ISLANDER-SERVING INSTITUTIONS (AANAPISI) PROGRAM
- PREDOMINANTLY BLACK INSTITUTIONS (PBI) PROGRAM

This application package includes the information and instructions that you need to apply for eligibility designation. Eligibility designation qualifies an institution of higher education (IHE) to apply for grants under the above Title III and Title V programs, provided the institution meets certain additional program specific eligibility requirements.

The purpose of these programs is to provide funds to eligible institutions of higher education to increase their self-sufficiency by improving their academic programs, institutional management, and fiscal stability.

In addition, this application package may be used by IHEs to apply for a waiver of certain non-Federal cost-share requirements under the following programs:

- FEDERAL WORK-STUDY (FWS) PROGRAM
- FEDERAL SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANTS (FSEOG) PROGRAM
- TRIO STUDENT SUPPORT SERVICES (SSS) PROGRAM

- UNDERGRADUATE INTERNATIONAL STUDIES AND FOREIGN LANGUAGE (UISFL) PROGRAM

Read this package in its entirety before you begin to complete the application. It is essential that you provide sufficient responses to all applicable questions and enter the correct data throughout the application.

- All institutions interested in applying for a new FY 2015 Title III or Title V grant and/or the non-Federal Cost-Share Waiver **MUST** apply for eligibility designation by **December 18, 2014**.
- You must reapply for eligibility each year that you wish to apply for a new grant award even if Title III or Title V grants, in subsequent fiscal years, are made by funding down a slate from a previous competition.
- IHEs currently receiving Title III or Title V funds do not need to apply for eligibility designation unless they intend to apply for a new grant. IHEs designated as Historically Black Colleges and Universities or Tribally Controlled Colleges and Universities are exempt from the non-Federal cost-share match requirement and do not need to apply for eligibility designation.
- FY 2015 applicants will report their required student head count figures based solely on their **2012 fall semester** enrollment.
- To further assist you in determining the low-income levels of your students, we have included (in the Federal Register notice) the **2012** low-income figures, as determined by the U.S. Census Bureau. The term “low income individual” means an individual from a family whose taxable income for the preceding year did not exceed 150 percent of an amount equal to the poverty level established by the U.S. Census Bureau.
- Only the main institution may receive the waiver of the non-Federal cost-share requirements for FWS and FSEOG. Branch campuses are ineligible to receive this waiver. The waiver is effective for one year.
- If you are a current Title III or Title V grant recipient or are awarded a Title III or Title V grant, the non-Federal cost-sharing is waived for FWS and FSEOG for the duration of the grant.
- If you receive a grant from the UISFL or SSS program, you may receive a waiver or reduction of the required non-Federal share for institutions for the duration of the grant.

All applications must be submitted electronically. The deadline is **December 18, 2014**.

Once you submit your eligibility application online, print a copy for your records.

If you need further assistance, contact us at the telephone numbers or e-mail addresses cited in this application package.

Sincerely,

/s/

Leonard L. Haynes, III, Ph.D.  
Senior Director  
Institutional Service

## **ELIGIBILITY HIGHLIGHTS**

- Notify Robyn Wood or Jeffrey Hartman if your institution's legal name has changed. This **MUST** be done in writing prior to applying for eligibility designation. The eligibility staff's contact information can be found on pg. 5.
- You must apply for eligibility in your institution's legal name. If you are planning to submit an application for new funds, the eligibility application **and** the application for funding **MUST** be in the same name or your application for funding will be rejected.
- You **MUST** apply for eligibility in order to submit a waiver of the non-Federal cost-share requirements for FWS, FSEOG, SSS, and UISFL.
- The term "low income individual" means an individual from a family whose taxable income for the preceding year did not exceed 150 percent of an amount equal to the poverty level established by the U.S. Census Bureau.
- You have the option to select which program(s) you are applying to for designation as an eligible institution.
- Once you submit your eligibility application, the system will determine your status. If deemed ineligible, the system will then provide you with the following prompt: "Do you want to apply for a waiver?" Click "YES" and then complete the selected waiver narrative(s).
- It is the applicant's responsibility to upload **ALL** supporting documentation at the time of submission.
- You are responsible for verifying the accuracy and completeness of the data you submit. We are unable to notify institutions of errors or missing data.
- You must click **SUBMIT** to officially upload your application. For your convenience, a **SAVE** button has been added to the submission page.
- Applicants can print their letters from the eligibility Web site at: <http://opeweb.ed.gov/title3and5/>. The eligibility homepage lists the dates that letters can be printed.
- The Department will not mail letters to applicants.
- Applications must be submitted by 11:59 p.m. Washington, DC time on the closing date with all supporting documentation.

## **BEFORE YOU GET STARTED**

Read this entire application package, and collect the required data before you attempt to complete the application online. This application package may be obtained using the “eligibility” link at the following Web site:

<http://opeweb.ed.gov/title3and5/>

For any questions regarding the Eligibility application, you may contact the individuals listed below:

[Robyn.Wood@ed.gov](mailto:Robyn.Wood@ed.gov) or 202-502-7437

[Jeffrey.Hartman@ed.gov](mailto:Jeffrey.Hartman@ed.gov) or 202-502-7607

You will need your institution's unique 8-digit identifier, referred to as the Office of Postsecondary Education Identification (OPE ID) number, in order to complete a valid eligibility application form. If you do not know your institution's OPE ID number, contact your business office or student financial aid office.

Throughout this application package we refer to certain sections of program regulations. In the event that you wish to reference the regulations governing the Title III and Title V programs, you may do so at the following Web site:

<http://www.ed.gov/legislation/FedRegister/finrule/2001-4/121599a.html>

Only individual accredited institutions, including eligible branch campuses, may apply for designation as an eligible institution. The regulations at 34 CFR Part 606.2(a)(6) and 607.2(a)(4) outline the accreditation requirements. A higher education system, foundation or district may not apply on behalf of individual institutions.

Only submit data pertinent to your individual institution. Do not include data that is reported as part of a single filing by a higher education system or district.

## **Designation As An Eligible Branch Campus**

To be designated as an eligible branch campus, the branch campus must meet the needy student enrollment requirement, the Core Expenses requirement, and the definition of a branch campus. The regulations at 34 CFR Part 606.7(b) and 34 CFR Part 607.7(e) define “branch campus” as a unit of a college or university that is geographically apart from the main campus and independent of that main campus. We consider a unit of a college or university to be independent of the main campus if the unit is permanent in nature; offers courses for credit and programs leading to an associate or bachelor’s degree; is autonomous to the extent that it has its own faculty and administrative or supervisory organization; and its own budgetary and hiring authority. If your institution is applying for eligibility as a branch campus, provide the eligibility data pertinent to the branch campus.

All applications and waiver narratives must be submitted electronically by **December 18, 2014** at:

<http://opeweb.ed.gov/title3and5/>

You may submit your application in paper format if you are unable to submit an application electronically because:

- You do not have access to the internet; or
- You do not have the capacity to upload the data online.

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

Address and mail or fax your statement to: Dr. Nancy Regan, U.S. Department of Education, 1990 K Street, N.W., Room 6032, Washington, DC 20006-8513. Fax: (202) 502-7861. Your paper application must be submitted in accordance with the mail or hand delivery instructions provided in the official notice published in the Federal Register.

**IMPORTANT NOTE:** Before submitting your application electronically, double check for accuracy and print a copy for yourself. When you press the submit button, the system will display a message confirming that you have successfully submitted your application. Save and print this confirmation as proof that you have submitted your application electronically. If you do not receive this confirmation, you should assume that we did not

receive your application. Please contact Robyn Wood or Jeffrey Hartman (see page 5 for contact information).

**Do not wait until the due date to submit your application.**

# **INSTRUCTIONS FOR COMPLETING THE APPLICATION (ED Form 1049)**

**(ELECTRONIC SUBMISSION REQUIRED)**

## **PART I – IDENTITY OF APPLICANT INSTITUTION**

### **ITEM 1. INSTITUTION/CAMPUS OPE ID NUMBER**

You will need your institution's unique 8-digit identifier, referred to as the Office of Postsecondary Education Identification (OPE ID) number, to complete a valid eligibility application form.

### **ITEM 2. NAME OF INSTITUTION/CAMPUS**

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 (see definition of branch campus on page 6 of the application package). For example, if you are referring to Brockport Campus, you would cite, "State University of New York, Brockport Campus".

Enter the name of the institution in the spaces provided.

If your institution's name has changed within the last two years, include the former name on the appropriate line provided in Part V of the eligibility application form.

### **ITEMS 3 THROUGH 6.**

Self-explanatory.

### **ITEM 7. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER**

**Enter your institution's DUNS number in the spaces provided.**

**DUNS Number**: Dun and Bradstreet assign your institution's 9-digit DUNS number. Your business office will likely know your institution's DUNS number. If not, you can obtain it at no charge by calling 1-800-333-0505 or by completing a DUNS Number Request Form. You may obtain the form at:

<http://www.dnb.com>

**ITEM 8. TYPE OF INSTITUTION**

Enter your institution's type: **Identify the institution as either a two-year or four-year IHE.**

If your institution recently changed its status from two-year to four-year, identify the institution as four-year.

If the institution offers both undergraduate and graduate education, identify it as a four-year institution.

**ITEM 9. CONTROL OF INSTITUTION**

Identify the institution as either a private nonprofit institution or a public institution.

## **PART II - INSTITUTIONAL ENROLLMENT**

### **ITEM 1. TOTAL INSTITUTIONAL ENROLLMENT (Fall 2012 Head Count)**

Determine the institution's **2012 fall semester** head count of enrolled undergraduate and graduate students.

Do not include foreign students who are not eligible to participate in Title IV need-based financial assistance programs.

Enter this number in the space provided.

### **ITEM 2. TOTAL MINORITY ENROLLMENT (Fall 2012 Head Count)**

Determine the institution's **2012 fall semester** head count of enrolled minority undergraduate and graduate students.

Do not include foreign students who are not eligible to participate in Title IV need-based financial assistance programs.

The regulations at 34 CFR Part 606.7(b) and Part 607.7(e) define minority student as a student who is Alaskan Native, Asian American, American Indian, Black (African-American), Hispanic American, Native Hawaiian, or Pacific Islander.

Enter this number in the space provided.

## **PART III - INSTITUTIONAL STATISTICS**

### **ITEM 1. NEEDY STUDENT REQUIREMENT**

Fill out Part III, Items 1A through 1D, using the following instructions.

#### **ITEM 1.A. FALL 2012 HEAD COUNT ENROLLMENT OF UNDERGRADUATE AND GRADUATE DEGREE STUDENTS**

Determine the institution's total **2012 fall semester** head count of undergraduate and graduate students who were enrolled in a **degree** program. The regulations at 34 CFR Part 606.7(b) and at 34 CFR Part 607.7(e) define “degree student” as a student who enrolls at an institution for the purpose of obtaining a degree, certificate or other recognized educational credential offered by that institution. We consider the transcript that a student receives for the successful completion of a two-year transfer program to be an “other recognized educational credential.”

Do not include foreign students who are not eligible to participate in Title IV need-based assistance programs.

Determine the undergraduate student head count by including all undergraduate students who were enrolled in a program that resulted in the award of a bachelor’s degree. Include those enrolled in a two-year transfer program and those enrolled in a two-year educational program that resulted in the award of an associate degree. Include those enrolled in a vocational or technical program of at least two years in length that resulted in the award of a certificate that testifies that the student qualifies to work as a technician or at the semiprofessional level in technological fields.

Enter the total in the space provided under Part III, Item 1.A.

#### **ITEM 1.B. FALL 2012 RECIPIENTS OF TITLE IV NEED-BASED FINANCIAL ASSISTANCE**

Determine the institution's total **2012 fall semester unduplicated** student head count of degree students who received any of the following Title IV need-based assistance: **Federal Pell Grant, Federal Work Study, Federal Perkins Loan or Federal Supplemental Educational Opportunity Grant.** To compute the unduplicated student head count, count each student who received Title IV need-based assistance, regardless of the number of need-based programs in which the student participated. **If a student participates in multiple need-based programs, that student is to be counted only once.**

Enter the total in the space provided under item Part III, Item 1.B.

**ITEM 1.C. FALL 2012 ENROLLMENT OF HALF TIME, UP TO AND INCLUDING FULL-TIME, UNDERGRADUATE STUDENTS**

Determine the institution's total **2012 fall semester** undergraduate head count of students who were enrolled at least **half time** in degree programs at your institution.

Do not include foreign students who are not eligible for Title IV need-based financial assistance.

Enter the total in the space provided under Part III, Item 1.C.

**ITEM 1.D. FALL 2012 PELL GRANT RECIPIENTS ONLY**

Determine your institution's total **2012 fall semester** undergraduate head count of students who received **Pell Grants** for the **2012-2013** academic term. Include Pell Grant recipients who were enrolled in a program on at least a half-time basis.

Enter the total undergraduate head count of Pell Grant recipients in the space provided under Part III, Item 1.D.

**ITEM 2. CORE EXPENSES REQUIREMENT (FORMERLY KNOWN AS EDUCATIONAL AND GENERAL (E&G) EXPENDITURES REQUIREMENT)**

Use the following instructions to complete items 2.A through 2.D.

**ITEM 2.A. UNDERGRADUATE FULL-TIME EQUIVALENT, FALL 2012 ENROLLMENT**

Determine your institution's full-time equivalent (FTE) **2012 fall semester** enrollment of undergraduate students. The regulations at 34 CFR Part 606.7(b) and 34 CFR Part 607.7(e) describe how to calculate your FTE enrollment and the instructions below paraphrase those regulations.

Based on the full-time load at your institution, count a full-time undergraduate student as one FTE.

Determine the FTE for part-time undergraduate students by entering the total number of credit hours of all part-time undergraduate students. The total will automatically be divided by 12. The result is the FTE for part-time undergraduate students.

The system will then add the total (full-time AND part-time) undergraduate students. The result is the total number of undergraduate FTE for **FY 2012** enrollment.

**NOTE: This number should not exceed the total institutional enrollment entered under Part II, Item 1.**

## **ITEM 2.B. GRADUATE FULL-TIME EQUIVALENT 2012 FALL ENROLLMENT**

Determine the institution's FTE **2012 fall semester** enrollment of graduate students, if any, including both full-time and part-time students, as explained here.

Based on the full-time load at your institution, count a full-time graduate student as one FTE.

Determine the FTE for part-time graduate students by entering the total number of credit hours of all part-time graduate students. That number will automatically be divided by 12. The result is the FTE for part-time graduate students.

Calculate the total graduate FTE by adding the FTE of full-time graduate students to the FTE of part-time graduate students, then **multiply** this total by a factor of 2.5. This final figure is the graduate FTE. The use of the 2.5 factor is required by the Department's regulations at 34 CFR 606.4(a) (2) and 607.4(a) (2) to account for higher educational and general expenditures for graduate versus undergraduate students.

The system will then add the total (full-time plus part-time) graduate students. The result is the total number of graduate FTE for **FY 2012** enrollment.

## **ITEM 2.C. TOTAL CORE EXPENSES**

Determine the institution's Core Expenses for **2012-2013**. Core Expenses are defined as the total expenses for the essential education activities of the institution. Core Expenses for public institutions reporting under the Governmental Accounting Standards Board (GASB) standards include expenses for instruction, research, public service, academic support, student services, institutional support, operation and maintenance of plant, depreciation, scholarships and fellowships, interest and other operating and nonoperating expenses. Core Expenses for institutions reporting under the Financial Accounting Standards Board (FASB) standards (primarily private, not-for-profit and for-profit) include expenses for instruction, research, public service, academic support, student services, institutional support, net grant aid to students, and other expenses. For both FASB and GASB institutions, core expenses exclude expenses for auxiliary enterprises (e.g., bookstores, dormitories), hospitals, and independent operations.

<http://nces.ed.gov/ipeds/glossary/?charindex=C>.

**Do not include Federal student financial aid.**

Enter the total **2012-2013** Core Expenses in the space provided under Part III, Item 2.C.

## **ITEM 2.D. AVERAGE CORE EXPENSES PER FTE STUDENT**

The system will calculate the institution's average Core Expenses per FTE for **2012-2013**.

**PART IV. SPECIFIC INSTITUTIONAL ELIGIBILITY  
REQUIREMENTS**

**ITEM 1. NEEDY STUDENT REQUIREMENTS**

Use the following calculations to determine whether your institution meets the needy student requirement in at least one of two possible ways.

YOUR INSTITUTION MEETS THE NEEDY STUDENT REQUIREMENT IF:

A. At least 50% of its **2012** fall semester, unduplicated student head count of undergraduate degree students received financial assistance under one or more of the following programs: Federal Pell Grant, Federal College Work-Study, Federal Perkins Loan or Federal Supplemental Educational Opportunity Grant Programs (Part III, 1B).

Or

B. The percentage of its **2012** fall semester, undergraduate degree students who were enrolled on at least a half-time basis and received Federal Pell Grants exceeded the median percentage of undergraduate degree students who were enrolled on at least a half-time basis and received Federal Pell Grants at comparable institutions that offered similar instruction (Part III, 1D).

**ITEM 1. A. AT LEAST 50% OR MORE OF FALL 2012 DEGREE STUDENTS WERE RECIPIENTS OF NEED-BASED FINANCIAL SUPPORT**

If your institution **meets** the needy student requirement because **50 percent or more** of its **2012** fall semester enrolled degree students received the above-mentioned Title IV need-based financial assistance, select Part IV, Item 1.A. **If the percentage turns out to be less than 50%, DO NOT select Part IV, Item 1.A.**

**EXAMPLE: Needy Student Calculation**

To determine whether your institution meets the statutory needy student requirement for **2012-2013**, divide the number of **2012** fall semester, Title IV recipients (Part III, Item 1.B) by the **2012** fall semester enrollment of degree students (Part III, Item 1.A). The result (Part III, 1.B., divided by Part III, 1.A) is the percentage of needy students enrolled in the institution for the base year. If the result is 50 percent or more, your institution meets the statutory needy student requirement threshold. The regulations at 34 CFR Part 606.3(a)(1) and at 34 CFR Part 607.3(a)(1) describe the needy student requirement.

**Example**

**2012** fall semester enrollment (Part III, 1.A) = 800 degree students  
**2012** fall semester Title IV recipients (Part III, 1.B) = 600 students  
Percentage of recipients of need-based financial support  
= 75% (600 divided by 800)

The example institution meets the needy student requirement because 50 percent or more of its **2012** fall semester degree students received need-based financial support.

**ITEM 1.B. THE PERCENTAGE OF FEDERAL PELL GRANT RECIPIENTS AT THE APPLICANT INSTITUTION EXCEEDED THE MEDIAN PERCENTAGE AT SIMILAR INSTITUTIONS.**

If your institution **meets** the statutory needy student requirement because the percentage of its **2012** fall semester enrolled students that received Pell Grants exceeded the median Federal Pell Grant percentage for its category of institutions (see below), **check Part IV, Item 1.B.** If your percentage **does not exceed** the median Federal Pell Grant percentage for your category of institutions, **do not check Part IV, Item 1.B.**

**If the institution meets both Part IV, Items 1.A and 1.B, select Part IV, Item 1.A only.**

## Needy Student Calculation

To determine if your institution meets the statutory needy student requirement for **2012**, divide the number of **2012** fall semester Pell Grant recipients (Part III Item 1.D) by the **2012** fall semester enrollment of half-time up to and including full-time degree seeking students (Part III Item 1.C). The result (Part III, 1.D, divided by Part III, 1.C) is the percentage of Pell Grant recipients enrolled in the institution for the base year. If this result **exceeds** the "Median Federal Pell Grant Percentage" for your category of institutions, your institution meets the statutory needy student requirement threshold.

### Example

**2012** fall semester enrollment of half-time to full-time degree students

(Part III, 1.C) = 1000

**2012** fall semester Pell Grant recipients (Part III, 1.D) = 500

**2012** Pell Grant percentage = 50% (500 divided by 1000)

**Here are the median Federal Pell Grant percentages or thresholds for base year 2012-2013:**

For two-year public institutions, the median = **34.7%**

For two-year non-profit private institutions, the median = **38%**

For four-year public institutions, the median = **45%**

For four-year non-profit private institutions, the median = **44%**

Since in our example, the institution's Pell Grant percentage is greater than the median Pell Grant percentage for any category of institution, the example institution meets the needy student requirement.

## **ITEM 1.C. REQUESTING A WAIVER OF THE NEEDY STUDENT REQUIREMENT**

If the institution **does not meet** the statutory needy student requirement, you may request a waiver of this requirement. **Review the six possible waiver options below.** These options correspond to the six options listed in the regulations at 34 CFR Part 606.3(b) and 34 CFR Part 607.3(b).

Select Part IV, Item 1.C, denoting that you are requesting a waiver.

After you review the six possible waiver options for the needy student requirement, select the option(s) that applies to your institution's particular situation. You may apply for more than one option.

**Prepare a separate narrative for each waiver option(s). Provide the required evidence for the chosen waiver option(s) and demonstrate that the waiver(s) applies to your particular institution. The narrative must contain compelling evidence. Mere statements of fact may not be enough to support your request. Provide supporting documentation (relevant studies, recent reports and/or data, etc.) to justify your request for a waiver. You may also upload supporting documentation when addressing the waiver(s).**

**You must respond to all components of the waiver option and provide supporting documentation (relevant studies, recent reports and/or data, etc.) to justify your request for a waiver.**

**Needy Student Waiver Option #1, 34 CFR 606.3(b)(1) and 607.3(b)(1)**

Provide evidence that the state provided **more than 30 percent** of your institution's budget for the 2012-2013 base year.

Provide evidence that your institution charged not more than \$99.00 per student for tuition and fees for the 2012-2013 base year.

1. Identify the resources provided by the state, citing specific dollar amounts
2. Show actual tuition and fees charged per student
3. Provide the institution's posted tuition and fees.

**Needy Student Waiver Option #2, 34 CFR 606.3(b)(2) and 607.3(b)(2)**

Provide evidence that **at least 30 percent** of the students served by your institution in the **2012-2013** base year **were students from low-income families.**

The regulations at 34 CFR Part 606.7(c) and 34 CFR 607.7(e) define a low income individual to be one from a family whose taxable income for the base year did not exceed 150% of an amount equal to the poverty level as determined by the U.S. Census Bureau. In the Federal Register Closing Date Notice, we stated the low-income figures for **2012**.

Provide evidence (statistical and whole numbers baseline data) that verifies your claim that at least 30 percent of your enrolled students were from low-income families.

**Needy Student Waiver Option #3, 34 CFR 606.3(b)(3) and 607.3(b)(3)**

Provide evidence that your institution, in the base year, **substantially increased the higher education opportunities for low-income students who were also educationally disadvantaged, or from groups underrepresented in postsecondary education, or were minority students.**

The program regulations at 34 CFR 606.7(b) and 607.7(e) define "*educationally disadvantaged*," "*minority student*" and "*underrepresented*."

Include the following information:

1. A description of the student body characteristics, including the racial/ethnic composition and the number of low-income students, for the **2012-2013** base year.
2. The number of low-income students for the **2012-2013** base year that were also educationally disadvantaged, from groups underrepresented in postsecondary education, or minority students.
3. A description of the programs and services in place during the **2012-2013** base year that were specifically designed to increase the educational opportunities for the low income students who were also educationally disadvantaged, from groups underrepresented in higher education, or minority students.
4. A longitudinal progression detailing the number of these students served by the institution's programs and services during the past five academic periods: **2008-2009, 2009-2010, 2010-2011, 2011-2012 and 2012-2013.**

**Needy Student Waiver Option #4, 34 CFR 606.3(b)(4) and 607.3(b)(4)**

Provide evidence that your institution substantially increased the higher education opportunities in the **2012-2013** base year **for individuals who resided in an area that is not included in a "metropolitan statistical area" (MSA)** as defined by the Office of Management and Budget and who were underserved by other postsecondary institutions.

Include the following information:

1. The geographical areas of residence for enrolled students in the **2012-2013** base year including:
  - a. The percentage of enrolled students from MSA.
  - b. The percentage of enrolled students from locations outside MSAs.
2. In the supporting documents section, please upload a map or scale drawing showing the geographically isolated or rural nature of your institution's location including:
  - a. The institution's geographic relationship to the nearest other institution(s) of higher education and nearest MSA.
  - b. The mileage between the institution and other institutions.
  - c. The mileage between the institution and the nearest MSA.
3. A description of the geographic barriers and climatic and other conditions that limit the options of individuals to attend other institutions.

4. A brief longitudinal progression detailing the number of enrolled students served by the applicant institution during the past five academic periods: **2008-2009, 2009-2010, 2010-2011, 2011-2012 and 2012-2013** who resided in areas outside the boundaries of an MSA.

**Needy Student Waiver Option #5, 34 CFR 607.3(b)(5)**

Provide evidence that your institution is located on or within 50 miles of an American Indian reservation or of a substantial population of American Indians, and that the institution will substantially increase higher education opportunities for American Indians.

When addressing "higher education opportunities for American Indians;" include both student enrollment and retention.

Include the following information:

1. A map or scale drawing showing your institution's location in relation to the American Indian reservation or population center.
  - a. Include the mileage between the institution and the reservation or population center.
2. A description of the student body characteristics for the **2012-2013** base year and the two academic years following the base year (**2013-2014** and **2014-2015**).
  - a. Include the racial/ethnic composition and specifically identify the number and percentage of American Indian students by full-time and part-time status.
3. Describe the programs and services in place during the **2012-2013** base year and the two academic years following the base year (**2013-2014** and **2014-2015**) that were specifically designed to increase the higher educational opportunities for American Indians.
4. Describe your institution's plans to develop and implement programs and services specifically designed to increase the higher educational opportunities for American Indians.
5. Describe the institution's enrollment goals for American Indian students for these academic years (2012-2013, 2013-2014 and 2014-2015).
  - a. Provide a detailed explanation of the institution's plans to meet these goals.

**Needy Student Waiver Option #6, 34 CFR 607.3(b)(7):**

Provide evidence that your institution will substantially increase higher education opportunities for Black or African Americans, Hispanic Americans, Native Americans, Asian Americans or Pacific Islanders, including Native Hawaiians.

Or

Provide evidence that your institution will substantially increase higher educational opportunities for Hispanic Americans (34 CFR 606.3 (b) (5)).

When addressing "higher education opportunities" include both student enrollment and retention.

Include the following information:

1. A description of the student body characteristics for the **2012-2013** base year and the two academic years following the base year (**2013-2014** and **2014-2015**). Include the racial/ethnic composition and specifically identify the number and the percentage for each racial/ethnic group listed above by full-time and part-time status.
2. Describe the programs and services in place during the **2012-2013** base year and the two academic years following the base year (**2013-2014** and **2014-2015**) that were specifically designed to increase the higher educational opportunities for one or more of the racial/ethnic groups listed above.
3. Describe the programs and services your institution is currently developing that are specifically designed to increase the higher educational opportunities for one or more of the racial/ethnic groups listed above. Include the projected date(s) for the implementation of these programs and services.
4. Describe your institution's enrollment goals for one or more of the racial/ethnic groups listed above for these academic years (**2012-2013**, **2013-2014** and **2014-2015**).
  - a. Provide a detailed explanation of the institution's plans to meet these goals.

## **PART IV, ITEM 2. CORE EXPENSES REQUIREMENT**

Your institution meets the Core Expenses requirement if its average Core Expenses per FTE student cited in Part III, Item 2.D, is less than the average Core Expenses per FTE for the same category of institution. **The average 2012-2013 Core Expenses per FTE student for each category of institution is the following:**

<b>Two-year public institution</b>	<b>=</b>	<b>\$11,287</b>	<b>per FTE student</b>
<b>Two-year non-profit private</b>	<b>=</b>	<b>\$13,657</b>	<b>per FTE student</b>
<b>Four-year public institution</b>	<b>=</b>	<b>\$27,608</b>	<b>per FTE student</b>
<b>Four-year non-profit private</b>	<b>=</b>	<b>\$34,361</b>	<b>per FTE student</b>

### **PART IV, ITEM 2.A**

Check Item 2.A only if your institution's **2012-2013** average Core Expenses per FTE are less than the average Core Expenses per FTE student for its category of institution.

### **PART IV, ITEM 2.B**

If the institution does not meet the Core Expenses threshold, you may request a waiver of this requirement. Review the five possible waiver options below. These options correspond to the five options listed in the regulations at 34 CFR Part 606.4(d) and 34 CFR Part 607.4(d).

Select Item 2.B if your institution exceeded the Core Expenses threshold and you are requesting a waiver.

After you review the five possible waiver options for the needy student requirement, select the option(s) that applies to your institution's particular situation. You may apply for more than one option.

**Prepare a separate narrative for each waiver option(s). Provide the required evidence for the chosen waiver option(s) and demonstrate that the waiver(s) applies to your particular institution. The narrative must contain compelling evidence. Mere statements of fact may not be enough to support your request. Provide supporting documentation (relevant studies, recent reports and/or data, etc.) to justify your request for a waiver. You may also upload supporting documentation when addressing the waiver(s).**

**You must respond to all component of the waiver option and provide supporting documentation (relevant studies, recent reports and/or data, etc.) to justify your request for a waiver.**

**Core Expenses Waiver Option #1, 34 CFR 606.4(d)(1) and 607.4(d)(1)**

**Low student enrollment** in the Fall 2012 distorted your institution's Core Expenses per FTE undergraduate student and the institution's eligible designation is otherwise consistent with the purposes of the Title III or Title V program.

Provide detailed evidence to support your claim that low student enrollment in 2012 distorted your Core Expenses.

- a. Show that enrollments in the years prior to and after 2012 were greater, citing specific numbers.
- b. Include comparisons with similar IHEs.

**Core Expenses Waiver Option #2, 34 CFR 606.4(d)(2) and 607.4(d)(2)**

Location of the institution in **an unusually high cost-of-living area** distorted your institution's Core Expenses per FTE undergraduate student and the institution's eligible designation is otherwise consistent with the purposes of the Title III or Title V program.

1. Provide documentation from a governmental source to substantiate the high cost of living in the area.
2. Provide documentation (statistics) from local, state and/or national sources.
  - a. Include comparisons with similar IHEs.

**Core Expenses Waiver Option #3, 34 CFR 606.4(d)(3) and 607.4(d)(3)**

**High energy costs** distorted your institution's Core Expenses per FTE undergraduate student and the institution's eligible designation is otherwise consistent with the purposes of the Title III or Title V program.

1. Provide documentation to substantiate the high energy costs.
  - a. Provide comparisons with similar IHEs.

**Core Expenses Waiver Option #4, 34 CFR 606.4(d)(4) and 607.4(d)(4)**

An increase in State funding, that was part of a desegregation plan for higher education, distorted your institution's Core Expenses per FTE undergraduate student and the institution's eligible designation is otherwise consistent with the purposes of the Title III or Title V program.

1. Provide documentation to substantiate your request.

**Core Expenses Waiver Option #5, 34 CFR 606.4(d)(5) and 607.4(d)(5)**

**Operation of high cost professional schools** such as medical and dental schools distorted your institution's E&G expenditures per FTE undergraduate student, and the

institution's eligible designation is otherwise consistent with the purposes of the Title III or Title V program.

1. Provide documentation to substantiate your request.
  - a. Include enrollment and cost comparisons with similar IHEs.

## **PART V. CERTIFICATION**

A duly authorized representative of the institution must check the box in Part V to certify that to the best of his or her knowledge that all data in the application are true and correct and that the applicant institution will comply with the required assurances. By checking this box and submitting this application, the applicant institution certifies that they meet the accrediting requirements, are licensed by the State to award associate, baccalaureate or post-baccalaureate degrees, and, if applicable, meet the definition of a branch campus.

# APPENDICES

**Application for Designation As An Eligible Institution  
(ED Form 1049)**

**Federal Register Closing Date Notice Inviting Applications**

**UNITED STATES DEPARTMENT OF EDUCATION  
WASHINGTON, D.C. 20006  
APPLICATION FOR DESIGNATION AS AN ELIGIBLE INSTITUTION  
FISCAL YEAR 2015**

CFDA Number: **031H**

To apply for grants under  
Title III Programs SIP, ANNH, ANNAPISI, NASNTI, HSI STEM, and PBI  
Title V Programs HSI and PPOHA  
and the Predominately Black Institutions (PBI) Programs  
Authority: 34 CFR Part 606 and 607 Programs

**Important: You are required to provide the information requested  
in order to obtain or retain a benefit.**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1840-0103. The time required to complete this information collection is estimated to average 7.00 hours (or 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 time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4561. If you have comments or concerns regarding the status of your individual submission for this form, write directly to: Institutional Services, U.S. Department of Education, 1990 K Street, N.W., 6<sup>th</sup> Floor; Washington, DC 20006-8513

**\* This form must be completed electronically.**

**Part I. Identity of Applicant Institution**

1. Institution/Campus OPE ID Number:
2. Name of Institution/Campus Requesting:
3. Address (Street # or P.O. Box and Street Name, City, State, Zip):
4. Contact Person's Name: (Last Name, First Name, Middle Initial):
5. Contact Person's Title, Phone Number, Extension:
6. E-mail Address:
7. Data Universal Numbering System (DUNS Number):
8. Type (mark one): ( ) Two-Year Institution ( ) Four-Year Institution
9. Control (mark one): ( ) Private Non-Profit Institution ( ) Public Institution

**Part II. Institutional Enrollment**

1. Total Institutional Enrollment (Fall 2012 Head Count):
2. Total Minority Enrollment (Fall 2012 Head Count):

**Part III. Institutional Statistics**

**1. Needy Student Requirement**

- A. Fall 2012 Head Count Enrollment of Undergraduate and Graduate Degree Students:

B. Fall 2012 Recipients of Title IV Need-Based Financial Assistance:  
(Include Only Pell Grant, Supplemental Educational Opportunity Grant, College Work Study, and Perkins Loan)

C. Fall 2012 Enrollment of Half-Time up to and including Full-Time Undergraduate Students:

D. Fall 2012 Pell Grant Recipients:

## 2. Core Expenses Requirement

A. Undergraduate Full-Time Equivalent Fall 2012 Enrollment

a. Total Full-Time Undergraduate Students:

b. Total Number of Credit Hours for all Part-Time Undergraduate Students:

B. Graduate Full-Time Equivalent Fall 2012 Enrollment:

a. Total Full-Time Graduate Students:

b. Total Number of Credit Hours for all Part-Time Graduate Students:

C. Total 2012-2013 Core Expenses:

D. Average 2012-2013 Core Expenses per FTE =  $C/(A+B)$ :

<b>Part IV. Specific Institutional Eligibility Requirements</b>
---

### 1. Needy Student Requirement (mark A, B, or C)

A. According to the result, after dividing item 1B by item 1A in Part III of this form, at least 50% of Degree Students are recipients of Need-Based Financial Support; or

B. According to the result, after dividing item 1D by item 1C in Part III of this form, our enrollment exceeds the pertinent threshold for Substantial Percentage of Students Receiving Pell Grants for the 2012-2013 year.

C. Requesting Waiver (Section 607.3(b) and Section 606.3(b) option(s):  
Check an option, and attach the narrative justification to this form.

**AND**

### 2. Core Expenses Requirement (mark A or B)

A. The Core Expenses per FTE Student are less than the pertinent threshold for base year 2012-2013.

B. Requesting Waiver (Section 607.4(c) and (d) and Section 606.4(c) and (d) option(s):  
Check an option, and attach the narrative justification to this form.

**Part V. Certification**

(Although this Certification requirement is waived for applicants applying online, the Department reserves the right to require a signed form on request.)

To the best of my knowledge and belief, all data in this application are true and correct. The governing body of the applicant has duly authorized this document and the applicant will comply with the required assurances. We meet the accrediting requirements, we are licensed by the State to award associate, baccalaureate or post-baccalaureate degrees, and, if applicable, we meet the definition of a branch campus as defined in 34 CFR Part 606.7 (b) and 34 CFR 607.7 (e).

Authorized Representative's Typed Name and Title:

Date:

Authorized Representative's Signature:

Telephone Number:

Fax Number:

Former Name of Applicant:

Institution/Campus (if applicable)"

4000-01-U

DEPARTMENT OF EDUCATION

Applications for Eligibility Designation; Programs under Parts A and F of Title III of the Higher Education Act of 1965, as amended (HEA), and Programs under Title V of the HEA.

AGENCY: Office of Postsecondary Education, Department of Education.

ACTION: Notice.

Overview Information:

This notice applies to the following programs:

1. Programs authorized under Part A, Title III of the HEA: Strengthening Institutions Program (Part A SIP), Alaska Native and Native Hawaiian-Serving Institutions (Part A ANNH), Predominantly Black Institutions (Part A PBI), Native American-Serving Nontribal Institutions (Part A NASNTI), and Asian American and Native American Pacific Islander-Serving Institutions (Part A AANAPISI).

2. Programs authorized under Part F, Title III of the HEA: Hispanic-Serving Institutions STEM and Articulation (Part F, HSI STEM and Articulation), Predominantly Black Institutions (Part F PBI), Alaska Native and Native Hawaiian-Serving Institutions (Part F ANNH), Native

American-Serving Nontribal Institutions (Part F NASNTI) and Asian American and Native American Pacific Islander-Serving Institutions (Part F AANAPISI).

3. Programs authorized under Title V of the HEA: Developing Hispanic-Serving Institutions (HSI) and Promoting Postbaccalaureate Opportunities for Hispanic Americans (PPOHA).

Notice inviting applications for designation as an eligible institution for Fiscal Year (FY) 2015.

Dates:

Application Available: November 3, 2014.

Deadline for Transmittal of Applications: December 18, 2014.

Special Note: Section 312 of the HEA and 34 CFR 607.2-607.5 include most of the basic eligibility requirements for grant programs authorized under Titles III and V of the HEA. Section 312(b)(1)(B) of the HEA provides that, to be eligible for these programs, an institution of higher education's average "educational and general expenditures" (E&G) per full-time equivalent (FTE) undergraduate student must be less than the average E&G expenditures per FTE undergraduate student of institutions that offer similar instruction in that year.

34 CFR 607.4(a). Since 2004, the National Center for Education Statistics (NCES) has calculated core expenses (Core Expenses) per FTE of postsecondary institutions, a statistic similar to E&G per FTE. Both E&G per FTE and Core Expenses per FTE are based on regular operational expenditures of postsecondary institutions (excluding auxiliary enterprises, independent operations, and hospital expenses). They differ only in that E&G per FTE is based on fall undergraduate enrollment, while Core Expenses per FTE is based on 12-month undergraduate enrollment for the academic year. To avoid inconsistency in the data submitted to and produced by the Department, for the purpose of section 312(b)(1)(B) of the HEA, E&G per FTE will now be calculated using the same methodology as Core Expenses per FTE. Accordingly, with regard to this and future notices inviting applications, to calculate E&G per FTE for the purpose of determining institutional eligibility for programs under Part A and Part F of Title III and Title V of the HEA, the Department will apply the NCES methodology for calculating Core Expenses per FTE. Institutions applying for eligibility must use the Core Expenses per FTE data reported to NCES's Integrated Postsecondary Education Data System (IPEDS) for the most currently available academic year, in this case 2012-2013.

## Full Text of Announcement

### I. Funding Opportunity Description

#### Purpose of Programs:

The Part A SIP, Part A ANNH, Part A PBI, Part A NASNTI, and Part A AANAPISI programs are authorized under Title III, Part A, of the HEA. The HSI and PPOHA programs are authorized under Title V of the HEA. The Part F, HSI STEM and Articulation, Part F PBI, Part F AANAPISI, Part F ANNH, and Part F NASNTI programs are authorized under Title III, Part F of the HEA. Please note that certain programs in this notice have the same or a similar name as another program that falls under a different statutory authority. For this reason, we specify the statutory authority as part of the acronym for certain programs.

Under the programs discussed above, institutions of higher education ("IHEs" or "institutions") are eligible to apply for grants if they meet specific statutory and regulatory eligibility requirements. An IHE that submits an application and is designated as an eligible institution may also receive a waiver of certain non-Federal cost-sharing requirements for one year under the Federal Supplemental Educational Opportunity Grants (FSEOG) program authorized by Part A, Title IV of the HEA and the Federal Work-Study Program (FWS) program authorized by section 443

of the HEA. Qualified institutions may receive the FWS and FSEOG waivers for one year even if they do not receive a grant under the Title III or Title V Programs. An applicant that receives a grant from the Student Support Services (SSS) program that is authorized under section 402D of the HEA, 20 U.S.C. 1070a-14, may receive a waiver of the required non-Federal share for institutions for the duration of the grant. An applicant that receives a grant from the Undergraduate International Studies and Foreign Language (UISFL) program that is authorized under section 604 of the HEA, 20 U.S.C. 1124, may receive a waiver or reduction of the required non-Federal share for institutions for the duration of the grant.

Special Note: To qualify as an eligible institution under the grant programs listed in this notice, your institution must satisfy several criteria. For most of these programs, these criteria include those that relate to the enrollment of needy students and to Core Expenses per FTE for a specified base year. The most recent data available for Core Expenses per FTE are for base year 2012-2013. In order to award FY 2015 grants in a timely manner, we will use this data to evaluate eligibility. Therefore, in completing your eligibility application, please use Core

Expenses per FTE reported to IPEDS for academic year 2012-2013.

Accordingly, all institutions interested in applying for a new grant under the Title III or Title V programs addressed in this notice or in requesting a waiver of the non-Federal cost share, must apply for eligibility designation for FY 2015. Under the HEA, any IHE interested in applying for a grant under any of these programs must first be designated as an eligible institution. (34 CFR 606.5 and 607.5).

ELIGIBLE APPLICANTS:

The eligibility requirements for the programs authorized under Part A of Title III of the HEA are in Sections 312 and 317-320 of the HEA (20 U.S.C. 1058, 1059d-1059g) and in the Department's implementing regulations at 34 CFR 607.2 through 607.5. The regulations may be accessed at: [www.gpo.gov/fdsys/pkg/CFR-2001-title34-vol3/xml/CFR-2001-title34-vol3-part607.xml](http://www.gpo.gov/fdsys/pkg/CFR-2001-title34-vol3/xml/CFR-2001-title34-vol3-part607.xml).

The eligibility requirements for the programs authorized by Part F of Title III of the HEA are in Section 371 of the HEA (20 U.S.C. 1067q). We are developing regulations for these programs; there are currently no specific program regulations.

The eligibility requirements for the Title V HSI Program are in Part A of Title V of the HEA and in 34 CFR 606.2 through 34 CFR 606.5. The regulations may be accessed at: [www.gpo.gov/fdsys/pkg/CFR-2001-title34-vol3/xml/CFR-2001-title34-vol3-part606.xml](http://www.gpo.gov/fdsys/pkg/CFR-2001-title34-vol3/xml/CFR-2001-title34-vol3-part606.xml).

The requirements for the PPOHA Program are in Part B of Title V of the HEA and in the notice of final requirements published in the Federal Register on July 27, 2010 (75 FR 44055), and in 34 CFR 606.2(a) and (b), and 606.3 through 606.5.

ENROLLMENT OF NEEDY STUDENTS: For the Title III, Part A SIP; Part A ANNH; Part A NASNTI; Part A AANAPISI Part A PBI; Title III, Part F HSI STEM and Articulation; Part F AANAPISI; Part F NASNTI; Part F ANNH; Part F PBI; HSI and PPOHA programs, an institution is considered to have an enrollment of needy students if: (1) at least 50 percent of its degree students received financial assistance under: the Federal Pell Grant, FSEOG, FWS, or the Federal Perkins Loan Programs; or (2) the percentage of its undergraduate degree students who were enrolled on at least a half-time basis and received Federal Pell Grants exceeded the median percentage of undergraduate degree students who were enrolled on at least a half-time basis and received Federal

Pell Grants at comparable institutions that offer similar instruction.

To qualify under this latter criterion, an institution's Federal Pell Grant percentage for base year 2012-2013 must be more than the median for its category of comparable institutions provided in the 2012-2013 Median Pell Grant and Core Expenses per FTE Student Table in this notice.

For the definition of "Enrollment of Needy Students" for purposes of the Part A PBI Program, see section 318(b)(2) of the HEA, and for purposes of the Part F PBI program see section 371(c)(9) of the HEA.

CORE EXPENSES PER FTE STUDENT: For the Title III, Part A SIP; Part A ANNH; Part A PBI; Part A NASNTI; Part A AANAPISI; Title III, Part F HSI STEM and Articulation; Part F PBI; Part F AANAPISI; Part F ANNH; Part F NASNTI; HSI and PPOHA programs, an institution should compare its base year 2012-2013 Core Expenses per FTE student to the average Core Expenses per FTE student for its category of comparable institutions in the base year 2012-2013 Median Pell Grant and Average Core Expenses per FTE Student Table in this notice. The institution meets this eligibility requirement under these programs if its Core Expenses for the 2012-2013

base year are less than the average for its category of comparable institutions.

Core Expenses are defined as the total expenses for the essential education activities of the institution. Core Expenses for public institutions reporting under the Governmental Accounting Standards Board (GASB) standards include expenses for instruction, research, public service, academic support, student services, institutional support, operation and maintenance of plant, depreciation, scholarships and fellowships, interest and other operating and nonoperating expenses. Core Expenses for institutions reporting under the Financial Accounting Standards Board (FASB) standards (primarily private, not-for-profit and for-profit) include expenses for instruction, research, public service, academic support, student services, institutional support, net grant aid to students, and other expenses. For both FASB and GASB institutions, core expenses exclude expenses for auxiliary enterprises (e.g., bookstores, dormitories), hospitals, and independent operations. The following table identifies the relevant median Federal Pell Grant percentages for the base year 2012-2013 and the relevant Core Expenses per FTE student for the base year 2012-2013 for the four categories of comparable institutions:

Type of Institution	Base Year 2012-2013 Median Pell Grant Percentage	Base Year 2012-2013 Average Core Expenses per FTE Student
Two-year Public Institutions	34.7	\$11,287
Two-year Non-profit Private Institutions	38	\$13,657
Four-year Public Institutions	45	\$27,608
Four-year Non-profit Private Institutions	44	\$34,361

Waiver Information: IHEs that are unable to meet the needy student enrollment requirement or the Core Expenses per FTE requirement may apply to the Secretary for waivers of these requirements, as described in sections 392 and 522 of the HEA, and the implementing regulations at 34 CFR 606.3(b), 606.4(c) and (d), 607.3(b), and 607.4(c) and (d).

IHEs requesting a waiver of the needy student enrollment requirement or the Core Expenses per FTE requirement must include in their application detailed information supporting the waiver request, as described in the instructions for completing the application.

The regulations governing the Secretary's authority to waive the needy student requirement, 34 CFR 606.3(b)(2) and (3) and 607.3(b)(2) and (3), refer to "low-income" students

or families. The regulations at 34 CFR 606.3(c) and 607.3(c) define "low-income" as an amount that does not exceed 150 percent of the amount equal to the poverty level, as established by the U.S. Census Bureau.

For the purposes of this waiver provision, the following table sets forth the low-income levels for the various sizes of families:

2012 ANNUAL LOW-INCOME LEVELS			
Size of Family Unit	Family Income for the 48 Contiguous States, DC, and Outlying Jurisdictions	Family Income for Alaska	Family Income for Hawaii
1	\$16,755	\$20,955	\$19,290
2	\$22,695	\$28,380	\$26,115
3	\$28,635	\$35,805	\$32,940
4	\$34,575	\$43,230	\$39,765
5	\$40,515	\$50,655	\$46,590
6	\$46,455	\$58,080	\$53,415
7	\$52,395	\$65,505	\$60,240
8	\$58,335	\$72,930	\$67,065

Note: We use the 2012 annual low-income levels because those are the amounts that apply to the family income reported by students enrolled for the fall 2012 semester. For family units with more than eight members, add the following amount for each additional family member:

\$5,940 for the contiguous 48 States, the District of Columbia, and outlying jurisdictions; \$7,425 for Alaska; and \$6,825 for Hawaii.

The figures shown under family income represent amounts equal to 150 percent of the family income levels established by the U.S. Census Bureau for determining poverty status. The poverty guidelines were published by the U.S. Department of Health and Human Services in the Federal Register on January 26, 2012 (77 FR 4034).

The information about "metropolitan statistical areas" referenced in 34 CFR 606.3(b)(4) and 607.3(b)(4) may be obtained at:

[www.census.gov/prod/2010pubs/10smadb/appendixc.pdf](http://www.census.gov/prod/2010pubs/10smadb/appendixc.pdf) and  
[www.census.gov/prod/2008pubs/07ccdb/appd.pdf](http://www.census.gov/prod/2008pubs/07ccdb/appd.pdf).

Electronic Submission of Applications:

Applications for designation of eligibility must be submitted electronically at:

<http://opeweb.ed.gov/title3and5/>.

To enter the Web site, you must use your institution's unique 8-digit identifier, i.e., your Office of Postsecondary Education Identification Number (OPE ID Number). Your business office or student financial aid office should have the OPE ID Number. If not, contact the Department using the e-mail addresses of the contact

persons listed in this notice under For Applications and Further Information Contact. You will find detailed instructions for completing the application form electronically under the "Eligibility" link at: <http://www2.ed.gov/about/offices/list/ope/ides/eligibility.html>

If your institution is unable to meet the needy student enrollment requirement or the Core Expenses requirement, you may request a waiver of one or both of these requirements. To request a waiver, you must upload a waiver narrative at: <http://opeweb.ed.gov/title3and5/>.

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

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

to the

Web site;

and

- No later than two weeks before the application deadline date (14 calendar days; or, if the fourteenth calendar day before the application deadline date falls on

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

Mail or fax your statement to: Nancy Regan, U.S. Department of Education, 1990 K Street, NW., Room 6032, Washington, DC 20006-8513. Fax: (202) 502-7861.

Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

Submission of Paper Applications by Mail.

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

Nancy Regan

U.S. Department of Education  
1990 K Street, NW., Room 6032  
Washington, DC 20006-8513

You must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

Submission of Paper Applications by Hand Delivery.

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

Nancy Regan  
U.S. Department of Education  
1990 K Street, NW., Room 6032  
Washington, DC 20006-8513

Hand delivered applications will be accepted daily between 8:00 a.m. and 4:30 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

Applicable Regulations: This notice inviting applications (NIA) is being published before the Department adopts the Uniform Administrative Requirements, Cost Principles, and Audit Requirements in 2 CFR part 200. We expect to publish interim final regulations that would adopt those requirements before December 26, 2014, and make those regulations effective on that date. Because grants in the programs to which this separate application process applies will likely be made after the Department adopts the requirements in 2 CFR part 200, we list as applicable regulations both those that are currently effective and

those that will be effective at the time the Department makes grants.

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

(b) The OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) in 2 CFR part 180, as adopted as regulations of the Department in 2 CFR part 3485.

At the time we award grants under this NIA, the following regulations will apply: (a) EDGAR in 34 CFR parts 75, 77, 79, 82, 84, 86, 97, 98, and 99. (b) The OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) in 2 CFR part 180, as adopted as regulations of the Department in 2 CFR part 3485 and the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR part 200, as adopted in 2 CFR part 3474.

Regardless of the timing of the publication of the interim final regulations, the following also will apply to this NIA: (a) The regulations for the Title III Programs in 34 CFR part 607, and for the HSI Program in 34 CFR part 606. (b) The notice of final requirements for the PPOHA

Program, published in the Federal Register on July 27, 2010 (75 FR 44055).

Note: There are no program-specific regulations for the Part A AANAPISI, Part A NASNTI, and Part A PBI programs or any of the Part F, Title III programs. Also, there have been amendments to the HEA since the Department last issued regulations for the programs established under Titles III and V of the statute. Accordingly, we encourage each potential applicant to read the applicable sections of the HEA in order to fully understand the eligibility requirements for the program for which they are applying. Please note that the Department is in the process of amending the Title III and Title V regulations. These updated regulations will include regulations for Part A AANAPISI, Part A NASNTI, and Part A PBI programs, as well as the Part F, Title III programs.

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

Note: The regulations in 34 CFR part 86 apply to institutions of higher education only.

For Applications and Further Information Contact: Robyn Wood or Jeffrey Hartman, Institutional Service, U.S. Department of Education, 1990 K Street, NW., Room 6134,

Request for Eligibility Designation, Washington, DC 20006-8513.

You can contact these individuals at the following e-mail addresses or phone numbers:

[Robyn.Wood@ed.gov](mailto:Robyn.Wood@ed.gov), 202-502-7437  
[Jeffrey.Hartman@ed.gov](mailto:Jeffrey.Hartman@ed.gov), 202-502-7607

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.

Individuals with disabilities can obtain this document in an accessible format (e.g., braille, large print, audio tape, or compact disc) on request to one of the contact persons listed in this section.

Electronic Access to This Document: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available via the Federal Digital System at:

[www.gpo.gov/fdsys](http://www.gpo.gov/fdsys). 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 Adobe 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: October 29, 2014

/s/

---

Lynn B. Mahaffie,  
Acting Assistant Secretary  
for Postsecondary Education.