U.S. DEPARTMENT OF EDUCATION

Office of Postsecondary Education
Washington, DC 20006-8515

Fiscal Year 2008

APPLICATION FOR GRANTS UNDER THE

HISTORICALLY BLACK COLLEGES AND UNIVERSITIES AND HISTORICALLY BLACK GRADUATE INSTITUTIONS PROGRAMS

(CFDA NUMBER: 84.031B)

Form Approved: OMB No. 1840-0113, New Expiration Date:

CLOSING DATES: Month XX, 2008

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Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1840-0113 Expiration date: INSERT DATE. The time required to complete this information collection is estimated to average 4 hours per response for Formula Data, and 24 hours per response for application narrative, 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 estimates or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Karen W. Johnson, Team Leader, Historically Black Colleges and Universities, Historically Black Graduate Institutions Program, and Minority Science and Engineering Improvement Program, Institutional Development and Undergraduate Education Service, Office of Postsecondary Education, 1990 K St., NW, 6th Floor, Washington, DC 20006-8515.

Dear Applicant:

Thank you for your interest in applying for a grant in fiscal year (FY) 2008 for new awards under the Historically Black Colleges and Universities (HBCU) and the Historically Black Graduate Institutions (HBGI) programs. The Title III, Part B, HBCU and HBGI programs provide financial assistance to establish or strengthen the academic resources, endowment building capacity, management capabilities and physical plants of historically Black colleges and universities.

Institutions of higher education legally designated as a Historically Black College or University, or a Historically Black Graduate Institution or qualified graduate program are eligible to apply. Additional information and the regulations governing the HBCU and HBGI programs can be accessed from the following Web site:

http://www.ed.gov/about/offices/list/ope/idues/index.html

The specifics regarding this year's application procedures are contained in this application package. We encourage applicants to review FY 2008 Key Application Highlights found in the application package for an overview of important items.

Please note there are two deadlines for submitting information. Phase I Formula Data must be submitted by the **[insert actual closing date here]** and Phase II, the Project Plan, must be submitted by the **[insert actual closing date here]**.

In FY 2008 we are pleased to announce an additional $85 million appropriated under the HBCU program and authorized by IV, Part J of the Higher Education Act of 1965 (as amended by section 802 of the College Cost Reduction and Access Act (CCRAA) of 2007. Details regarding these additional funds as well as the necessary application procedures are included in this package.

Technical Assistance workshops will be held to help grantees design and implement applications to address the additional two-year funding authorized by the CCRAA and to provide assistance with implementing the new Web based application submission procedures. These workshops will also emphasize the need for developing strong project-level performance measures that capture the impact of the activities grantees pursue toward their goals. The Department is committed to helping grantees use data to achieve their goals and, in turn, the goals of the HBCU program.

If you have any questions or require additional information, please contact Karen W. Johnson via email at: karen.johnson@ed.gov or by phone at (202) 502-7642.

I appreciate your interest in the Historically Black Colleges and Universities and Historically Black Graduate Institutions programs and look forward to receiving your application.

Sincerely,

James E. Laws, Jr., Ed.D.
Director, Institutional Development
and Undergraduate Service

FY 2008 KEY APPLICATION HIGHLIGHTS

1. The College Cost Reduction and Access Act (CCRAA) of 2007 provides $85 million for each fiscal year (FY) 2008 and 2009 for the Title III, Part B Historically Black Colleges and Universities (HBCU) program. These additional funds are to be added to any amount appropriated in a regular or supplemental appropriation act for the Title III, Part B Strengthening HBCUs Program. These funds are not available under the Historically Black Graduate Institutions (HBGI) Program.

2. As a result of the additional $85 million, HBCUs are required to submit separate applications (Phase II Project Plan only) to address the additional funding. The same data submitted in response to the Phase I Formula Data will be used to calculate awards for this additional funding.

3. For FY 2008, electronic submission of applications (Phase II Project Plan) is required. You must submit an application electronically unless you qualify for one of the exceptions to the electronic submission requirement. Phase II Project Plan that comprises the Comprehensive Development Plan and other forms must be submitted electronically on-line. The Web site for the on-line application is: https://apr.ed.gov/hbcuapplication

4. HBCU and HBGI Phase I Formula Data must be submitted to the Department of Education via fax. Submit your data by the closing date to: Mrs. Dianne Pitts at (202) 502-7861.

5. Applicants are required to submit a project abstract. The project abstract is limited to one page, single-spaced. The project abstract **must** include information about the institution's proposed Title III, Part B project, providing a brief summary of the proposed activities and how they will address the goals and objectives of the Title III, Part B program. A separate project abstract must be prepared to address the institution's proposed CCRAA 2-year project, with priority given to the following allowable activities:

- Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes;
- Construction, maintenance, renovation, and improvement in classroom, library, laboratory, and other instructional facilities, including purchase or rental of telecommunications technology equipment or services;
- Academic instruction in disciplines in which Black Americans are underrepresented;
- Purchase of library books, periodicals, microfilm, and other educational materials, including telecommunications program materials;

- Establishing or enhancing a program of teacher education designed to qualify students to teach in a public elementary or secondary school in the State that shall include, as part of such program, preparation for teacher certification; and
- Other activities, consistent with the institution's comprehensive plan and designed to increase the institutions capacity to prepare students for careers in the physical or natural sciences, mathematics, computer science or information technology or sciences, engineering, language instruction in the less-commonly taught languages or international affairs, or nursing or allied health professions.

6. Applications submitted via ICF/Caliber must follow specific formatting requirements. A "page" is 8.5" x 11", on one side only, with not less than 1" margins at the top, bottom, and both sides. Page numbers, headers, footers, and/or other identifiers may be used, but may **not** be within the 1" margin. Double space (no more than three lines per vertical inch) all text in the application narrative, except titles, headings, footnotes, quotations, references, captions and all text in charts, tables, and graphs. Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. Applications submitted in any other font (including Times Roman and Arial Narrow) will be rejected. Use not less than 12-point font.

7. All computer file attachments must be in one of the following formats:

- Portable Document Format: .pdf
- Microsoft Rich Text Format: .rtf
- Microsoft Word: .doc (.docx is not acceptable)
- OpenOffice Open Document Format : .odt
- OpenOffice/StarOffice Writer: .swx.

AUTHORIZING LEGISLATION

Institutions submitting applications for a five year grant are required to submit a Comprehensive Development Plan (CDP) in accordance with 608.21 (HBCU) and 609.21 (HBGI) of the regulations. The CDP is a part of the Phase II Project Plan. The regulations governing the HBCU and HBGI programs can be accessed from the following Web sites:

Legislation

Higher Education Act of 1965, as amended; Strengthening Historically Black Colleges and Universities; Title III, Part B, Sections 321-341; CFDA 84.031B.

Institutions submitting applications for 2-year grants under the College Cost Reduction and Access Act (CCRAA) of 2007 are required to submit a separate Comprehensive Development Plan. The legislation governing the 2-year additional funding can be accessed from the following Web site:

Higher Education Act Title III, Part B, College Cost Reduction and Access Act (CCRAA) of 2007, Title IV, Part J, Section 499 A.

Regulations

- 34 CFR Part 608 for HBCUs.
- 34 CFR Part 609 for HBGIs.
- Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 81, 82, 84, 85, 86, 97, 98, and 99

If your proposed project includes a request for endowment activities, please refer to the following:

Legislation

- Higher Education Act (HEA) of 1965, Title III, Part C, P.L. 96-374, as amended by P.L. 99-498, P.L. 100-50, and P.L. 102-325. (20 U.S.C. 1065a)

Regulations

- 34 CFR Part 628 for Endowment Challenge Grant Program

INTRODUCTION
HISTORICALLY BLACK COLLEGES AND UNIVERSITIES PROGRAM AND HISTORICALLY BLACK GRADUATE INSTITUTIONS PROGRAM

PURPOSE

The Title III, Part B, HBCU and HBGI programs provide financial assistance to establish or strengthen the academic resources, endowment building capacity, management capabilities and physical plants of historically Black colleges and universities.

ELIGIBLE APPLICANTS

Institutions of higher education legally designated as a historically Black college or university, or a historically Black graduate institution or qualified graduate program are the only entities eligible to apply.

ACTIVITIES FUNDED UNDER THIS PROGRAM

HBCU grantees may use Title III, Part B funds to carryout the following activities:

- Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes;
- Construction, maintenance, renovation, and improvement in classroom, library, laboratory, and other instructional facilities, including purchase or rental of telecommunications technology equipment or services;
- Support of faculty exchanges, and faculty development and faculty fellowships to assist in attaining advanced degrees in their field of instruction;
- Academic instruction in disciplines in which Black Americans are underrepresented;
- Purchase of library books, periodicals, microfilm, and other educational materials, including telecommunications program materials;
- Tutoring, counseling, and student service programs designed to improve academic success;
- Funds and administrative management, and acquisition of equipment for use in strengthening funds management;
- Joint use of facilities, such as laboratories and libraries;
- Establishing or improving a development office to strengthen or improve contributions from alumni and the private sector;
- Establishing or enhancing a program of teacher education designed to qualify students to teach in a public elementary or secondary school in the State that shall include, as part of such program, preparation for teacher certification;
- Establishing community outreach programs, which will encourage elementary and secondary students to develop the academic skills and the interest to pursue postsecondary education; and

- Other activities proposed in the application submitted pursuant to section 325 of the HEA, as amended, that—
  (A) contribute to carrying out the purposes of this
  part and
  (B) are approved by the Secretary as part of the review and acceptance of such application.

HBCU grantees may, in addition to the allowable activities noted above, use not more than 20% of the Title III funds to establish and maintain an institutional endowment to facilitate financial independence.

HBGI grantees may use Title III, Part B funds to carryout the following activities:

- Purchase, rental or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes;
- Construction, maintenance, renovation, and improvement in classroom, library, laboratory, and other instructional facilities, including purchase or rental of telecommunications technology equipment or services;
- Purchase of library books, periodicals, technical and other scientific journals, microfilm, microfiche, and other educational materials, including telecommunications program materials;
- Scholarships, fellowships, and other financial assistance for needy graduate and professional students to permit the enrollment of the students in and completion of the doctoral degree in medicine, dentistry, pharmacy, veterinary medicine, law, and the doctorate degree in the physical or natural sciences, engineering, mathematics, or other scientific disciplines in which African Americans are underrepresented;
- Establish or improve a development office to strengthen and increase contributions from alumni and the private sector;
- Assist in the establishment or maintenance of an institutional endowment to facilitate financial independence pursuant to section 331 of the HEA, as amended; and
- Funds and administrative management, and the acquisition of equipment, including software, for use in strengthening funds management and management information systems.

COLLEGE COST REDUCTION AND ACCESS ACT (CCRAA) OF 2007

Under the College Cost Reduction and Access Act (CCRAA) of 2007, an additional $85 million has been appropriated for use by the Historically Black Colleges and Universities (HBCU) program. The additional funding will be allocated using the same formula described under Section 324 of the Higher Education Act of 1965, as amended. Eligible applicants must prepare a separate Phase II Project Plan that includes the Comprehensive Development Plan that addresses the following priority activities:

- Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes;
- Construction, maintenance, renovation, and improvement in classroom, library, laboratory, and other instructional facilities, including purchase or rental of telecommunications technology equipment or services;
- Academic instruction in disciplines in which Black Americans are underrepresented;
- Purchase of library books, periodicals, microfilm, and other educational materials, including telecommunications program materials;
- Establishing or enhancing a program of teacher education designed to qualify students to teach in a public elementary or secondary school in the State that shall include, as part of such program, preparation for teacher certification; and
- Other activities, consistent with the institution's comprehensive plan and designed to increase the institutions capacity to prepare students for careers in the physical or natural sciences, mathematics, computer science or information technology or sciences, engineering, language instruction in the less-commonly taught languages or international affairs, or nursing or allied health professions.

NOTE: ENDOWMENT FUNDING IS NOT AN ALLOWABLE ACTIVITY UNDER THE 2-YEAR CCRAA APPROPRIATIONS

SUPPLEMENTAL INFORMATION

1. Applicants must submit Phase I Formula Data directly to the Department of Education via facsimile. Attention: Mrs. Dianne Pitts at (202) 502- 7861.

2. Appendices to Applications
Please limit the appendices to the following:

a. Curricula vitae of key personnel (project director and activities directors).
b. Curricula position descriptions for positions proposed for the funding cycle.

3. Notice to Applicants
In order to calculate individual grant awards, **ALL eligible institutions must submit the Phase I Formula Data on time!** The award amounts cannot be calculated unless and until all data are received. Once the data have been received and formulated, applicants will be notified of the exact FY 2008 dollar amounts. Applicants are encouraged not to wait for this fiscal award notification to begin the Phase II application processes.

4. Annual Performance Report Requirements
When you receive a grant award under Title III, Part B, you will be required to submit an annual performance report for each year during the funding cycle (including any time extensions) using the IDUES Reporting System Annual Performance Reports for Title III and Title V Grantees. This online system collects narratives and data about funded projects, to enable Department program officers to determine if a grantee is making substantial progress toward meeting approved project objectives. The annual performance report used for this program can be found at **https://www.iduesapr.org.**

Contact Information:

Karen W. Johnson, Team Leader, HBCU, HBGI & MSEIP Programs
U.S. Department of Education
1990 K Street, NW, Room 6032
Washington, D.C. 20006-8515
Telephone: (202) 502-7642 Fax: (202) 502-7861
E-mail Address: karen.johnson@ed.gov

Or

Sara Qadir, Program Officer, HBCU & HBGI Programs
U.S. Department of Education
1990 K Street, NW, Room 6044
Washington, D.C. 20006-8515
Telephone: (202) 502-7608 Fax: (202) 502-7861
E-mail Address: sara.qadir@ed.gov

INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS EXECUTIVE ORDER 12372

Intergovernmental Review of Federal Programs was issued to foster an intergovernmental partnership and strengthen federalism by relying on state and local processes for the coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. A listing of the Single Point of Contact for each State may be viewed at: http://www.whitehouse.gov/omb/grants/spoc.html.

GENERAL EDUCATION PROVISIONS ACT (GEPA) SECTION 427

Section 427 of GEPA requires all applicants for new awards to include in their applications a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally-assisted programs for students, teachers, and other program beneficiaries with special needs. The provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: *gender, race, national origin, color, disability, or age.*

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

<u>NOTE:</u>

Applicants for new awards must include information in their applications to address this provision in order to receive funding under this program.

GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)

What is GPRA?

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

How has the Department of Education responded to the GPRA requirements?

As required by GPRA, the Department of Education has prepared a strategic plan for 2007-2012. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

> **Goal 1**: Improve student achievement, with a focus on bringing all students to grade level in reading and mathematics by 2014.
> **Goal 2**: Increase the academic achievement of all high school students.
> **Goal 3**: Ensure the accessibility, affordability, and accountability of higher education and better prepare students and adults for employment and future learning.

What are the performance indicators for the Title III, Part B HBCU and HBGI programs?

The performance indicators for the Title III, Part B programs are part of the Department's plan for meeting Goal 3: Ensure the accessibility, affordability, and accountability of higher education, and better prepare students and adults for employment and future learning.

Program Goal: To improve the capacity of minority-serving institutions, which traditionally have limited resources and serve large numbers of low-income and minority students, to improve student success and to provide high-quality educational opportunities for their students.

<u>HBCU Program</u>

Objective 1 of 3: Increase enrollments at historically Black colleges and universities (HBCUs).
Measure 1.1 of 1.1: The percentage change, over the five-year grant period, of the number of full-time degree-seeking undergraduates enrolled at Historically Black Colleges and Universities.

Objective 2 of 3: Increase the persistence rate for students enrolled at HBCUs.
Measure 2.1 of 2.1: The percentage of full-time 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 Historically Black College and University institution.
Objective 3 of 3: Increase the graduation rate for students enrolled at HBCUs.
Measure 3.1 of 3.2: Federal cost per undergraduate and graduate degree at HBCUs.
Measure 3.2 of 3.2: The percentage of first-time, full-time degree-seeking undergraduate students enrolled at four-year Historically Black Colleges and Universities who graduate within six years of enrollment.

HBGI Program

Objective 1 of 2: Increase enrollments at historically Black graduate institutions (HBCUs).
Measure 1.1 of 1.1: The percentage change, over the five-year grant period, of the number of full-time graduate students enrolled at Historically Black Graduate Institutions.
Objective 2 of 2: Increase the number of graduate degrees awarded at HBGIs.
Measure 2.1 of 2: Federal cost per graduate degree at HBGIs.
Measure 2.2 of 2: The number of Ph.D., first professional, and Master's degrees awarded at Historically Black Graduate Institutions.

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

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

The most recent version of this program's annual performance report can be viewed at

HBCU: http://www.ed.gov/about/reports/annual/2008plan/g3heaaidblackcolleges.doc

HBGI: http://www.ed.gov/about/reports/annual/2008plan/g3heaaidblackgraduate.doc

SECTION I

PHASE I – FORMULA DATA

HBCU and HBGI FORMS AND INSTRUCTIONS

ALL APPLICANTS MUST SUBMIT THIS DATA NO LATER THAN:
INSERT DATE

PLEASE FAX THIS FORM TO THE ATTENTION OF:
DIANNE PITTS AT (202) 502-7861

HBCU PHASE I FORMULA DATA

FY 2008 FORMULA GRANT WORKSHEET
HISTORICALLY BLACK COLLEGES AND UNIVERSITIES PROGRAM

In order for the Department to determine the level of funding for an institution, the information below is required. Refer to section §608.31 of the program regulations for additional information.
NOTE: This form must be submitted as part of your initial application as well as annually during your approved project period. The deadline date for submitting these data (for FY 2008) is INSERT DATE. *These data will be used to formulate both FY 2008 Title III, Part B and CCRAA allocations.*

NAME OF INSTITUTION**:** ____

CITY: ______________________________ STATE: ________

YEAR OF GRADUATION FROM UNDERGRADUATE SCHOOL	TOTAL NUMBER OF GRADUATES IN THE UNDERGRADUATE CLASS	STUDENTS ADMITTED TO AND IN ATTENDANCE AT A GRADUATE OR PROFESSIONAL SCHOOL IN A DEGREE PROGRAM IN DISCIPLINES IN WHICH BLACKS ARE UNDERREPRESENTED
(A)	**(B)**	**(C)**
Year 1 – 2003		
Year 2 – 2004		
Year 3 – 2005		
Year 4 – 2006		
Year 5 – 2007		
TOTALS		

1. Enter the total for column B in item 3 below.
2. Enter the total for column C in item 4 below.
3. Please review Section 608.31 of the HBCU regulations for information required in columns B and C.

HBCU PHASE I FORMULA DATA

1. Number of Pell Grant recipients attending the applicant institution during the school year immediately preceding the beginning of the fiscal year in which the applicant applies for a grant. (July 1, 2006 – June 30, 2007)
__________(1)

2. Number of graduates of the applicant institution during the school year immediately preceding the beginning of the fiscal year in which the applicant applies for a grant. Enter the amount from Year 5, Column B. (July 1, 2006 – June 30, 2007). 34 CFR Section 608.4 defines "graduates" as a student who has attended an institution for at least three semesters and fulfilled academic requirements for undergraduate studies in not more than five consecutive school years.

__________(2)

3. Enter the total from Column B, Years 1-5 (July 1, 2003 – June 30, 2007).

__________(3)

4. Enter the total from Column C (Total for July 1, 2003– June 30, 2007). Do not count a student attending graduate school for more than one reporting year.

__________(4)

PLEASE USE THE FORMULA ABOVE TO CALCULATE THE TOTALS FOR ITEMS 3 AND 4. AS A CHECKPOINT, THE TOTAL IN ITEM 3 SHOULD BE LARGER THAN THE TOTAL IN ITEM 4. SEE SECTION 608.31(B)(1).

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I attest to the accuracy of the data provided.

President's Name (typed): ____________________________________

President's Signature: _______________________________________

Dated:

HBGI PHASE I FORMULA DATA

HISTORICALLY BLACK GRADUATE INSTITUTIONS PROGRAM
FY 2008 FORMULA GRANT WORKSHEET

Section 326 (f) of the Higher Education Act of 1965, as amended, requires that HBGI appropriations in excess of $28,600,000 be allocated according to a formula comprised of five elements. The five elements of the formula, as stated in the law, with instructions for completing the data form are identified below.

Formula Element A. "The ability of the institution to match Federal funds with non-Federal funds."

Formula Element B. "The number of students enrolled in the programs for which the eligible institution received funding under this section in the previous year."

Provide the number of students enrolled (fall full-time equivalent enrollment) in the qualified graduate program (QGP) at your eligible HBGI which received funding under Section 326 in the previous year. Also provide the name of the QGP in which the students were enrolled for the previous year.

Formula Element C. "The average cost of education per student, for all full-time graduate or professional students (or the equivalent) enrolled in the eligible professional or graduate school, or for doctoral students enrolled in the qualified graduate programs."

Provide the average cost of education per student, for all full-time graduate or professional students (or equivalent) enrolled in the eligible professional or graduate school, or for doctoral students enrolled in the qualified graduate programs.

NOTE: The average cost of education for each qualified graduate program should include the following elements: instruction, research, public service, academic support (including library expenditures), student services, institutional support, scholarships and fellowships, operation and maintenance of physical plant, and any mandatory transfers that the institution is required to pay by law that are related to the institution's qualified graduate programs. Please explain the methodology used for arriving at the average cost of education for your institution's qualified graduate programs.

Formula Element D. "The number of students in the previous year who received their first professional or doctoral degree from the programs for which the eligible institution received funding under this section in the previous year."

Provide the number of students in the previous academic year (2006-07) that received their first professional or doctoral degree from the programs for which the eligible institution received funding under Section 326 in the previous year.

Formula Element E. “The contribution, on a percent basis, of the programs for which the institution is eligible to receive funds under this section to the total number of African Americans receiving graduate or professional degrees in the professions or disciplines related to the programs for the previous year.”

List each QGP for which your institution awarded graduate or professional degrees in the previous year. For each of these QGPs, provide the total number of African American graduates of these programs by degree level (masters, first professional, or doctorate).

DATA COLLECTION FOR FORMULA TO ALLOCATE EXCESS HBGI GRANT AWARD FUNDS UNDER SECTION 326 (f) "FUNDING RULE"

NOTE: This data must be submitted as part of your initial application as well as annually during your approved project period. The deadline date for submitting the data for FY 2008 is INSERT DATE.

Name of Institution: ______________________________________
State: _____________

1. Formula Element A – Ability to Match

Has your institution matched HBGI funds prior to the past five years?
Circle one: YES NO

If NO, has your institution matched Federal grant funds under some other Federal program in the past five years?

Circle one: YES NO

If YES, please provide the name of the Federal program and the amount of the institution's matching contribution under that program and the year of the match.

Name of Program: ______________________________________
Amount: $ ______Year: ______

2. Formula Element B - Student Enrollment

Name of QGP	Number of Students
_______________________	____________
_______________________	____________
_______________________	____________
_______________________	____________

3**.** Formula Element C - Average Cost of Education

Average Cost of Education Per Student: $ ________________

4. Formula Element D – Graduates - Professional Programs

No. of Students	Professional\Doctoral Degree Program
____________	_________________________________
____________	_________________________________
____________	_________________________________

5. Formula Element E – Graduates – African Americans

<u>QGP</u>	Type of <u>Degree</u>	Total # of <u>Graduates</u>	Total # of <u>African Amer. Graduates</u>
1. ______________________	_______	_________	____________
2. ______________________	_______	_________	____________
3. ______________________	_______	_________	____________
4. ______________________	_______	_________	____________

I attest to the accuracy of the data provided.

President's Name (typed): _______________________________________

President's Signature: ____

Dated:

SECTION II

PHASE II – THE PROJECT PLAN

HBCU and HBGI PROJECT PLAN GUIDANCE

INSTRUCTIONS AND FORMS FOR SUBMITTING PHASE II – THE PROJECT PLAN

1. Application Submittal Instructions Using Caliber
2. SF 424 Instructions
3. SF 424 Application for Federal Assistance Form
4. Department of Education Supplemental Information Form for SF 424 Instructions
5. Department of Education Supplemental Information Form for SF 424 Definitions
6. Department of Education Supplemental Information Form for SF 424
7. Program Profile Page
8. Table of Contents
9. The Project Abstract –
10. Phase II – The Project Plan **(CCRAA only)**

- Formatting (CCRAA only)
- Comprehensive Development Plan (CCRAA only)
- The Project Plan (CCRAA only)

11. ED 524 Instructions
12. ED 524 Form
13. Assurances, Certifications, and Survey Forms

- GEPA Section 427
- Assurances – Non-Construction Programs (SF 424B)
- Survey of Ensuring Equal Opportunity for Applicants
- Disclosure of Lobbying Activities (SF-LLL)

NOTE: **Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although this form accepts attachments, the Department of Education will only review materials/files attached to the attachment forms listed above.**

**Attachments must be submitted in one of the following file types:
. doc, .rtf, or .pdf format.**

APPLICATION SUBMITTAL INSTRUCTIONS USING CALIBER

To facilitate your use of Caliber this document includes important submission procedures you need to be aware of to ensure your application is received by the Department of Education.

1) **PREPARE EARLY** – Make sure you have received your user id and password from Caliber and you are able to login.

2) **SUBMIT EARLY** – We strongly recommend that you do not wait until the last day to submit your application. Caliber will put a date/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Caliber to process the application will vary as well. If Caliber rejects your application (see step three below), you will need to resubmit successfully before 4:30 pm on the deadline date.

Note: To submit successfully, you must provide the same DUNS number on your application that was used when your organization registered with the CCR (Central Contractor Registry).

3) **VERIFY SUBMISSION IS OK** – You will want to verify that Caliber and the Department of Education received your Caliber submission timely and that it was validated successfully. To see the date/time your application was received, login to Caliber and click on the Track My Application link.

If your application has a status of “Received” it is still awaiting validation by Caliber. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

SUBMISSION PROBLEMS – WHAT SHOULD YOU DO?

If you have problems submitting to Caliber before the closing date, please contact Caliber Customer Support INSERT NUMBER or use the customer support available on the Web site: INSERT HELP WEBSITE.

HELPFUL HINTS WHEN WORKING WITH CALIBER

Please note, once you download an application using Caliber, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Caliber file on your computer. You will need to logon to Caliber to upload and submit the application.

For additional tips related to submitting grant applications, please refer to the Caliber Submit Application FAQs found on the Caliber Web site: INSERT HELP WEBSITE.

DIAL-UP INTERNET CONNECTIONS

When using a dial up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial up connection. **If you do not have access to a high-speed connection and electronic submission is required, INSERT DECISION ON HOW TO SEND HARDCOPY APPLICATIONS.**

ASK CALIBER IF THERE ARE CERTAIN INSTRUCTION PERTAINING TO INTERNET BROWSER TYPES OR OPERATING SYSTEMS

INSTRUCTIONS FOR THE SF-424

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

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

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:
1.	**Type of Submission:** (Required): Select one type of submission in accordance with agency instructions. • Preapplication • Application • Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.
2.	**Type of Application**: (Required) Select one type of application in accordance with agency instructions. • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify)
3.	**Date Received:** Leave this field blank. This date will be assigned by the Federal agency.
4.	**Applicant Identifier**: Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.
5a	**Federal Entity Identifier**: Enter the number assigned to your organization by the Federal Agency, if any.
5b.	**Federal Award Identifier**: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.
6.	**Date Received by State:** Leave this field blank. This date will be assigned by the State, if applicable.
7.	**State Application Identifier:** Leave this field blank. This identifier will be assigned by the State, if applicable.
8.	**Applicant Information**: Enter the following in accordance with agency instructions:
	a. Legal Name: (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Caliber Web site.
	b. Employer/Taxpayer Number (EIN/TIN): (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.
	c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Caliber Web site.
	d. Address: Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).
10.	**Name Of Federal Agency**: (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
11.	**Catalog Of Federal Domestic Assistance Number/Title:** Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
12.	**Funding Opportunity Number/Title:** (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
13.	**Competition Identification Number/Title:** Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
14.	**Areas Affected By Project:** List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
15.	**Descriptive Title of Applicant's Project:** (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
16.	**Congressional Districts Of**: (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 2-3 characters District Number, e.g., CA-12 for California 12th district, NC-103 for North Carolina's 103rd district. • If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. • If nationwide, i.e. all districts within all states are affected, enter US-all. • If the program/project is outside the US, enter 00-000.
17.	**Proposed Project Start and End Dates**: (Required) Enter the proposed start date and end date of the project.
18.	**Estimated Funding:** (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.
19.	**Is Application Subject to Review by State Under Executive Order 12372 Process?** Applicants should contact the State

	e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable. **f. Name and contact information of person to be contacted on matters involving this application**: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.		Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State
		20.	**Is the Applicant Delinquent on any Federal Debt?** (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. If yes, include an explanation on the continuation sheet.
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions. A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)	21.	**Authorized Representative**: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

INSTRUCTIONS FOR
DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

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

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

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

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

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

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

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

If Human Subjects Research is Not Exempt from Human Subjects Regulations. Check "**No**" if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. "Nonexempt Research Narrative" in the page entitled "Definitions for Department of Education Supplemental Information For SF 424

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

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

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

DEFINITIONS FOR
DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424
(Attachment to Instructions for Supplemental Information for SF 424)

Definitions:

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

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

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

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

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

—RESEARCH

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—HUMAN SUBJECT

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

B. Exemptions.

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

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

(2) Research involving the use of educational tests cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

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

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the

information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

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

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture. II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives If the applicant marked "Yes" for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

A. Exempt Research Narrative.

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

B. Nonexempt Research Narrative.

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

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable.

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

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

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

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

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

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

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

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

Historically Black Colleges and Universities (HBCU) and Historically Black Graduate Institutions (HBGI) Program Profile Form

INSTRUCTIONS: *ALL applicants must complete this form. The completed form must be attached to the "Other Attachments Form" in the application package in Caliber (as either a .doc, .rtf or. pdf document). DO NOT MODIFY OR AMEND THIS FORM.*

OPE ID #____________

1. INSTITUTION (Legal Name):

____

2. Are you applying as a HBCU or HBGI? • HBCU • HBGI

3. Does your institution currently have a Minority Science and Engineering Improvement Program (MSEIP) grant? • Yes • No

If yes, what year does the MSEIP grant expire: ______________________

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

Project Address: ____

City: __________________________________State: _____Zip: _______

4. ENDOWMENT FUND ASSURANCE:

• **By checking this box (or placing an "X" beside it)**, an applicant certifies that the institution of higher education proposes to use up to twenty percent (20%) of its grant award to establish or increase the institution's endowment fund. The institution agrees to abide by the Department of Education's regulations governing the Endowment Challenge Grant Program, 34 CFR Part 628, the program statute, and the program regulations, 34 CFR Parts 608 and 609. The institution further agrees to raise the required matching funds.

5. HBCUs only: Please check which grant (5-year or 2-year) this application is for. Note: You must submit separate Phase II – Project Plans for each grant award.

• 5-year grant program • 2-year grant program

6. **Please check your institution type:**

• 2-year public • 2-year private

• 4-year public • 4-year private

INSTRUCTIONS FOR THE PHASE II PROJECT PLAN

Note: Applicants must prepare two separate Phase II Project Plans; one to address Title III, Part B appropriation <u>and</u> one to address the 2-year CCRAA appropriation.

Formatting

A “page” is “8.5 x 11”, on one side only, with 1” margins at the top, bottom, and both sides. Page numbers and an identifier may be within the 1” margin. Double-space all text in the application, including titles and headings. All text in charts, tables, graphs, footnotes, quotations, references, and captions may be single-spaced. Applicants may use one of the following fonts: *Times New Roman, Courier, Courier New or Arial,* <u>only</u>. Applications submitted in any other font (including Times Roman and Arial Narrow) will not be accepted. Do not use anything smaller than a 12-point font.

The Secretary evaluates an application on the basis of the applicant’s response to the elements of the Comprehensive Development Plan (CDP) as defined in 34 CFR 608.21 and 609.21.

To facilitate the review of the application, applicants must address the following:

The CDP must describe an institution’s strategy for achieving growth and self-sufficiency by strengthening its financial management and academic programs.

Elements of the CDP are as follows:

1. An assessment of the strengths and weaknesses of the institution's financial management and academic programs;

2. A delineation of the institution's goals for its financial management and academic programs, based on the outcomes of the assessments of these areas for which Title III, Part B funds will be used;

3. A listing of measurable objectives, with accompanying timeframes, designed to assist the institution to reach each goal for which Title III, Part B funds will be used for achieving the objectives; and,

4. A description of methods, procedures and processes that will be used by the college or university to institutionalize financial management and academic program practices and improvements developed under the proposed funded activities.

Suggested Outline for Developing the CDP

Introduction/Institutional Overview – the introduction should describe the institution’s challenges and opportunities, and the institutional overview should address the history and mission, academic programs offered and areas of strength, enrollment data and student profile, graduation rates, and graduate school/professional school placement success.

Summary of the Institution's Planning Process – identify major institutional priorities.

Overview of Current Long-range Plan – describe major emphases and goals for the current planning period.

CDP Focus – describe areas targeted for improvement; list goals related to improve academic quality, fiscal stability, institutional management, and student services; summary of activities to address CDP goals; and CDP assessment strategies.

Conclusion – provide information addressing institutionalization as required by element 4 and relevant supporting documentation.

Suggested Outline for Developing the PROJECT PLAN:

The CDP should be used to guide the formation of the **Project Plan**. Separately, and for <u>each</u> proposed activity you must:

PROVIDE AN ABSTRACT OF THE ACTIVITY – Provide a brief (one paragraph) description of the proposed activity. Each activity must be titled using the most relevant title from the list of allowable activities authorized in the program regulations (34 CFR §608.10 for the HBCU program and 34 CFR §609.10 for the HBGI program). In brief detail, describe the purpose of each activity. A comprehensive Project Plan should include <u>project administration</u> as one of its proposed activities.

DESCRIBE AND DEFINE OBJECTIVES AND PERFORMANCE INDICATORS FOR EACH PROPOSED ACTIVITY - For each proposed activity, applicants must state their annual objectives, which, when combined with their performance indicators, are measurable and realistic (not too high, not too low). Connect each activity to the problem or weakness it should address. List only the objectives that an activity is designed to accomplish. Describe the objectives in outcome-oriented, measurable terms. Objectives should be updated for each year in which funds are requested.

DESCRIBE THE IMPLEMENTATION STRATEGY AND TIMETABLE FOR EACH PROPOSED ACTIVITY – For each proposed activity, describe, in a comprehensive manner, who will do what, how, and when it will be done to meet the objectives of each activity.

PROVIDE AN INDIVIDUAL ACTIVITY BUDGET & NARRATIVE – For each proposed activity, applicants must prepare a separate, detailed itemized budget (in dollars) and a budget narrative for each year you are requesting grant funds. Demonstrate and justify that all costs are reasonable in today's market and necessary to accomplish your activity objectives.

Note: You must provide details so that we can determine if the costs are allowable, necessary and reasonable. Do not include a budget narrative (as a separate activity) for endowment investing. Requests for endowments investing should go under "Other" category.

COMPLETE A BUDGET SUMMARY (ED 524) FORM – For each proposed project year, provide an itemized budget for each of the five years of the project. Applicants need only to provide a detailed budget narrative and justification for the first (initial) year of their proposed five-year project.

CCRA APPLICANTS - CCRA applicants are to follow the CDP guidelines outlines in the previous pages. In addition, eligible applicants must prepare a separate CDP that addresses the priority activities below:

- Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes;
- Construction, maintenance, renovation, and improvement in classroom, library, laboratory, and other instructional facilities, including purchase or rental of telecommunications technology equipment or services;
- Academic instruction in disciplines in which Black Americans are underrepresented;
- Purchase of library books, periodicals, microfilm, and other educational materials, including telecommunications program materials;
- Establishing or enhancing a program of teacher education designed to qualify students to teach in a public elementary or secondary school in the State that shall include, as part of such program, preparation for teacher certification and
- Other activities, consistent with the institution's comprehensive plan; and designed to increase the institutions capacity to prepare students for careers in the physical or natural sciences, mathematics, computer science or information technology or sciences, engineering, language instruction in the less-commonly taught languages or international affairs, or nursing or allied health professions.

Instructions for ED 524

General Instructions

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

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

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

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

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

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

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

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

Section B - Budget Summary
Non-Federal Funds

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

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

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

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

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

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

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.

2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.

3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are

included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's Web site at: http://www.ed.gov/fund/grant/apply/appforms/appforms.html. You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

4. Provide other explanations or comments you deem necessary.

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

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

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

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

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

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

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

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

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

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

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 1840-0113. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

Survey Instructions on Ensuring Equal Opportunity for Applicants

Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.

1. Self-explanatory.

2. Self-identify.

3. Self-identify.

4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.

5. Self-explanatory.

6. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.

7. Annual budget means the amount of money your organization spends each year on all of its activities.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) 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. 20202-4651.

OMB No. 1890-INSERT NUMBER Exp. INSERT DATE