

**U.S. DEPARTMENT OF EDUCATION**

Office of Postsecondary Education  
Washington, DC 20006-8513



Fiscal Year 2015

**APPLICATION FOR GRANTS UNDER THE  
PREDOMINANTLY BLACK INSTITUTIONS PROGRAM  
(CFDA NUMBER: 84.382A)**

Form Approved

OMB No. 1840-0797 Expiration Date: XX/XX/2018

**CLOSING DATE: XX/XX, 2015**

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## TABLE OF CONTENTS

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Dear Applicant Letter .....	3
Competition Highlights.....	5
Introduction .....	8
Grants.gov Submission Procedures and Tips for Applicants .....	10
Grants.gov Registration Instructions .....	14
Application Transmittal Instructions.....	17
Notice Inviting Applications.....	19
Authorizing Legislation .....	61
Supplemental Information.....	62
Intergovernmental Review of Federal Programs .....	64
General Education Provisions Act (GEPA) .....	65
Government Performance and Results Act (GPRA) .....	66
INSTRUCTIONS	
Instructions for Completing the Application .....	68
Instructions for Project Narrative .....	70
Instructions for Standard Forms .....	75
Instructions for the SF 424 .....	76
Instructions for Department of Education Supplemental Information for SF 424 ....	78
Instructions for ED 524 .....	84
Instructions for Budget Summary Form and Budget Narrative.....	87
Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities.....	89
Predominantly Black Institutions Program Profile Form .....	91
Application Checklist .....	92
Paperwork Burden Statement .....	93

[Insert Date]

Dear Applicant:

Thank you for your interest in applying for a new grant under the fiscal year (FY) 2015 Predominantly Black Institutions (PBI) Competitive grant program competition. This letter highlights items in the application package that will be important to you in applying for a grant under this program. Please review the entire application package carefully before preparing and submitting your application.

The PBI program is authorized under Title III, Part F, Section 371 of the Higher Education Act of 1965 (HEA), as amended. This program supports the strengthening of PBI to carry out programs in the following areas: science, technology, engineering, or mathematics (STEM); health education; internationalization or globalization; teacher preparation; or improving educational outcomes of African American males. Information on the PBI program is accessible at the program website at:

***<http://www.ed.gov/programs/pbi/index.html>***

For the FY 2015 grant competition, there are two competitive preference priorities for this program. Applicants may receive up to a total of six additional points for an application that meets the Competitive Preference Priorities. For additional information about the competitive preference priorities, refer to the Federal Register Notice Inviting Applications (NIA), and the competition highlights included in this application package.

All applications must be submitted electronically using the Grants.gov Apply site ([www.grants.gov](http://www.grants.gov)). You are urged to acquaint yourself with the requirements of Grants.gov early. Additional information about grants.gov submission requirements can be found in the competition highlights, the NIA published in the Federal Register, and the transmittal instructions included in this package.

The NIA published in the Federal Register is the official document describing the requirements for submitting a PBI grant application. You should not rely upon any information that is inconsistent with the guidance contained in the official NIA. We encourage applicants to review the "Competition Highlights" found in this package for an overview of important items.

If you have questions or require additional information, please contact Bernadette D. Miles at [bernadette.miles@ed.gov](mailto:bernadette.miles@ed.gov) or by telephone at 202-502-7616.

We appreciate your interest in the PBI program and look forward to receiving your application.

Sincerely,

Donald E. Watson  
Director, Historically Black Colleges and Universities  
Higher Education Programs

## COMPETITION HIGHLIGHTS

**1. All applicants are encouraged to address the two competitive preference priorities below. The Department will award up to an additional three points per priority for a total of up to six additional points to an application, depending on how well the application meets these priorities.**

Increasing Postsecondary Access, Affordability, and Completion (up to 3 points)

Projects that are designed to address one or both of the following :

- a) Reducing the net cost, median student loan debt, and likelihood of student loan default for high-need students who enroll in college, other postsecondary education, or other career and technical education.
- b) Supporting the development and implementation of high-quality online or hybrid credit-bearing and accessible learning opportunities that reduce the cost of higher education, reduce time to degree completion, or allow students to progress at their own pace.

Improving Teacher Effectiveness and Promoting Equitable Access to Effective Teachers (up to 3 points)

Projects that are designed to increase the number and percentage of effective teachers in lowest-performing schools, schools in rural local educational agencies, or schools with high concentrations of students from low-income families and minority students, through such activities as:

- a) Improving the preparation, recruitment, selection, and early career development of teachers; implementing performance-based certification systems; reforming compensation and advancement systems; and reforming hiring timelines and systems.
- b) Improving the retention of effective teachers through such activities as creating or enhancing opportunities for teachers' professional growth; delivering professional development to teachers that is relevant, effective, and outcome-oriented; reforming compensation and advancement systems; and improving workplace conditions to create opportunities for successful teaching and learning.

2. Electronic submission of applications through Grants.gov is required; therefore, you must submit an electronic application unless you follow the procedures outlined in the Federal Register Notice inviting applications for new awards for FY 2015 and qualify for one of the exceptions to the electronic submission requirement. If you think you may need an exception, you are urged to review the requirement promptly. All documents uploaded in Grants.gov should be in PDF format.

3. You are urged to acquaint yourself with the requirements of Grants.gov early. A more thorough discussion is included later in this application package. Grants.gov is accessible through its portal page at: [www.Grants.gov](http://www.Grants.gov).

4. We strongly recommend that you submit your application 2-3 days prior to the closing date. The time it takes to upload an application will vary depending on the size of your application and the speed of your Internet connection. The application submission process must be completed prior to the deadline for transmittal of applications. The application must be submitted by 4:30:00 pm (Washington, D.C. time) on or before the deadline date. Late applications will not be accepted. The U.S. Department of Education (Department) is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date.

5. The Grants.gov site does not allow applicants to “un-submit” applications. Therefore, if you discover that changes or additions are needed once your application has been accepted and validated by the Department, you must “re-submit” the application. Please know that if the Department receives duplicate applications, we will accept and process the application with the latest “date/time received” validation.

6. Please review and familiarize yourself with the program authorizing legislation. The authorizing legislation will be found in this package.

7. Applicants are required to submit a Program Abstract as well as a Program Profile page. Information provided in the Program Abstract is limited to one single-spaced page.

8. In the Program Profile page, you will be required to provide the Department with documentation the institution relied upon in determining that at least 40 percent of the institution’s undergraduate unduplicated enrollment is Black and at least 50 percent of the enrolled undergraduates are low-income individuals. The Department will cross-reference, for verification, data reported to the Integrated Postsecondary Education Data System (IPEDS), the institution’s state reported enrollment data, and the institutional annual report. If there are any differences in the percentages reported to the above references, the institution should justify the differences as a part of their eligibility documentation. When providing eligibility documentation to support your PBI

assurances, please note that the Department does not consider a replication of the instructions sufficient justification. If the Department receives a replica of the instructions and/or cannot validate assurances, the application will be deemed ineligible.

9. All applicants are required to adhere to the page limit for the Program Narrative portion of the application. You must limit the section of the narrative that addresses the selection criteria to no more than 40 pages. Please note that all pages in the narrative section that contain information will be counted as one full page. In addition, as stated in the NIA, for the competitive preference priorities, if you are addressing one priority, a maximum of three additional pages for a total of 43 pages are acceptable for the narrative. If you are addressing both priorities, a maximum of six additional pages are acceptable for the narrative. **The application narrative must not exceed 46 pages.** Please include a separate heading for each competitive preference priority that you address.

10. Please note, “.PDF” (Portable Document) files are the only approved file type accepted as detailed in the Notice. Any attachments uploaded that are not .PDF files or are password protected files will not be read. If you need assistance converting your files to a .PDF format, please refer to the Grants.gov webpage for links to conversion programs. Please refer to the “Grants.gov Submission Procedures and Tips for Applicants” section, found in this application package, for more details.

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe Reader (Grants.Gov recommends at least Adobe Reader 10.1.4). Information on computer and operating system compatibility with Adobe and links to download the latest version are available on Grants.gov. We strongly recommend that you review these details on [Grants.gov](https://www.grants.gov) before completing and submitting your application.

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## **PREDOMINANTLY BLACK INSTITUTIONS PROGRAM**

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### **AUTHORIZATION**

Title III, Part F, Section 371 of the Higher Education Act of 1965, as amended (HEA).

### **PROGRAM REGULATIONS**

The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 79, 82, 84, 86, 97, 98, and 99; and Uniform Guidance 2 CFR part 200

### **PURPOSE**

The purpose of the Predominantly Black Institutions (PBI) program is to strengthen predominantly Black institutions to carry out programs in the following areas: science, technology, engineering, or mathematics (STEM); health education; internationalization or globalization; teacher preparation; or improving educational outcomes of African American males.

### **ELIGIBLE APPLICANTS**

To receive a grant under this program, institutions of higher education (IHE) must meet the following conditions:

- (A) Have an enrollment of needy students as defined by Title III, Part F, Section 371 of the Higher Education Act of 1965, as amended HEA.
- (B) Have an average educational and general expenditure which is low, per full-time equivalent undergraduate student in comparison with the average educational and general expenditure per full-time equivalent undergraduate student of institutions of higher education that offer similar instruction, except that the Secretary may apply the waiver requirements described in section 392(b) to this subparagraph in the same manner as the Secretary applies the waiver requirements to section 312(b)(1)(B);
- (C) Have an enrollment of undergraduate students—
  - (i) that is at least 40 percent Black American students;
  - (ii) that is at least 1,000 undergraduate students;
  - (iii) of which not less than 50 percent of the undergraduate students enrolled at the institution are low-income individuals or first-generation college students (as that term is defined in section 402A(g)); and
  - (iv) of which not less than 50 percent of the undergraduate students are enrolled in an educational program leading to a bachelor's or associate's degree that the institution is licensed to award by the State in which the institution is located;
- (D) Is legally authorized to provide, and provides within the State, an educational program within the State, an educational program for which the institution of



higher education awards a bachelor's degree, or in the case of a junior or community college, an associate's degree;

- (E) Is accredited by a nationally recognized accrediting agency or association determined by the Secretary 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; and
- (F) Is not receiving assistance under Part B of Title III.

### **ALLOWABLE ACTIVITIES**

Institutions may use Federal funds to establish or strengthen programs in the following areas:

1. Science, technology, engineering, or mathematics (STEM);
2. Health education;
3. Internationalization or globalization;
4. Teacher preparation; or
5. Improving educational outcomes of African American males.

**IMPORTANT –**

**PLEASE READ FIRST**


**U.S. Department of Education**

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

To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education.

**ATTENTION – Browser Support**

Grants.gov is a Custom Java Application that uses standard web-browsers as the client. Grants.gov leverages the latest web technologies such as Ajax which relies extensively on JavaScript, HTML, and CSS. Grants.gov recommends you use the most up-to-date web browser possible for the best User Experience. If you are unsure about which version of the browser you are using, please check the following places:

- **Microsoft IE** – the *About Internet Explorer* setting under Help on your toolbar
- **Firefox** – the *About Firefox* setting under Help on your toolbar
- **Chrome**- the *About Google Chrome* setting under the *Customize and Control Google Chrome* option (located on the far right  ) in your toolbar options for your browsers.

The table below lists supported Web Browsers:

Web Browser	Support	Comments
Microsoft IE 9/10/11	Supported	
Mozilla Firefox	Supported	Versions change frequently; we recommend you have the latest version. Legacy versions are functional but may experience some issues. It is recommended to upgrade to the latest version.
Google Chrome	Supported	Versions change frequently; we recommend you have the latest version. Legacy versions are functional but may experience some issues. It is recommended to upgrade to the latest version.
Apple Safari	Supported	Versions change frequently; we recommend you have the latest version. Legacy versions are functional but may experience some issues. It is recommended to upgrade to the latest version.

For additional information of updates, please see the Grants.gov Browser Support Page.  
<http://www.grants.gov/web/grants/support/technical-support/software/browser-support.html>

## **ATTENTION – Adobe Forms and PDF Files Required**

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 10.1.14). (Please note that in early 2013, Grants.gov discovered an issue with the newest version of Adobe Reader XI but it was subsequently resolved.) Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov at this link: [compatibility table](#). We strongly recommend that you review these details on [www.Grants.gov](http://www.Grants.gov) before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Also, applicants are required to upload their attachments in .pdf format only. (See details below under “Attaching Files – Additional Tips.”) If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

- 1) **REGISTER EARLY** – Grants.gov registration involves many steps including registration on SAM ([www.sam.gov](http://www.sam.gov)) which may take approximately one week to complete, but could take upwards of several weeks to complete, depending upon the completeness and accuracy of the data entered into the SAM database by an applicant. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. Please note that once your SAM registration is active, it will take 24-48 hours for the information to be available in Grants.gov, and before you can submit an application through Grants.gov. For detailed information on the Registration Steps, please go to: <http://www.grants.gov/web/grants/register.html> [Note: Your organization will need to update its SAM registration annually (formerly Central Contractor Registry (CCR).)]

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

- 2) **SUBMIT EARLY** – **We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded.** The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully to Grants.gov before 4:30:00 p.m. Washington, DC time on the deadline date.

**Note: To submit successfully, you must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This DUNS number is typically the same number used when your organization registered with the SAM (formerly CCR -**

**Central Contractor Registry). If you do not enter the same DUNS number on your application as the DUNS you registered with, Grants.gov will reject your application.**

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov received your application submission on time and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m. Washington, DC time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned. Once the Department of Education receives your application from Grants.gov, an Agency Tracking Number (PR/award number) will be assigned to your application and will be available for viewing on Grants.gov’s Track My Application link.

If the date/time received is later than 4:30:00 p.m. Washington, D.C. time, on the deadline date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site:

<http://www.grants.gov/web/grants/applicants/grant-application-process/application-statuses.html>. For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Error Messages document at <http://www.grants.gov/web/grants/support/technical-support/troubleshooting/encountering-error-messages.html>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

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### **Submission Problems – What should you do?**

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If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or <http://www.grants.gov/web/grants/about/contact-us.html>, or access the Grants.gov Self-Service web portal at: <https://grants-portal.psc.gov/Welcome.aspx?pt=Grants>

If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date.

If electronic submission is required, you must submit an electronic application before 4:30:00 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

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### Helpful Hints When Working with Grants.gov

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Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. **You must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov.**

Please go to <http://www.grants.gov/web/grants/about/contact-us.html> for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov <http://www.grants.gov/web/grants/support/general-support/faqs.html>.

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### Dial-Up Internet Connections

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

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### MAC Users

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For MAC compatibility information, review the Operating System Platform Compatibility Table at the following Grants.gov link: <http://www.grants.gov/web/grants/support/technical-support/recommended-software.html>. **If electronic submission is required and you are concerned about your ability to submit electronically as a non-windows user, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

### Attaching Files – Additional Tips

Please note the following tips related to attaching files to your application, especially the requirement that applicants **only include read-only, non-modifiable .PDF files** in their application:

1. Ensure that you attach **.PDF files only** for any attachments to your application, and they must be in a **read-only, non-modifiable format**. PDF files are the only Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are not .PDF files or are password protected files will not be read.

2. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
3. When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded files must be less than 50 characters, contain no spaces, no special characters (example: -, &, \*, %, /, #, \) including periods (.), blank spaces and accent marks. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.
4. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

\*Please note that the Central Contractor Registry (CCR) was replaced by the System for Award Management (SAM) effective July 30, 2012. For more information on the migration of CCR data to SAM, grant applicants should read this information located on Grants.gov: <http://grants.gov.blogspot.com/2012/07/information-about-pending-migration.html#!/2012/07/information-about-pending-migration.html>

## Grants.gov Registration Instructions for Organizations

The following instructions provide registration guidance for a company, academic or research institution, state, local or tribal government, not-for-profit, or other type of organization. Registration is a one-time process that is required before representatives of an organization can submit grant application packages electronically through Grants.gov. **The registration process can take up to four weeks** depending on your organization and whether all steps are taken in a timely manner. For more information, visit [http://www07.grants.gov/applicants/get\\_registered.jsp](http://www07.grants.gov/applicants/get_registered.jsp).

**Note:** If you are an individual applying for a grant on your own behalf and not on behalf of a company, academic or research institution, state, local or tribal government, not-for-profit, or other type of organization, visit [http://www.grants.gov/applicants/individual\\_registration.jsp](http://www.grants.gov/applicants/individual_registration.jsp). If you apply as an individual to a grant designated for organizations, your application will be rejected.

### **STEP 1: OBTAIN DATA UNIVERSAL NUMBER SYSTEM (DUNS) NUMBER**

#### WHY?

- The federal government has adopted the use of DUNS numbers to track how federal grant money is allocated. DUNS numbers identify your organization.

#### HOW?

- Ask the grant administrator, chief financial officer, or authorizing official of your organization to identify your DUNS number.
- If your organization does not know its DUNS number or needs to register for one, visit Dun & Bradstreet at <http://fedgov.dnb.com/webform>.

#### TIME REQUIRED?

- Same day. If requested by phone (1-866-705-5711), DUNS is provided immediately.

### **STEP 2: REGISTER WITH SYSTEM FOR AWARD MAINTENANCE (SAM)**

#### WHY?

- Registering with SAM is required for organizations to use Grants.gov.

#### HOW?

- Ask the grant administrator, chief financial officer, or authorizing official of your organization if your organization has registered with SAM.
- If your organization is not registered, apply online at [www.sam.gov](http://www.sam.gov).
- When your organization registers with SAM, you must designate an E-Business Point of Contact (E-Biz POC). This person will create a special password called a Marketing Partner Identification Number (MPIN).
- This MPIN gives the E-Biz POC authority to designate which staff members from your organization are allowed to submit applications electronically through Grants.gov. These designated staff members are called **Authorized Organization Representatives (AORs)**.

#### TIME REQUIRED?

- If your organization already has an Employment Identification Number (EIN) or Taxpayer Identification Number (TIN), allow three to five business days to process the SAM registration.
- If your organization does not have an EIN or TIN, then please allow two weeks for obtaining the EIN or TIN from the Internal Revenue Service (IRS) if requested via phone or Internet.
- Your organization needs to renew its SAM registration once a year, which may take up to five business days. You will not be able to move on to Step 3 until this step is completed.

### **STEP 3: CREATE GRANTS.GOV USERNAME & PASSWORD**

#### WHY?

- An **AOR (Authorized Organization Representative)** username and password serves as an "electronic signature" when submitting a Grants.gov application.

#### HOW?

- To create a username and password, AORs must complete a profile on Grants.gov (using their organization's DUNS number) at <https://apply07.grants.gov/apply/OrcRegister>.

#### TIME REQUIRED?

- Same day. After the AOR has completed the profile, he/she will be prompted to create a username and password that will allow the user to log in and check their approval status immediately.

### **STEP 4: AOR AUTHORIZATION**

#### WHY?

- Only the E-Biz POC can approve AORs, who then have the ability to submit applications on behalf of the organization.

#### HOW?

- When an AOR registers with Grants.gov, that organization's E-Biz POC is notified by email.
- The E-Biz POC must then log in to Grants.gov (using the organization's DUNS number for the username and the MPIN password obtained in Step 2) and approve the AOR, thereby giving him or her permission to submit applications.
- When an E-Biz POC approves an AOR, Grants.gov will send the AOR a confirmation email.

#### TIME REQUIRED?

- This depends on how long it takes the E-Biz POC to log in and approve the AOR. Once the approval is completed, the AOR can immediately submit an application.

### **STEP 5: TRACK AOR STATUS**

#### WHY?

- To verify that the organization's E-Biz POC has approved the AOR.

#### HOW?

- AORs can log in using their username and password (obtained in Step 3) to check if they have been approved by the E-Biz POC.

#### TIME REQUIRED?

- Logging in as an applicant is instantaneous. The approval process depends on how long it takes the E-Biz POC to log in and approve the AOR.



## Application Transmittal Instructions

**ATTENTION ELECTRONIC APPLICANTS:** Please note that you must follow the Application Procedures as described in the Federal Register Notice announcing the grant competition.

**This program requires the electronic submission of applications; specific requirements and waiver instructions can be found in the Federal Register Notice.**

According to the instructions found in the Federal Register notice, those requesting and qualifying for an exception to the electronic submission requirement may submit an application via mail, commercial carrier or by hand delivery.

If you want to apply for a grant and be considered for funding, you must meet the following deadline requirements:

### **Applications Submitted Electronically:**

You must submit your grant application through the Internet using the **Grants.gov Apply site at [www.Grants.gov](http://www.Grants.gov)** by 4:30:00 p.m. (Washington, D.C. time) on the application deadline date.

### **Submission of Paper Applications by Mail:**

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

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number **84.382A**)  
LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

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

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

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

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

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

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

**Submission of Paper Applications by Hand Delivery:**

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

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number **84.382A**)  
550 12th Street, SW.  
Room 7039, Potomac Center Plaza  
Washington, DC 20202-4260

**Application Control Center Hours of Operation**

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

**Note for Mail or Hand Delivery of Paper Applications:** If you mail or hand deliver your application to the Department--

- (1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and
- (2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

4000-01-U

DEPARTMENT OF EDUCATION

Applications for New Awards; Predominantly Black Institutions  
Competitive Grant Program

AGENCY: Office of Postsecondary Education, Department of  
Education

ACTION: Notice.

Overview Information:

Predominantly Black Institutions Competitive Grant Program (PBI  
Program)

Notice inviting applications for new awards for fiscal year (FY)  
2015.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.382A.

Dates:

Applications Available: [INSERT DATE OF PUBLICATION IN THE  
FEDERAL REGISTER].

Deadline for Transmittal of Applications: [INSERT DATE 45 DAYS  
AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Intergovernmental Review: [INSERT DATE 105 DAYS  
AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Full Text of Announcement

## I. Funding Opportunity Description

Purpose of Program: The purpose of the PBI Program is to strengthen Predominantly Black Institutions (PBIs) to carry out programs in the following areas: science, technology, engineering, or mathematics (STEM); health education; internationalization or globalization; teacher preparation; or improving educational outcomes of African-American males.

Background: We encourage applicants to read carefully the Selection Criteria section of this notice. Consistent with the Department's increasing emphasis in recent years on promoting evidence-based practices through our grant competitions, the Secretary will evaluate applications on the extent to which the proposed project is supported by a logic model that meets the evidence standard of "strong theory" (as defined in this notice). Resources to assist applicants in creating a logic model can be found here:

[http://ies.ed.gov/ncee/edlabs/regions/pacific/pdf/REL\\_2014007.pdf](http://ies.ed.gov/ncee/edlabs/regions/pacific/pdf/REL_2014007.pdf)

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Priorities: This notice contains two competitive preference priorities. These priorities are from the Department's notice of final supplemental priorities and definitions for discretionary grant programs (Supplemental Priorities), published in the

Federal Register on December 10, 2014 (79 FR 73425).

Competitive Preference Priorities: For FY 2015 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, these priorities are competitive preference priorities. Under 34 CFR 75.105(c)(2)(i), we award an application up to three additional points for each priority, for a total of up to six additional points, depending on how well the application meets each of these priorities.

These priorities are:

Competitive Preference Priority 1: Increasing Postsecondary Access, Affordability, and Completion (up to 3 points).

Projects that are designed to address one or both of the following:

(a) Reducing the net cost, median student loan debt, and likelihood of student loan default for high-need students who enroll in college, other postsecondary education, or other career and technical education.

(b) Supporting the development and implementation of high-quality online or hybrid credit-bearing and accessible learning opportunities that reduce the cost of higher education, reduce time to degree completion, or allow students to progress at their own pace.

Competitive Preference Priority 2: Improving Teacher Effectiveness and Promoting Equitable Access to Effective Teachers (up to 3 points).

Projects that are designed to increase the number and percentage of effective teachers in lowest-performing schools, schools in rural local educational agencies, or schools with high concentrations of students from low-income families and minority students, through such activities as:

(a) Improving the preparation, recruitment, selection, and early career development of teachers; implementing performance-based certification systems; reforming compensation and advancement systems; and reforming hiring timelines and systems.

(b) Improving the retention of effective teachers through such activities as creating or enhancing opportunities for teachers' professional growth; delivering professional development to teachers that is relevant, effective, and outcome-oriented; reforming compensation and advancement systems; and improving workplace conditions to create opportunities for successful teaching and learning.

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

High-minority school means a school as that term is defined by a local educational agency (LEA), which must define the term in a manner consistent with its State's Teacher Equity Plan, as required by section 1111(b)(8)(C) of the Elementary and Secondary Education Act of 1965, as amended (ESEA). The applicant must provide the definition(s) of high-minority schools used in its application.

High-need students means students who are at risk of educational failure or otherwise in need of special assistance and support, such as students who are living in poverty, who attend high-minority schools, who are far below grade level, who have left school before receiving a regular high school diploma, who are at risk of not graduating with a diploma on time, who are homeless, who are in foster care, who have been incarcerated, who have disabilities, or who are English learners.

Logic model (also referred to as theory of action) means a well-specified conceptual framework that identifies key components of the proposed process, product, strategy, or practice (i.e., the active “ingredients” that are hypothesized to be critical to achieving the relevant outcomes) and describes the relationships among the key components and outcomes, theoretically and operationally.

Note: In developing logic models, applicants may want to use resources such as the Pacific Education Laboratory's Education Logic Model Application ([www.relpacific.mcrel.org/PERR.html](http://www.relpacific.mcrel.org/PERR.html) or <http://files.eric.ed.gov/fulltext/ED544779.pdf>) to help design their logic models.

Lowest-performing schools means--

For a State with an approved request for flexibility under the ESEA, priority schools or Tier I and Tier II schools that have been identified under the School Improvement Grants (SIG) program.

For any other State, Tier I and Tier II schools that have been identified under the SIG program.

Persistently-lowest achieving school means, as determined by the State--

(a)(1) Any Title I school that has been identified for improvement, corrective action, or restructuring under section 1116 of the ESEA and that--

(i) Is among the lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring or the lowest-achieving five Title I schools in improvement, corrective action, or restructuring in the State, whichever number of schools is greater; or



(ii) Is a high school that has had a graduation rate, as defined in 34 CFR 200.19(b), that is less than 60 percent over a number of years; and

(2) Any secondary school that is eligible for, but does not receive, Title I funds that--

(i) Is among the lowest-achieving five percent of secondary schools or the lowest-achieving five secondary schools in the State that are eligible for, but do not receive, Title I funds, whichever number of schools is greater; or

(ii) Is a high school that has had a graduation rate, as defined in 34 CFR 200.19(b), that is less than 60 percent over a number of years.

(b) To identify the lowest-achieving schools, a State must take into account both--

(i) The academic achievement of the "all students" group in a school in terms of proficiency on the State's assessments under section 1111(b)(3) of the ESEA, in reading/language arts and mathematics combined; and

(ii) The school's lack of progress on those assessments over a number of years in the "all students" group.

Priority schools means schools that, based on the most recent data available, have been identified as among the lowest-

performing schools in the State. The total number of priority schools in a State must be at least five percent of the Title I schools in the State. A priority school is--

(a) A school among the lowest five percent of Title I schools in the State based on the achievement of the "all students" group in terms of proficiency on the statewide assessments that are part of the state educational agency's (SEA's) differentiated recognition, accountability, and support system, combined, and has demonstrated a lack of progress on those assessments over a number of years in the "all students" group;

(b) A Title I-participating or Title I-eligible high school with a graduation rate that is less than 60 percent over a number of years; or

(c) A Tier I or Tier II school under the SIG program that is using SIG funds to implement a school intervention model.

Regular high school diploma means the standard high school diploma that is awarded to students in the State and that is fully aligned with the State's academic content standards or a higher diploma and does not include a General Education Development credential, certificate of attendance, or any alternative award.

Rural local educational agency means an LEA that is eligible under the Small Rural School Achievement program or the Rural and Low-Income School program authorized under title VI, part B of the ESEA. Eligible applicants may determine whether a particular LEA is eligible for these programs by referring to information on the Department's Web site at [www2.ed.gov/nclb/freedom/local/reap.html](http://www2.ed.gov/nclb/freedom/local/reap.html).

Strong theory means a rationale for the proposed process, product, strategy, or practice that includes a logic model.

Tier I schools means--

(a) A Title I school that has been identified as in improvement, corrective action, or restructuring under section 1116 of the ESEA and that is identified by the SEA under paragraph (a)(1) of the definition of persistently-lowest achieving school.

(b) An elementary school that is eligible for title I, part A funds that--

(1)(i) Has not made adequate yearly progress for at least two consecutive years; or

(ii) Is in the State's lowest quintile of performance based on proficiency rates on the State's assessments under

section 1111(b)(3) of the ESEA in reading/language arts and mathematics combined; and

(2) Is no higher achieving than the highest-achieving school identified by the SEA under paragraph (a)(1)(i) of the definition of persistently-lowest achieving school.

Tier II schools means—

(a) A secondary school that is eligible for, but does not receive, title I, part A funds and is identified by the SEA under paragraph (a)(2) of the definition of persistently-lowest achieving schools.

(b) A secondary school that is eligible for title I, part A funds that—

(1)(i) Has not made adequate yearly progress for at least two consecutive years; or

(ii) Is in the State's lowest quintile of performance based on proficiency rates on the State's assessments under section 1111(b)(3) of the ESEA, in reading/language arts and mathematics combined; and

(2)(i) Is no higher achieving than the highest-achieving school identified by the SEA under paragraph (a)(2)(i) of the definition of persistently-lowest achieving school; or

(ii) Is a high school that has had a graduation rate, as defined in 34 CFR 200.19(b), that is less than 60 percent over a number of years.

Program Authority: 20 U.S.C. 1067q.

Applicable Regulations: (a) The Education Department General Administrative Regulations in 34 CFR parts 75, 77, 79, 82, 84, 86, 97, 98, and 99. (b) The Office of Management and Budget Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) in 2 CFR part 180, as adopted and amended as regulations of the Department in 2 CFR part 3485. (c) The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR part 200, as adopted and amended in 2 CFR part 3474. (d) The Supplemental Priorities.

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$13,920,000.

Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2016 from the list of unfunded applicants from this competition.

Estimated Average Size of Awards: \$600,000.

Estimated Number of Awards: 23.

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

notice.

Project Period: Up to 60 months.

### III. Eligibility Information

1. Eligible Applicants: To qualify as an eligible institution under the PBI Program, an institution of higher education (IHE) must--

(a) Have an enrollment of needy students, as defined by section 371(c)(3) of the HEA (20 U.S.C. 1067q(c)(3)).

The term enrollment of needy students means the enrollment at the eligible IHE with respect to which not less than 50 percent of the undergraduate students enrolled in an academic program leading to a degree--

(i) In the second fiscal year preceding the fiscal year for which the determination is made, were Federal Pell Grant recipients for such year;

(ii) Come from families that receive benefits under a means-tested Federal benefit program (as defined in section 371(c)(5) of the HEA, 20 U.S.C. 1067q(c)(5));

(iii) Attended a public or nonprofit private secondary school that--

(A) Is in the school district of an LEA that was eligible for assistance under part A of title I of the ESEA (20 U.S.C.

6311 et seq.), for any year during which the student attended such secondary school; and

(B) For the purpose of this paragraph and for that year, was determined by the Secretary (pursuant to regulations and after consultation with the SEA of the State in which the school is located) to be a school in which the enrollment of children counted under a measure of poverty described in section 1113(a) (5) of the ESEA (20 U.S.C. 6313(a)(5)) exceeds 30 percent of the total enrollment of such school; or

(iv) Are first-generation college students, as that term is defined in section 402A(h) of the HEA (20 U.S.C. 1070a-11(h)), and a majority of such first-generation college students are low-income individuals, as that term is defined in section 402A(h) of the HEA (20 U.S.C. 1070a-11(h));

(b) Have an average educational and general expenditure that is low, per full-time equivalent (FTE) undergraduate student, in comparison with the average educational and general expenditure per FTE undergraduate student of IHEs that offer similar instruction. The Secretary may waive this requirement, in accordance with section 392(b) of the HEA (20 U.S.C. 1068a(b)), in the same manner as the Secretary applies the waiver

requirements to grant applicants under section 312(b)(1)(B) of the HEA (20 U.S.C. 1058(b)(1)(B));

(c) Have an enrollment of undergraduate students--

(i) That is at least 40 percent Black American students;

(ii) That is at least 1,000 undergraduate students;

(iii) Of which not less than 50 percent of the undergraduate students enrolled at the institution are low-income individuals, as that term is defined in section 402A(h) of the HEA (20 U.S.C. 1070a-11(h)), or first-generation college students, as that term is defined in section 402A(h) of the HEA (20 U.S.C. 1070a-11(h)); and

(iv) Of which not less than 50 percent of the undergraduate students are enrolled in an educational program leading to a bachelor's or associate's degree that the institution is licensed to award by the State in which the institution is located;

(d) Be legally authorized to provide, and provide, within the State an educational program for which the IHE awards a bachelor's degree or, in the case of a junior or community college, an associate's degree;

(e) Be accredited by a nationally recognized accrediting agency or association determined by the Secretary to be a reliable authority as to the quality of training offered, or be,



according to such an agency or association, making reasonable progress toward accreditation; and

(f) Not be receiving assistance under part B of title III or part A of title V of the HEA or an annual authorization of appropriations under the Act of March 2, 1867 (20 U.S.C. 123).

Note: The notice for applying for designation as an eligible institution was published on November 3, 2014 (75 FR 65197) and applications were due on December 22, 2014. Only institutions that submitted applications by the deadline date and that the Department determined are eligible may apply for a grant.

Applicants must provide, as an attachment to the application, the documentation the institution relied upon to determine that at least 40 percent of the institution's undergraduate enrollment are Black American students. The 40 percent requirement applies only to undergraduate Black American students and is calculated based upon unduplicated undergraduate enrollment. Instructions for formatting and submitting the verification documentation are in the application package for this competition.

2. Cost Sharing or Matching: This program does not require cost sharing or matching.

#### IV. Application and Submission Information

1. Address to Request Application Package: You can obtain an application via the Internet at [Grants.gov](http://Grants.gov). If you do not have access to the Internet, please contact Bernadette D. Miles, U.S. Department of Education, 1990 K Street, NW., Washington, DC 20006-8513. Telephone: (202) 502-7616.

If you use a telecommunications device for the deaf (TDD) or a text telephone (TTY), call the Federal Relay Service (FRS), toll free, at 1-800-877-8339.

Individuals with disabilities can obtain a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) by contacting the program contact person listed in this section.

2. Content and Form of Application Submission:

Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this program.

Page Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria and the competitive preference priorities that reviewers use to evaluate your application. We have established the following mandatory page limits. You must limit the section of the application narrative that addresses:

- The selection criteria to no more than 40 pages.
- A competitive preference priority, if you are addressing one or both, to no more than three pages (for a total of six pages if you address both).

Accordingly, under no circumstances may the application narrative exceed 46 pages. Please include a separate heading for each competitive preference priority that you address.

For the purpose of determining compliance with the page limit, each page on which there are words will be counted as one full page. Applicants must use the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides. Page numbers and an identifier may be within the 1" margins.

- 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, figures, and graphs. These items may be single-spaced. Charts, tables, figures, and graphs in the application narrative count toward the page limit.

- Use a font that is either 12 point or larger, or no smaller than 10 pitch (characters per inch). However, you may

use a 10-point font in charts, tables, figures, graphs, footnotes, and endnotes.

- 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 not be accepted.

The page limit does not apply to Part I, the cover sheet SF 424; Part II, the budget section, including the narrative budget justification; or Part IV, the assurances and certifications. The page limit also does not apply to the table of contents, the one-page abstract, the resumes, the bibliography, or the letters of support. If you include any attachments or appendices not specifically requested, these items will be counted as part of the application narrative for purposes of the page-limit requirement. You must include your complete response to the selection criteria and priorities in the application narrative.

We will reject your application if you exceed the page limit.

### 3. Submission Dates and Times:

Applications Available: [INSERT DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Transmittal of Applications: [INSERT DATE 45 DAYS

AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Applications for grants under this program must be submitted electronically using the [Grants.gov](https://www.Grants.gov) Apply site ([Grants.gov](https://www.Grants.gov)). For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 7. Other Submission Requirements of this notice.

We do not consider an application that does not comply with the deadline requirements.

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in section VII of this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

Deadline for Intergovernmental Review: [INSERT DATE 105 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

4. Intergovernmental Review: This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79.

Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this competition.

5. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Data Universal Numbering System Number, Taxpayer Identification Number, and System for Award Management: To do business with the Department of Education, you must--

a. Have a Data Universal Numbering System (DUNS) number and a Taxpayer Identification Number (TIN);

b. Register both your DUNS number and TIN with the System for Award Management (SAM) (formerly the Central Contractor Registry (CCR)), the Government's primary registrant database;

c. Provide your DUNS number and TIN on your application; and

d. Maintain an active SAM registration with current information while your application is under review by the Department and, if you are awarded a grant, during the project period.

You can obtain a DUNS number from Dun and Bradstreet. A DUNS number can be created within one to two business days.

If you are a corporate entity, agency, institution, or organization, you can obtain a TIN from the Internal Revenue Service. If you are an individual, you can obtain a TIN from the Internal Revenue Service or the Social Security Administration. If you need a new TIN, please allow two to five weeks for your TIN to become active.

The SAM registration process can take approximately seven business days, but may take upwards of several weeks, depending on the completeness and accuracy of the data entered into the SAM database by an entity. Thus, if you think you might want to apply for Federal financial assistance under a program administered by the Department, please allow sufficient time to obtain and register your DUNS number and TIN. We strongly recommend that you register early.

Note: Once your SAM registration is active, you will need to allow 24 to 48 hours for the information to be available in Grants.gov and before you can submit an application through Grants.gov.

If you are currently registered with SAM, you may not need to make any changes. However, please make certain that the TIN associated with your DUNS number is correct. Also note that you

will need to update your registration annually. This may take three or more business days.

Information about SAM is available at [www.SAM.gov](http://www.SAM.gov). To further assist you with obtaining and registering your DUNS number and TIN in SAM or updating your existing SAM account, we have prepared a SAM.gov Tip Sheet, which you can find at: <http://www2.ed.gov/fund/grant/apply/sam-faqs.html>.

In addition, if you are submitting your application via Grants.gov, you must (1) be designated by your organization as an Authorized Organization Representative (AOR); and (2) register yourself with Grants.gov as an AOR. Details on these steps are outlined at the following Grants.gov Web page: [www.grants.gov/web/grants/register.html](http://www.grants.gov/web/grants/register.html).

7. Other Submission Requirements: Applications for grants under this competition must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in this section.

a. Electronic Submission of Applications.

Applications for grants under the PBI Program, CFDA number 84.382A, must be submitted electronically using the Governmentwide [Grants.gov](http://www.Grants.gov) Apply site at [www.Grants.gov](http://www.Grants.gov). Through this site, you will be able to download a copy of the application



package, complete it offline, and then upload and submit your application. You may not email an electronic copy of a grant application to us.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

You may access the electronic grant application for the PBI Program at [www.Grants.gov](http://www.Grants.gov). You must search for the downloadable application package for this competition by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.382, not 84.382A).

Please note the following:

- When you enter the [Grants.gov](http://www.Grants.gov) site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by [Grants.gov](http://www.Grants.gov) are date and time

stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the [Grants.gov](https://grants.gov) system no later than 4:30:00 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not accept your application if it is received--that is, date and time stamped by the [Grants.gov](https://grants.gov) system--after 4:30:00 p.m., Washington, DC time, on the application deadline date. We do not consider an application that does not comply with the deadline requirements. When we retrieve your application from [Grants.gov](https://grants.gov), we will notify you if we are rejecting your application because it was date and time stamped by the [Grants.gov](https://grants.gov) system after 4:30:00 p.m., Washington, DC time, on the application deadline date.

- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through [Grants.gov](https://grants.gov).

- You should review and follow the Education Submission Procedures for submitting an application through [Grants.gov](https://grants.gov) that are included in the application package for this competition to

ensure that you submit your application in a timely manner to the [Grants.gov](https://www.grants.gov) system. You can also find the Education Submission Procedures pertaining to [Grants.gov](https://www.grants.gov) under News and Events on the Department's G5 system home page at [www.G5.gov](https://www.G5.gov).

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information you typically provide on the following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non Construction Programs (ED 524), and all necessary assurances and certifications.

- You must upload any narrative sections and all other attachments to your application as files in a PDF (Portable Document) read-only, non-modifiable format. Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-modifiable PDF or submit a password-protected file, we will not review that material. Additional, detailed information on how to attach files is in the application

instructions.

- Your electronic application must comply with any page-limit requirements described in this notice.

- After you electronically submit your application, you will receive from [Grants.gov](https://www.grants.gov) an automatic notification of receipt that contains a [Grants.gov](https://www.grants.gov) tracking number. (This notification indicates receipt by [Grants.gov](https://www.grants.gov) only, not receipt by the Department.) The Department then will retrieve your application from [Grants.gov](https://www.grants.gov) and send a second notification to you by email. This second notification indicates that the Department has received your application and has assigned your application a PR/Award number (an ED-specified identifying number unique to your application).

- We may request that you provide us original signatures on forms at a later date.

Application Deadline Date Extension in Case of Technical Issues

with the [Grants.gov](https://www.grants.gov) System: If you are experiencing problems submitting your application through [Grants.gov](https://www.grants.gov), please contact the [Grants.gov](https://www.grants.gov) Support Desk, toll free, at 1-800-518-4726. You must obtain a [Grants.gov](https://www.grants.gov) Support Desk Case Number and must keep a record of it.

If you are prevented from electronically submitting your

application on the application deadline date because of technical problems with the [Grants.gov](https://www.grants.gov) system, we will grant you an extension until 4:30:00 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically or by hand delivery. You also may mail your application by following the mailing instructions described elsewhere in this notice.

If you submit an application after 4:30:00 p.m., Washington, DC time, on the application deadline date, please contact the person listed under For Further Information Contact in section VII of this notice and provide an explanation of the technical problem you experienced with [Grants.gov](https://www.grants.gov), along with the [Grants.gov](https://www.grants.gov) Support Desk Case Number. We will accept your application if we can confirm that a technical problem occurred with the [Grants.gov](https://www.grants.gov) system and that that problem affected your ability to submit your application by 4:30:00 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

Note: The extensions to which we refer in this section apply only to the unavailability of, or technical problems with, the [Grants.gov](https://www.grants.gov) system. We will not grant you an extension if you

failed to fully register to submit your application to [Grants.gov](https://www.grants.gov) before the application deadline date and time or if the technical problem you experienced is unrelated to the [Grants.gov](https://www.grants.gov) system.

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through the [Grants.gov](https://www.grants.gov) system because—

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

to the [Grants.gov](https://www.grants.gov) system;

and

- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevents you from using the Internet to submit your application.

If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two

weeks before the application deadline date.

Address and mail or fax your statement to: Bernadette D. Miles, U.S. Department of Education, 1990 K Street, NW., room 6025, Washington, DC 20006-8513. Fax: (202) 502-7861.

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

b. Submission of Paper Applications by Mail.

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

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.382A)  
LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

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

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a

commercial carrier.

(4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

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

(1) A private metered postmark.

(2) A mail receipt that is not dated by the U.S. Postal Service.

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

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

c. Submission of Paper Applications by Hand Delivery.

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

U.S. Department of Education  
Application Control Center



Attention: (CFDA Number 84.382A)  
550 12th Street, SW.  
Room 7039, Potomac Center Plaza  
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department--

(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and

(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

#### V. Application Review Information

1. Selection Criteria: The selection criteria for this program are from 34 CFR 75.210. Applicants must address each of the following selection criteria. We will award up to 100 points to an application under the selection criteria; the total

possible points for each selection criterion are noted in parentheses.

a. Need for project. (Maximum 15 points) The Secretary considers the need for the proposed project. In determining the need for the proposed project, the Secretary considers:

1. The magnitude of the need for the services to be provided or the activities to be carried out by the proposed project. (5 points)

2. The extent to which the proposed project will focus on serving or otherwise addressing the needs of disadvantaged individuals. (5 points)

3. The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses. (5 points)

b. Quality of the project design. (Maximum 30 points) The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers the following factors:

1. The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable. (10 points)

2. The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs. (10 points)

3. The extent to which the proposed project is supported by strong theory (as defined in this notice). (10 points)

c. Quality of project services. (Maximum 10 points) The Secretary considers the quality of the services to be provided by the proposed project. In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. In addition, the Secretary considers:

1. The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services. (5 points)

2. The extent to which the services to be provided by the proposed project reflect up-to-date knowledge from research and effective practice. (5 points)

d. Quality of project personnel. (Maximum 10 points) The Secretary considers the quality of the personnel who will carry

out the proposed project. In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

In addition, the Secretary considers:

1. The qualifications, including relevant training and experience, of the project director or principal investigator.

(5 points)

2. The qualifications, including relevant training and experience, of key project personnel. (5 points)

e. Adequacy of resources. (Maximum 5 points) The Secretary considers the adequacy of resources for the proposed project. In determining the adequacy of resources for the proposed project, the Secretary considers:

1. The extent to which the budget is adequate to support the proposed project. (3 points)

2. The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project. (2 points)

f. Quality of the management plan. (Maximum 15 points)

The Secretary considers the quality of the management plan for the proposed project. In determining the quality of the management plan for the proposed project, the Secretary considers:

1. The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks. (5 points)

2. The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project. (5 points)

3. The adequacy of mechanisms for ensuring high-quality products and services from the proposed project. (5 points)

g. Quality of the project evaluation. (Maximum 15 points)

The Secretary considers the quality of the evaluation to be conducted of the proposed project. In determining the quality of the evaluation, the Secretary considers:

1. The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project. (5 points)

2. The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible. (5 points)

3. The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes. (5 points)

2. Review and Selection Process: We remind potential applicants that in reviewing applications in any discretionary grant competition, the Secretary may consider, under 34 CFR 75.217(d)(3), the past performance of the applicant in carrying out a previous award, such as the applicant's use of funds, achievement of project objectives, and compliance with grant conditions. The Secretary may also consider whether the applicant failed to submit a timely performance report or submitted a report of unacceptable quality.

In addition, in making a competitive grant award, the Secretary also requires various assurances including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal

financial assistance from the Department of Education (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

3. Special Conditions: Under 2 CFR 3474.10, the Secretary may impose special conditions and, in appropriate circumstances, high-risk conditions on a grant if the applicant or grantee is not financially stable; has a history of unsatisfactory performance; has a financial or other management system that does not meet the standards in 2 CFR part 200, subpart D; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

## VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN); or we may send you an email containing a link to access an electronic version of your GAN. We may notify you informally, also.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: (a) If you apply for a grant under this competition, you must ensure that you have in place the necessary processes and systems to comply with the reporting requirements in 2 CFR part 170 should you receive funding under the competition. This does not apply if you have an exception under 2 CFR 170.110(b).

(b) At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). Please see the application package for details of annual and final reporting requirements. For specific requirements on reporting, please go to [www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html).



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

(a) The percentage of change in the number of full-time, degree-granting undergraduate students enrolled at PBIs.

(b) The percentage of first-time, full-time, degree-seeking undergraduate students at four-year PBIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same four-year PBI.

(c) The percentage of first-time, full-time, degree-seeking undergraduate students at two-year PBIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same two-year PBI.

(d) The percentage of first-time, full-time, degree-seeking undergraduate students enrolled at four-year PBIs who graduate within six years of enrollment.

(e) The percentage of first-time, full-time, degree-seeking undergraduate students enrolled at two-year PBIs who graduate within three years of enrollment.

5. Continuation Awards: In making a continuation award under 34 CFR 75.253, the Secretary considers, among other things: whether a grantee has made substantial progress in achieving the

goals and objectives of the project; whether the grantee has expended funds in a manner that is consistent with its approved application and budget; and, if the Secretary has established performance measurement requirements, the performance targets in the grantee's approved application. In making a continuation award, the Secretary also considers whether the grantee is operating in compliance with the assurances in its approved application, including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

#### VII. Agency Contacts

For Further Information Contact: Bernadette D. Miles, U.S. Department of Education, 1990 K Street, NW., room 6025, Washington, DC 20006-8513. Telephone: (202) 502-7616 or by email: [bernadette.miles@ed.gov](mailto:bernadette.miles@ed.gov).

If you use a TDD or a TTY, call the FRS, toll free, at 1-800-877-8339.

#### VIII. Other Information

Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc)

on request to the program contact person listed under For Further Information Contact in section VII of this notice.

Electronic Access to This Document: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available via the Federal Digital System at: [www.gpo.gov/fdsys](http://www.gpo.gov/fdsys). At this site you can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF). To use PDF you must have Adobe Acrobat Reader, which is available free at the site.

You may also access documents of the Department published in the Federal Register by using the article search feature at [www.federalregister.gov](http://www.federalregister.gov). Specifically, through the advanced search feature at this site, you can limit your search to documents published by the Department.

Delegation of Authority: The Secretary of Education has delegated authority to Jamienne S. Studley, Deputy Under Secretary, to perform the functions and duties of the Assistant Secretary for Postsecondary Education.

Dated:

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Jamienne S. Studley,  
Deputy Under Secretary.

## **AUTHORIZING LEGISLATION**

The Predominantly Black Institutions (PBI) program is authorized under Title III, Part F, Section 371 of the Higher Education Act of 1965, as amended. Legislation governing the PBI program can be accessed from the following Web site:

**<http://www2.ed.gov/programs/pbi/legislation.html>**

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## SUPPLEMENTAL INFORMATION

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The following information supplements the information provided in the “Dear Applicant” letter and the Federal Register.

### **1. Certification of PBI Eligibility**

All applicant institutions under the Predominantly Black Institutions (PBI) program must submit the Program Profile Sheet, which requires enrollment data that certifies their eligibility to be considered for funding.

### **2. Estimated Funding and Project Period**

Estimated Available Funds for FY 2015: \$13,920,000

Estimated Size of Awards: \$600,000 per year

Estimated Number of New Awards: 23

Project Period for New Awards: Up to 60 months

The U.S. Department of Education is not bound by these estimates.

### **3. Intergovernmental Review of Federal Programs**

Intergovernmental Review of Federal Programs was issued to foster an intergovernmental partnership and to 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>.

### **4. Appendices to Applications**

Please limit the appendices to the following:

1. Curricula vitae of key personnel; including the U.S.-based project personnel and the overseas center personnel; language program staff; biographical information for consultants, evaluators, and other persons who are vital to the proposed project.
2. Position descriptions for positions proposed for the funding cycle.
3. The Program Profile form must be signed by the authorized representative of the applicant, ensuring that the institution meets the PBI provisions specified under Title III, Part F, Section 371 of the HEA.

### **5. Evaluation of Applicants**

A three-member panel of non-Federal reviewers evaluates each application.

Each reviewer assigns points for each selection criterion and prepares evaluation comments.

### **6. Selection Criteria**

The selection criteria in EDGAR 34 CFR Part 75, section 75.210 are used to evaluate applications. The selection criteria and maximum possible points are included in the Notice.

**7. Notice to Successful Applicants**

The Department's Office of Legislation and Congressional Affairs will inform the Congress regarding applications approved for new PBI program grants. Successful applicants will receive award notices by e-mail shortly after the Congress is notified. No funding information will be released before the Congress is notified.

**8. Notice to Unsuccessful Applicants**

Unsuccessful applicants will be notified in writing following the notice to successful applicants.

**9. Annual Performance Report Requirements**

If you receive a new grant award under the PBI program, you will be required to complete an interim performance report after six months into the grant period, an annual report each following spring, and a final performance report at the end of the grant period.

**10. Contact Information**

**For PBI program-related questions and assistance, please contact:**

Bernadette D. Miles, Program Officer at (202) 502-7616 or via e-mail at: [bernadette.miles@ed.gov](mailto:bernadette.miles@ed.gov).

**For grants.gov related questions and assistance, please contact:**

Support Desk: Grants.gov Contact Center

Telephone or Email: 1-800-518-4726 or

<http://www.grants.gov/web/grants/about/contact-us.html>

Monday –

Friday, 6:00 A.M. - 4:00 P.M. Eastern Time

## Executive Order 12372 (INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS)

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

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

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

**[http://www.whitehouse.gov/omb/grants\\_spoc](http://www.whitehouse.gov/omb/grants_spoc)**.

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372—CFDA# [84.382A], U.S. Department of Education, room 7E200, 400 Maryland Avenue, S.W., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30:00 p.m. (Eastern Standard Time) on the closing date indicated in this notice.

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



## GENERAL EDUCATION PROVISIONS ACT (GEPA) SECTION 427

Section 427 of GEPA requires each applicant to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally-assisted programs for students, teachers, and other program beneficiaries with special needs. The provision allows an applicant 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 not sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers.

### NOTES:

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

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## GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)

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### What is GPRA?

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

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

As required by GPRA, the Department of Education has prepared a strategic plan for 2014-2018. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

**Goal 1: Postsecondary Education, Career and Technical Education, and Adult Education.**  
*Increase college access, affordability, quality, and completion by improving postsecondary education and lifelong learning opportunities for youths and adults.*

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

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

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

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

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

## **What are the performance indicators for the Predominantly Black Institutions (PBI) Competitive grant program?**

The performance indicators for the PBI program are part of the Department's plan for meeting Goal 1.

**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.**

- The percentage change of the number of full-time degree-granting undergraduate students enrolled at PBIs.
- The percentage of first-time, full-time, degree-seeking undergraduate students at four-year PBIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same four-year PBI.
- The percentage of first-time, full-time, degree-seeking undergraduate students at two-year PBIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same two-year PBI.
- The percentage of first-time, full-time, degree-seeking undergraduate students enrolled at four-year PBIs who graduate within six years of enrollment.
- The percentage of first-time, full-time, degree-seeking undergraduate students enrolled at two-year PBIs who graduate within three years of enrollment.

Efficiency measure: Federal cost per undergraduate at PBIs.

## **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.

## INSTRUCTIONS FOR COMPLETING THE APPLICATION PACKAGE

Grants.gov allows you to download the application, complete it, and then upload the completed version. The application consists of four parts. These parts are organized in the same manner that the submitted application should be organized. The parts are as follows:

**Part I:                    424 Forms**

Application for Federal Assistance – (SF424)  
Department of Education Supplemental Information Form for SF424

**Part II:                    524 Forms**

Department of Education Budget Summary Form – (ED 524)  
Sections A & B  
(Section C – Budget Narrative should be included in the Budget Narrative Attachment Form, located in Part III.)

**Part III:                    Attachments (NOTE: all attachments uploaded must be .PDF Files)**

ED    Abstract Form  
      Project Narrative Attachment Form  
      Budget Narrative Attachment Form  
      Other Attachments Form

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 F, Section 371 project, providing a brief summary of the proposed activities and how you will address the competitive preference priorities in the proposed activities, goals and objectives of the Predominantly Black Institutions program.

The Project Narrative should include the detailed narrative section addressing the program selection criteria that will be used to evaluate applications submitted for this competition - this section has a strict page limit of 40 pages. In addition, as stated in the NIA, for the competitive preference priorities, if you are addressing one priority, a maximum of three additional pages for a total of 43 pages are acceptable for the narrative. If you are addressing both priorities, a maximum of six additional pages are acceptable for the narrative. **The application narrative must not exceed 46 pages.** Please include a separate heading for each competitive preference priority that you address.

The Budget Narrative should include a detailed line item budget and any supplemental budget information. The budget should demonstrate and justify that all costs are reasonable and necessary to accomplish the proposed project activities.

Other Attachments should include the PBI Program Profile Form, and appendices, including: curricula vitae of key personnel, and position descriptions for proposed personnel for the project.

Please note, “.PDF” (Portable Document) files are the only approved file type accepted as detailed in the Notice. Any attachments uploaded that are not .PDF files or are password protected files will not be read. If you need assistance converting your files to a .PDF format, please refer to the Grants.gov webpage for links to conversion programs. Please refer to the “Grants.gov Submission Procedures and Tips for Applicants” section, found in this application package, for more details.

**Part IV:                    Assurances, Certifications, and Survey Forms**

GEPA Section 427 Requirement  
Assurances – Non-Construction Programs (SF 424B)  
Disclosure of Lobbying Activities (SF-LLL)  
Grants.gov Lobbying Form (Formerly ED Form 80-0013)

## INSTRUCTIONS FOR PROJECT NARRATIVE

Please note that the project narrative is limited to 40 pages. This section includes the applicant's responses to the selection criteria specified in the Notice and in this package. In addition, as stated in the NIA, for the competitive preference priorities, if you are addressing one priority, a maximum of three additional pages for a total of 43 pages are acceptable for the narrative. If you are addressing both priorities, a maximum of six additional pages are acceptable for the narrative. **The application narrative must not exceed 46 pages.** Please include a separate heading for each competitive preference priority that you address.

### 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, only*. 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.

Before preparing the Program Narrative, applicants should review the Dear Applicant Letter, the Federal Register Notice, and program statute for specific guidance and requirements. Note that applications will be evaluated according to the specific selection criteria specified in the Federal Register Notice and this package.

The Secretary evaluates an application on the basis of the broad criteria in 34 CFR Part 75, section 75.210 of the Education Department General Administrative Regulations (EDGAR). Please see "Selection Criteria" in the Federal Register.

When developing your application, be sure to address the selection criteria (34 CFR Part 75.210) as precisely as possible to ensure your application contains the information readers will need to judge the quality of the proposed project. If you are addressing the competitive preference priorities, **be sure to also include measurable objectives and activities that relate to the priorities outlined in the Notice and the competition highlights.**

To facilitate the review of the application, provide responses to the following selection criteria in the following order:

**I. Need for the project. (Maximum 15 Points)** In determining the need for the proposed project, the Secretary considers:

- a. The magnitude of the need for the services to be provided or the activities to be carried out by the proposed project. **(5 points)**
- b. The extent to which the proposed project will focus on serving or otherwise addressing the needs of disadvantaged individuals. **(5 points)**
- c. The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses. **(5 points)**

**II. Quality of the project design. (Maximum 30 Points)** The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers the following factors:

- a. The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable. **(10 points)**
- b. The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs. **(10 points)**
- c. The extent to which the proposed project is supported by strong theory (as defined in the notice). **(10 points)**

**III. Quality of project services. (Maximum 10 Points)** In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. In addition, the Secretary considers:

- a. The extent to which the services provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services. **(5 points)**
- b. The extent to which the services to be provided by the proposed project reflect up-to-date knowledge from research and effective practice. **(5 points)**

**IV. Quality of project personnel. (Maximum 10 Points)** In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. In addition, the Secretary considers:

- a. The qualifications, including relevant training and experience, of the project director or principal investigator. **(5 points)**
- b. The qualifications, including relevant training and experience, of key project personnel. **(5 points)**

**V. Adequacy of resources. (Maximum 5 Points)** In determining the adequacy of resources for the proposed project, the Secretary considers:

- a. The extent to which the budget is adequate to support the proposed project. **(3 points)**
- b. The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project. **(2 points)**

**VI. Quality of the management plan. (Maximum 15 Points)** In determining the quality of the management plan for the proposed project, the Secretary considers:

- a. The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks. **(5 points)**
- b. The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project. **(5 points)**
- c. The adequacy of mechanisms for ensuring high-quality products and services from the proposed project. **(5 points)**

**VII. Quality of Project Evaluation (Maximum 15 Points)** In determining the quality of evaluation, the Secretary considers:

- a. The extent to which the methods of evaluation are thorough, feasible and appropriate to the goals, objectives and outcomes of the proposed project. **(5 points)**
- b. The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible. **(5 points)**
- c. The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes. **(5 points)**

**THE FOLLOWING GUIDANCE MAY ASSIST YOU IN ADDRESSING EACH OF THE WEIGHTED SELECTION CRITERIA:**

**Need:** When addressing this criterion, applicants should provide detailed information that not only identifies a need for their proposed project but they should also provide data that supports their claim for a need for the proposed project. Supporting documentation may consist of recent statistics from State, local and Federal sources; mission statement; comparison data from similar institutions, etc.

**Project Design:** When addressing this criterion, please review the new description for providing strong theory and a logic model. The definitions can be found in the *Federal Register* Notice. Applicants should clearly and succinctly identify the goals, objectives, and outcomes to be achieved. A mere listing of the goals, objectives, and outcomes is not sufficient. The identified goals, objectives and outcomes should not only address



the identified need for the project but should also be measurable, support the purpose of the PBI program, and describe models (active ingredients), tools, or practices that will be used to achieve the relevant outcomes.

**Project Services:** When addressing this criterion, applicants should clearly spell out the activities and services they are proposing and the intended recipients or beneficiaries of each service or activity. A mere listing of the services and beneficiaries is not enough. Provide details as to the types of activities and services to be provided and the extent to which the activities and services reflect up-to-date knowledge from research and effective practice. In other words, will the proposed activities and services meet the need of the project?

**Key Personnel:** The minimum qualifications must be identified for all project personnel positions. The minimum educational qualifications should include the type of degree required and the acceptable field(s) of study. The type and minimum amount of work-related experience should also be described for each position.

**Resources:** This section should provide information that shows that the proposed budget will provide adequate resources necessary to successfully carry out the proposed project. Applicants should demonstrate here how the proposed costs would enable them to carry out the project and that the proposed costs are reasonable in relation to the objectives, design and significance of the proposed project.

**Management Plan:** Describe the plan of management. Who will be responsible for which tasks? What are the expected timelines and proposed budgets for each activity or service? What are the expected milestones for accomplishing the proposed activities or services? Have you included procedures that will ensure feedback and the opportunity for continuous improvement in the operation of the proposed project? Be sure that the management plans are clearly and concisely defined.

**Evaluation:** A strong evaluation plan should be included and should be used, as appropriate, to shape the development of the project from the beginning of the grant period. The evaluation plan should include process and outcome performance measures and benchmarks to monitor progress toward meeting specific project objectives and goals. Specifically, the plan should identify the individual or organization that has agreed to serve as evaluator for the project and describe the qualifications of the evaluator. The plan should describe the evaluation design, indicating: (1) what types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports and outcomes will be available; and (7) how the applicant will use the information collected through evaluation to monitor progress of the funded project. Applicants are encouraged to devote an appropriate level of resources to project evaluation and should explain the measures and strategies that will be used to ensure that the evaluation is appropriately rigorous and independent.

**Budget:** In response to this criterion, applicants must provide a detailed, itemized budget (ED Form 524) and a detailed budget narrative for each 12-month budget

period. The budget narrative is to be included in the *Project Narrative* to be attached to the Project Narrative Attachment Form in the application package downloaded from Grants.gov.

## INSTRUCTIONS FOR STANDARD FORMS

- Application for Federal Assistance (SF 424)
- Department of Education Supplemental Form for the SF 424
- Department of Education Budget Summary Form (ED 524)
- Disclosure of Lobbying Activities (SF-LLL)

# Instructions for Standard Forms

## Instructions for Federal Assistance Form SF424

This is a standard form required for use as a cover sheet for submission of pre-applications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the federal agency (agency). Required fields on the form are identified with an asterisk (\*) and are also specified as "Required" in the instructions below. In addition to these instructions, applicants must consult agency instructions to determine other specific requirements.

Item	Entry:	Item	Entry:
1.	<p><b>Type of Submission:</b> (Required) Select one type of submission in accordance with agency instructions.</p> <ul style="list-style-type: none"> <li>• Pre-application</li> <li>• Application</li> <li>• Changed/Corrected Application – Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date.</li> </ul>	10.	<p><b>Name Of Federal Agency:</b> (Required) Enter the name of the federal agency from which assistance is being requested with this application.</p>
		11.	<p><b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.</p>
2.	<p><b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions.</p> <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the federal government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.</li> </ul> <p>A. Increase Award      B. Decrease Award (specify) C. Increase Duration    D. Decrease Duration E. Other (specify)</p>	12.	<p><b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement.</p>
		13.	<p><b>Competition Identification Number/Title:</b> Enter the competition identification number and title of the competition under which assistance is requested, if applicable.</p>
		14.	<p><b>Areas Affected By Project:</b> This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.</p>
3.	<p><b>Date Received:</b> Leave this field blank. This date will be assigned by the federal agency.</p>	15.	<p><b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.</p>
4.	<p><b>Applicant Identifier:</b> Enter the entity identifier assigned by the federal agency, if any, or the applicant's control number if applicable.</p>		
5a.	<p><b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the federal agency, if any.</p>	16.	<p><b>Congressional Districts Of:</b> 16a. (Required) Enter the applicant's congressional district. 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina's 103 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. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.</p>
5b.	<p><b>Federal Award Identifier:</b> For new applications, enter NA. 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.</p>		
6.	<p><b>Date Received by State:</b> Leave this field blank. This date will be assigned by the state, if applicable.</p>		
7.	<p><b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the state, if applicable.</p>		
8.	<p><b>Applicant Information:</b> Enter the following in accordance with agency instructions:</p>		
	<p><b>a. Legal Name:</b> (Required) Enter the legal name of applicant that will undertake the assistance activity. This</p>	17.	<p><b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of</p>

	is the organization that has registered with the System for Award Management (SAM). Information on registering with SAM may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .		the project.																								
	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	<b>Estimated Funding:</b> (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.																								
	<b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .	19.	<b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> (Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.																								
	<b>d. Address:</b> Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).	20.	<b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.																								
	<b>e. Organizational Unit:</b> Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.	21.	<b>Authorized Representative:</b> To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. 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.)																								
	<b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.																										
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.																										
	<table border="0"> <tr> <td>A. State Government</td> <td>M. Nonprofit</td> </tr> <tr> <td>B. County Government</td> <td>N. Private Institution of Higher Education</td> </tr> <tr> <td>C. City or Township Government</td> <td>O. Individual</td> </tr> <tr> <td>D. Special District Government</td> <td>P. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td>E. Regional Organization</td> <td>Q. Small Business</td> </tr> <tr> <td>F. U.S. Territory or Possession</td> <td>R. Hispanic-serving Institution</td> </tr> <tr> <td>G. Independent School District</td> <td>S. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td>H. Public/State Controlled Institution of Higher Education</td> <td>T. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td>I. Indian/Native American Tribal Government (Federally Recognized)</td> <td>U. Alaska Native and Native Hawaiian Serving Institutions</td> </tr> <tr> <td>J. Indian/Native American Tribal Government (Other than Federally Recognized)</td> <td>V. Non-US Entity</td> </tr> <tr> <td>K. Indian/Native American Tribally Designated Organization</td> <td>W. Other (specify)</td> </tr> <tr> <td>L. Public/Indian Housing Authority</td> <td></td> </tr> </table>	A. State Government	M. Nonprofit	B. County Government	N. Private Institution of Higher Education	C. City or Township Government	O. Individual	D. Special District Government	P. For-Profit Organization (Other than Small Business)	E. Regional Organization	Q. Small Business	F. U.S. Territory or Possession	R. Hispanic-serving Institution	G. Independent School District	S. Historically Black Colleges and Universities (HBCUs)	H. Public/State Controlled Institution of Higher Education	T. Tribally Controlled Colleges and Universities (TCCUs)	I. Indian/Native American Tribal Government (Federally Recognized)	U. Alaska Native and Native Hawaiian Serving Institutions	J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Non-US Entity	K. Indian/Native American Tribally Designated Organization	W. Other (specify)	L. Public/Indian Housing Authority			
A. State Government	M. Nonprofit																										
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J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Non-US Entity																										
K. Indian/Native American Tribally Designated Organization	W. Other (specify)																										
L. Public/Indian Housing Authority																											

**[U.S Department of Education note:** As of spring, 2010, the FON discussed in Block 12 of the instructions can be found via the following URL: [http://www.grants.gov/applicants/find\\_grant\\_opportunities.jsp](http://www.grants.gov/applicants/find_grant_opportunities.jsp).]

## Instructions for Department of Education Supplemental Information for the SF424

**1. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application. Items marked with an asterisk (\*) are mandatory.

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

This novice applicant information will be used by ED to: 1) determine the amount and type of technical assistance that a novice might need, if funded, and 2) determine novice applicant eligibility in discretionary grant competitions that give special consideration to novice applications. Certain ED discretionary grant programs give special consideration to novice applications, either by establishing a special competition for novice applicants or by giving competitive preference to novice applicants under the procedures in 34 CFR 75.105(c)(2). If special consideration is being given to novice applications under a particular discretionary grant competition, the application notice for the competition published in the Federal Register will specify this information

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

**3a. 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.

**3a. 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 U.S. Department of Education Supplemental Information for SF-424.”)

**3b. 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. Check 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 U.S. Department of Education Supplemental Information for the SF-424.”

**3b. 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 attached page entitled “Definitions for U.S. Department of Education Supplemental Information for the SF-424.”

**3b. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide Assurance (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. (A list of current FWAs is available at: <http://ohrp.cit.nih.gov/search/asearch.asp#ASUR>) 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.

**3c.** If applicable, please attach your “Exempt Research” or “Nonexempt Research” narrative to your submission of the U.S Department of Education Supplemental Information for the SF-424 form as instructed in item II, “Instructions for Exempt and Nonexempt Human Subjects Research Narratives” in the attached page entitled “Definitions for U.S. Department of Education Supplemental Information for the SF-424.”

**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.

**No covered human subjects research can be conducted until the study has ED clearance for protection of human subjects in research.**

**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 1894-0007. 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. 20202-0170. If you have comments or concerns regarding the status of your individual submission of this form write directly to: (insert program office), U.S. Department of Education, 400 Maryland Avenue, SW, Washington, D.C. 20202.

## **Definitions for U.S. Department of Education Supplemental Information for the SF-424**

### **Definitions:**

#### **Novice Applicant (See 34 CFR 75.225)**

For discretionary grant programs, 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. 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 **directly or indirectly** linked to that individual, 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. ***If an educational practice is being introduced to the site and is not widely used for similar populations, it is not covered by this exemption.***

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

***Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

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

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects. ***[This exemption applies only to retrospective studies using data collected before the initiation of the research.]***

(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. ***[The standards of this exemption are rarely met because it was designed to apply only to specific research conducted by HHS at the time the regulations were established. We will strictly construe this exemption because it was not intended to apply to ED research.]***

(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.b. of the U.S. Department of Education Supplemental Information for the SF 424, the applicant must attach a human subjects "exempt research" or "nonexempt research" narrative to the U.S. Department of Education Supplemental Information for the SF-424 form. 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.b. and designated exemption numbers(s), attach the "exempt research" narrative to the U.S. Department of Education Supplemental Information for the SF-424. 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.b. you must attach the "nonexempt research" narrative to the U.S. Department of Education Supplemental Information for the SF-424. 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 Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4331, telephone: (202) 245-8090, 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 SF-424 in the upper right corner of the form (if applicable).

# 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).



# Instructions for Budget Summary Form 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. You may access the Education Department General Administrative Regulations, 34 CFR 74 – 86 and 97-99, on ED’s website at: <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

**You must 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 break-down 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.

If you checked “no,” ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:

(a) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after ED issues a grant award notification; and

(b) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.

(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, another federal agency (Other) or State agency issued the approved agreement. If you check “Other,” specify the name of the Federal or other 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 cost-sharing or 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. For non-Federal funds or resources listed in Section B that are used to meet a cost-sharing or matching requirement or provided as a voluntary cost-sharing or matching commitment, you must include:
  - a. The specific costs or contributions by budget category;
  - b. The source of the costs or contributions; and
  - c. In the case of third-party in-kind contributions, a description of how the value was determined for the donated or contributed goods or services.

[Please review ED's general cost sharing and matching regulations, which include specific limitations, in 34 CFR 74.23, applicable to non-governmental entities, and 80.24, applicable to governments, and the applicable Office of Management and Budget (OMB) cost principles for your entity type regarding donations, capital assets, depreciation and use allowances. OMB cost principle circulars are available on OMB's website at: <http://www.whitehouse.gov/omb/circulars/index.html>]

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

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

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

5. Provide other explanations or comments you deem necessary.

#### **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 **1894-0008**. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, 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. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, SW, Washington, D.C. 20202.

## INSTRUCTIONS FOR BUDGET SUMMARY FORM AND BUDGET NARRATIVE

**NOTE:** Applicants to the PBI program must submit (1) a budget information form to categorize requested funds (ED Form 524, Section A & B), **and** (2) a detailed line item budget with narrative justification.

**The budget summary** is to be included on the “Budget Information- Non-Construction Program” (ED Form 524). The applicant must complete both Sections A & B.

**Both the detailed line item budget AND the accompanying budget narrative for each year funding is being requested** should be included in “Budget Narrative,” which requests information on the applicant’s financial plan for carrying out the project.

It is suggested that applicants organize their budgets using either two columns or categories to include funding streams as follows: 1) federal funds (PBI program) requested; 2) funding from other public or private United States sources. Applicants should describe how all costs support project activities.

For each line item, provide detailed costs and narrative justification to support your request. Please check all figures and combined totals and compare the line item budget figures to those on the ED Form 524 for both Sections A & B.

Among the costs that may be supported with grant funds are:

1. **Personnel:** Enter only the project personnel salaries and wages. [Fees and expenses for consultants should be included on line 8 – “Other”.] The budget should include the total commitment of time and the total salary to be charged to the project for each key staff person. A breakdown of project personnel should include: position titles, specific time commitments to project for each staff person in days/months or in percentage, and other relevant information.
2. **Fringe Benefits:** Enter the amount of fringe benefits. The institution’s normal fringe benefit contribution may be charged to the project. Leave this blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect costs. In the budget, include an explanation and appropriate justification if the Institution’s normal fringe benefit contribution exceeds 20 percent of salaries.
3. **Travel:** Provide the costs for project personnel. [Consultants’ travel should be included on line 8 – “Other”] Indicate the number of people traveling, whether they are faculty or administrative personnel, their destination, and a breakdown of travel costs. Transportation costs should not exceed economy airfare. Foreign travel may be authorized under the grant for itineraries that are in compliance with the Fly America Act. Per diem costs are allowable for project-related travel, in accordance with OMB Circular A-21, J.48c.



4. Equipment: Provide the cost for property charged to the grant having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.
5. Supplies: Include materials necessary for conducting, developing, or implementing the project, such as library resources, conference materials, software, computers, general office supplies, and equipment that is less than \$5000 per unit.
6. Contractual: Not applicable. Leave blank.
7. Construction: Include costs for construction and renovation projects.
8. Other: Other miscellaneous costs may be requested in this category. Examples of allowable costs include: professional services fees for consultants, evaluators, conference speakers, auditors, etc.; printing costs for newsletters and publications; travel expenses for non-project personnel; and per diem for non-project personnel. Provide a detailed breakdown of the costs, such as the number of days for the per diem being requested; number of days and costs for consultant or evaluator services; quantity and cost for printing; ground transportation costs, etc. Please note that professional services fees should not exceed amounts permitted under comparable institutional policies.
9. Total Direct Costs: Enter the total direct costs (items 1-8) being requested.
10. Indirect Cost: 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.
11. Training Stipends: Not applicable. Leave blank.
12. Total Costs: Enter the total that the Institution is requesting under the PBI program (items 9-11)

## **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 followup 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.

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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. 0348-0046. 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

## PREDOMINANTLY BLACK INSTITUTIONS PROGRAM PROFILE

**INSTRUCTIONS:** ALL applicants must complete this page. DO NOT MODIFY OR AMEND THIS PAGE. UPON COMPLETION, ATTACH THIS DOCUMENT AS A .pdf TO THE "OTHER ATTACHMENTS FORM" IN GRANTS.GOV.

OPE ID # \_\_\_\_\_

**1. INSTITUTION (Legal Name):**

\_\_\_\_\_

**2. Are you applying as a Branch Campus?** \_\_\_\_\_ YES \_\_\_\_\_ NO

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

Project Address:

\_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

**4. PREDOMINANTLY BLACK INSTITUTIONS PROGRAM CERTIFICATION:**

• **By checking this box (or placing an "X" beside it),** the applicant certifies pursuant to the statutory requirements governing the Predominantly Black Institutions Program, authorized under Title III, Part F, Section 371 of the Higher Education Act of 1965, as amended, that it has: an enrollment of financially needy undergraduate students; an enrollment of undergraduate students at least 40% of whom are Black; and an enrollment of at least 1,000 undergraduate students of whom not less than 50% are low-income or first generation and registered in a BA or AA program leading to a degree.

Total undergraduate unduplicated enrollment 2013 - 2014 \_\_\_\_\_

Black American undergraduate unduplicated enrollment: # \_\_\_\_\_ and \_\_\_\_\_%

Low-income or first generation: # \_\_\_\_\_ and \_\_\_\_\_%

Registered in a BA or AA program: # \_\_\_\_\_ and \_\_\_\_\_%

Authorized Representative

Name:

Date:

Telephone:

## APPLICATION CHECKLIST

Before you submit the application package, please review the following list to ensure that you have attached all required materials/files in the prescribed format.

- Part I: Application for Federal Assistance – SF 424  
Department of Education Supplemental Information Form for SF 424
- Part II: Department of Education Budget Summary Form – ED 524  
Sections A & B
- Part III: Project Abstract (attached to the ED Abstract Form)  
Project Narrative (attached to the Project Narrative Attachment Form)  
Budget Narrative (attached to the Budget Narrative Attachment Form)  
Other Attachments (attach each to the Other Attachments Form)
- Curricula vitae
  - Position descriptions
  - Program profile form
- Part IV: Assurances, Certifications, and Survey Forms
- GEPA Section 427
  - Assurances – Non-Construction Programs (SF-424B)
  - Certification Regarding Lobbying
  - Disclosure of Lobbying 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. Public reporting burden for this collection of information is estimated to average 40 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Title III of the HEA of 1965, as amended). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to [regulations.gov](http://regulations.gov) during the public comment period for this collection of information. If you have specific questions about the form, instrument or survey, please contact the U.S. Department of Education, Office of Postsecondary Education, Predominantly Black Institutions Competitive Grant Program, 1990 K Street, N.W., 6th Floor, Mail Stop K-OPE-6-6024, Washington, DC 20006.