

Instructions

For Preparing the

Fiscal Year 2011

**ANNUAL AGENCY PERFORMANCE REPORT
ON ACTIONS TO ASSIST
MINORITY-SERVING INSTITUTIONS**



Prepared by

**The White House Initiatives on
Historically Black Colleges and Universities Executive Order 13532
American Indian and Alaska Native Education Order 13592
Educational Excellence for Hispanics Executive Order 13555
Asian Americans and Pacific Islanders Executive Order 13515**

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Part I

Instructions and Guidelines for Preparing the Annual Agency Performance Report on Executive Agency Actions to Assist Minority-Serving Institutions (MSIs)

Section A: Executive Summary

For the purposes of this report, Minority-Serving Institutions (MSIs) refers specifically to Historically Black Colleges and Universities (HBCUs), Tribal Colleges and Universities (TCUs), Hispanic-Serving Institutions (HSIs), and Asian American and Native American Pacific Islander-Serving Institutions (AANAPISIs).

All funds allocated to Alaska Native and Native Hawaiian-Serving Institutions (ANNHs) should be reported in the Asian American and Native American Pacific Islander-Serving Institutions (AANAPISIs) category. Please provide separate narrative statements for AANAPISIs and ANNHs funding in your executive summary.

Provide a one- or two-page summary of how your agency assisted MSIs during Fiscal Year (FY) 2011 regarding:

1. Goals and measurable objectives your agency achieved during the fiscal year;
2. A listing of programs your agency implemented for increasing federal opportunities for each MSI separately and replicated in other agencies;
3. Total funding for awards to MSIs during FY 2011;
4. The amount of increased funding for MSIs during FY 2011 compared to funding for these institutions during FY 2010 (please give reasons for significant increases), if applicable; or
5. The amount of decreased funding for MSIs during FY 2011 compared to funding for these institutions during FY 2010 (please give reasons for significant decreases), if applicable; and
6. Highlights of noteworthy accomplishments that resulted from these investments.

Part I

Section B: Summary of Agency Awards by Select Category

The Part I, Section B form is provided for reporting total funds for awards to institutions of higher education by select category for FY 2011.

These categories are:

1. Grants
2. Contracts
3. Loans
4. Services
5. Technical Assistance

Section C: Summary of Agency Awards by Program Category

The Part I, Section C form is provided for reporting total funding, by category, which resulted from agency initiatives to strengthen MSIs. Report only those categories your agency supported in FY 2011. These categories are:

1. Research and Development
2. Program Evaluation
3. Training
4. Facilities and Equipment
5. Internships, Traineeships, Recruitment, and Arrangements under the Intergovernmental Personnel Act (IPAs)
6. Student Tuition Assistance, Fellowships, Scholarships, and Other Aid
7. Direct Institutional Subsidies
8. Third-Party Awards
9. Private-Sector Involvement
10. Administrative Infrastructure
11. Economic Development
12. Other Activities

Part I: Section B

Summary of Agency Awards by Select Category for FY 2011

1. AGENCY: _____

2. DATE: _____

3. TOTAL FUNDS FOR AWARDS TO INSTITUTIONS OF HIGHER EDUCATION (IHEs):

CATEGORY	FY 2011 Funds to IHEs	FY 2011 Funds		Funds as % of Funds to IHEs	
		HBCU	TCU	HBCU	TCU
1. Grants					
2. Contracts					
3. Loans					
4. Services					
5. Technical Assistance					
Total					

Part I: Section B (continued)

Summary of Agency Awards by Select Category for FY 2011

1. AGENCY: _____

2. DATE: _____

3. TOTAL FUNDS FOR AWARDS TO INSTITUTIONS OF HIGHER EDUCATION (IHEs):

CATEGORY	FY 2011 Funds to IHEs	FY 2011 Funds		Funds as % of Funds to IHEs	
		HSI	AANAPISI & ANNH*	HSI	AANAPISI & ANNH*
1. Grants					
2. Contracts					
3. Loans					
4. Services					
5. Technical Assistance					
Total					

- * Report the combined total awards to AANAPISIs and ANNHs here, but please provide separate statements on funds allocated to Asian American and Native American Pacific Islander-Serving Institutions (AANAPISIs) and Alaska Native and Native Hawaiian-Serving Institutions (ANNHs) in your executive summary.

Part I. Section C

Summary of Agency Awards by Program Category for FY 2011

1. AGENCY: _____

2. DATE: _____

3. TOTAL FUNDS FOR AWARDS TO INSTITUTIONS OF HIGHER EDUCATION (IHEs):
\$ _____

CATEGORY	FY 2011 Funds to IHEs	FY 2011 Funds		Funds as % of Funds to IHEs	
		HBCU	TCU	HBCU	TCU
1. Research and Development					
2. Program Evaluation					
3. Training					
4. Facilities and Equipment					
5. Internships, Traineeships, Recruitment, and IPAs					
6. Student Tuition Assistance, Fellowships, Scholarships, and Other Aid					
7. Direct Institutional Subsidies					
8. Third-Party Awards					
9. Private-Sector Involvement					
10. Administrative Infrastructure					
11. Economic Development					
12. Other Activities					
Total					

Part I. Section C (continued)

Summary of Agency Awards by Program Category for FY 2011

1. AGENCY: _____

2. DATE: _____

3. TOTAL FUNDS FOR AWARDS TO INSTITUTIONS OF HIGHER EDUCATION (IHEs):
\$ _____

CATEGORY	FY 2011 Funds to IHEs	FY 2011 Funds		Funds as % of Funds to IHEs	
		HSI	AANAPISI & ANNH	HSI	AANAPISI & ANNH
1. Research and Development					
2. Program Evaluation					
3. Training					
4. Facilities and Equipment					
5. Internships, Traineeships, Recruitment, and IPAs					
6. Student Tuition Assistance, Fellowship Scholarships, and Other Aid					
7. Direct Institutional Subsidies					
8. Third-Party Awards					
9. Private-Sector Involvement					
10. Administrative Infrastructure					
11. Economic Development					
12. Other Activities					
Total					

Part I. Section D

Section D. Table of FY 2011 Federal Agency Awards, by Institution and by Program Category

The detailed instructions to follow shortly will include a table to list the amount each agency awarded to each MSI and should be used to record the total award to each institution by category.

Part I. Section E

Section E. FY 2011 Awards Narrative

Provide a narrative description of activities and programs that supported each of the 12 program categories identified in Part I. Section C. If there is a significant variance between FY 2010 and FY 2011 in the total funding awarded in any of the program categories, please include a brief explanation.

By **March 16, 2012**, a copy of your agency's Annual Performance Report should be received in the following office:

**U. S. Department of Education
White House Initiative on HBCUs
400 Maryland Avenue, SW, Fourth Floor
Washington, DC 20202
WHI2011REPORTS@ED.Gov**

Please contact the following offices for additional information.

WHI-HBCU---202-453-5634
WHI-AIANE--202-453-6600
WHI-EEH-----202-401-1411
WHI-AAPI-----202-453-6566

Part II

Definitions of Terms

The following definitions apply for the purpose of reporting the FY 2011 Annual Federal Performance Report:

Administrative Infrastructure: The management and administrative framework of an institution of higher education.

Agency: All executive departments, agencies, and components of the federal government.

Alaska Native-Serving Institution (ANSI): The Higher Education Act of 1965, as amended, defines an ANSI as "...an institution of higher education that – (A) is an eligible institution under section 1058(b) of this title; and (B) at the time of application, has an enrollment of undergraduate students that is at least 20 percent Alaska Native students."

Asian: A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam. It includes people who indicate their race as "Asian Indian," "Chinese," "Filipino," "Korean," "Japanese," "Vietnamese," or "Other Asian" or who provide other detailed Asian responses.

Asian American and Native American Pacific Islander-Serving Institution (AANAPISI): The Higher Education Act of 1965, as amended, defines an AANAPISI as "...an institution of higher education that - (A) is an eligible institution; and (B) at the time of application, has an enrollment of undergraduate students that is not less than 10 percent students who are Asian American or Native American Pacific Islander." In order to be eligible for grants under the AANAPISI program, each college or university attested that it met the HEA's definition of an Asian American and Native American Pacific Islander-serving institution and self-certified that it met the conditions of eligibility.

Award: Funds that an agency provides to an institution of higher education under a grant, contract, or other assistance.

Contract: A legal instrument reflecting a relationship between a federal agency and an institution of higher education where the principal purpose is to acquire (by purchase, lease, or barter) goods or services.

Direct Institutional Subsidies: Federal financial support to institutions of higher education for education and general expenses where the federal government either places no restrictions on the uses to which the funds may be put or where the federal government provides a broad range of allowable activities within which the institution has discretion to use the funds.

Economic Development: Awards provided to support creation of new businesses or jobs, or to expand existing businesses in order to create new markets.

Facilities and Equipment: Structures, works, fixed equipment, or major repairs or alterations to structures, works, fixed equipment, facilities, or land for use by an institution of higher education.

Fellowships, Internships, Traineeships, Recruitment, and Arrangements under the Intergovernmental Personnel Act (IPAs): Cooperative education, student and faculty internships, visiting professorships, and personnel and student recruitment at institutions of higher education.

Grant: The method of transferring property, money, services, or anything of value to a recipient in order to accomplish a public purpose authorized by statute when the agency is not anticipated to be substantially involved in performing the activity.

Historically Black Colleges and Universities (HBCUs): The Higher Education Act of 1965, as amended, defines an HBCU as: “...any historically black college or university that was established prior to 1964, whose principal mission was, and is, the education of black Americans, and that is accredited by a nationally recognized accrediting agency or association determined by the Secretary [of Education] to be a reliable authority as to the quality of training offered or is, according to such an agency or association, making reasonable progress toward accreditation....”

Hispanic-Serving Institution (HSI): The Higher Education Act of 1965, as amended, defines an HSI as: “an institution of higher education that—(A) is an eligible institution; and (B) has an enrollment of undergraduate full-time equivalent students that is at least 25 percent Hispanic students at the end of the award year immediately preceding the date of application.” In order to be eligible for grants under the HSI program, each college and university attested that it met the HEA’s definition of a Hispanic-serving institution and self-certified that it met the conditions of eligibility.

Institution of Higher Education (IHE): Any postsecondary educational institution in the United States or its territories that offers at least two years of college-level studies. Qualified institutions are listed in the *Education Directory: Colleges and Universities*, published by the U.S. Department of Education’s National Center for Education Statistics.

Measurable Objectives: Agency activities or support for MSIs that can be quantitatively measured in dollar amounts or in discrete, nonfinancial units of measure.

Native Hawaiian or Other Pacific Islander: A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands. It includes people who indicate their race as “Native Hawaiian,” “Guamanian or Chamorro,” “Samoaan,” and “Other Pacific Islander” or who provide other detailed Pacific Islander responses.

Native Hawaiian-Serving Institution (NHSI): The Higher Education Act of 1965, as amended, defines an NHSI as “...an institution of higher education which – (A) is an eligible institution under section 1058(b) of this title; and (B) at the time of application, has an enrollment of undergraduate students that is at least 10 percent Native Hawaiian students.”

Program Evaluation: Actions to assess the effectiveness of institutional programs and activities, as well as the effectiveness of federal programs and activities. In many cases, program evaluation activities are conducted on a continuous basis and are frequently included as salaries or other budgetary expenses.

Research and Development (R&D): Studies, observations, and other activities concerned with the identification, description, experimental investigation, and theoretical explanation of social, physical, and behavioral phenomena. Implementation activities are also included in R&D.

Student Tuition Assistance, Scholarships, and Other Aid: Federal funds awarded to an institution of higher education for students or awarded directly to students for payment of such charges as tuition and room and board.

Technical Assistance: Direct help or services to institutions of higher education in key areas such as writing proposals, negotiating awards, and managing programs and finances.

Third-Party Awards: Organizations or entities that receive federal funds on behalf of historically black colleges or universities, tribal colleges and universities, Hispanic-serving institutions or Asian American Native American Pacific Islander-Serving Institutions. Examples of such entities include the National Association for Equal Opportunity in Higher Education (NAFEO); American Indian in Higher Education Consortium; The College Fund/UNCF; National Laboratories, such as Los Alamos or Lawrence Livermore; and other foundations and associations.

Training: Using professional personnel (federal and non-federal) to acquire or enhance knowledge or skills at an MSI.

Tribal Colleges and Universities: Tribal Colleges and Universities are those institutions that are chartered by their respective Indian tribes through the sovereign authority of the tribes or by the federal government, and defined in Section 316 (20 U.S.C. 1059c) of the Higher Education Act of 1965, and those institutions cited in section 532 of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note).