



**FY 2016
Application Package for
Historically Black Graduate Institutions (HBGI)
Program**

(CFDA NUMBER: 84.031B)

OMB No. 1840-NEW

EXPIRATION DATE: XX/XX/2019

PHASE I DUE DATE: XX/XX/2019

PHASE II DUE DATE: XX/XX/2019

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PAPERWORK REDUCTION ACT

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 24 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 (under 34 CFR 609) to obtain or retain benefit (Section 322(2) of the Higher Education Act of 1965, as amended (HEA)). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to [regulations.gov](https://www.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 Mr. Donald E. Watson, Director, Historically Black Colleges and Universities Division, Office of Postsecondary Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.



UNITED STATES DEPARTMENT OF EDUCATION
OFFICE OF POSTSECONDARY EDUCATION

Dear Applicant:

Thank you for your interest in the Historically Black Graduate Institutions (HBGI) grant program. This program was established by the Higher Education Opportunity Act of 2008 and is authorized under Title III, Part B Section 326 of the Higher Education Act of 1965, as amended (HEA). The purpose of the HBGI program is to assist eligible institutions by providing financial assistance to establish or strengthen the academic resources, endowment building capacity, management capabilities and physical plants of Historically Black Graduate Institutions. A copy of the statute for this program and all instructions and forms required to apply for a grant are included in this application booklet.

To be eligible to apply for a grant under the HBGI program, institutions must be legally designated as an HBGI according to the statute. Additional information and the regulations governing these programs can be accessed at: <http://www2.ed.gov/programs/idueshbgi/index.html>.

All eligible institutions that qualify as an HBGI that also submit the required application materials in accordance with the instructions will receive a portion of the total appropriation for the HBGI grant program. Funds to eligible HBGIs will be awarded based on the funding formula included in the program statute.

There are two deadlines for transmittal of application materials, each pertaining to different phases of the application process. **Phase I** of the application involves the submission of data necessary to review your academic year data and calculate the funding formula that determines the amount each eligible institution will receive. **Phase II** of the application involves the submission of the narrative project plan, abstract, and all standard forms, including the SF 524 Budget form and narrative. **The Phase I Formula Data worksheet is required and must be submitted by [INSERT DATE]. The Phase II comprehensive development plan and required forms must be submitted by [INSERT DATE].**

We also encourage you to review the Key Application Highlights found in this application package for an overview of additional important information.

If you have any questions, please refer to the HBGI program staff contact Mr. Winston Skerrett via email at Winston.Skerrett@ed.gov or by phone at 202-453-7605. We appreciate your continued interest in and support of Title III, Part B Historically Black Graduate Institutions programs and look forward to receiving your application.

Sincerely,

Mr. Donald Watson
Director
HBCU Division, Institutional Service

INTRODUCTION

HISTORICALLY BLACK GRADUATE INSTITUTIONS PROGRAM

PURPOSE

The HBGI program authorized under Title III, Part B of the Higher Education Act of 1965, as amended (HEA) provides financial assistance to establish or strengthen the academic resources, endowment building capacity, management capabilities and physical plants of Historically Black Graduate Institutions.

ELIGIBLE APPLICANTS

Institutions of higher education legally designated as a Title III eligible Historically Black Graduate Institution, or qualified graduate program, are the only entities eligible to apply.

ACTIVITIES FUNDED UNDER THIS PROGRAM

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

- Purchase, rental or lease of scientific or laboratory equipment for educational purposes, including instructional or research purposes;
- Construction, maintenance, renovation, and improvement in classroom, library, laboratory, and other instructional facilities, including purchase or rental of telecommunications technology equipment or services;
- Purchase of library books, periodicals, technical and other scientific journals, microfilm, microfiche, and other educational materials, including telecommunications program materials;
- Scholarships, fellowships, and other financial assistance for needy graduate and professional students to permit the enrollment of the students in and completion of the doctoral degree in medicine, dentistry, pharmacy, veterinary medicine, law, and the doctorate degree in the physical or natural sciences, engineering, mathematics, or other scientific disciplines in which African Americans are underrepresented;
- Establishing or improving a development office to strengthen and increase contributions from alumni and the private sector;
- Assisting in the establishment or maintenance of an institutional endowment to facilitate financial independence pursuant to section 331 of the HEA, as amended;
- Funds and administrative management, and the acquisition of equipment, including software, for use in strengthening funds management and management information systems;
- Acquisition of real property that is adjacent to the campus in connection with the construction, renovation, or addition to or improvement of campus facilities;
- Education or financial information designed to improve the financial literacy and economic literacy of students or the students' families, especially with regard to student indebtedness and student assistance programs under Title IV of the HEA;
- Services necessary for the implementation of projects or activities that are approved, in advance, by the Secretary, except that not more than two percent of the grant amount may be used for this purpose;
- Tutoring, counseling, and student service programs designed to improve academic success; and
- Other activities proposed in the application that contribute to carrying out the purposes of the HBGI program and are approved by the Secretary.

FY 2016 KEY APPLICATION HIGHLIGHTS

1. All HBGI applicants must submit their applications electronically. No paper application submissions will be accepted unless you qualify for an exception.
2. For application and submission information, please refer to the instructions located after the Authorizing Legislation section of this booklet.
3. **The Phase I data worksheet included in this package must be completed and emailed to Winston.Skerrett@ed.gov by 4:30:00PM (EST) on [INSERT DATE]. You must scan and email the signature page to Mr. Skerrett, or fax the signed copy to 202-401-8466.**
4. **The Phase II portion of this application, which includes the Comprehensive Development Plan and required assurances and other forms, must be completed and emailed to Winston.Skerrett@ed.gov by 4:30:00PM (EST) on [INSERT DATE]**
5. The information that follows provides an explanation of the changes to the HEA made as a result of the Higher Education Opportunity Act of 2008 (HEOA) and the effect the changes will have on your fiscal year (FY) 2016 HBGI award.

Section 311(c) of the HEOA of 2008 amends section 326 of the HEA to add six (6) institutions or qualified graduate programs (QGP) that are now eligible to receive funding under the HBGI program. The Funding Rule in section 326(f) of HEA was amended by section 311(d) of the HEOA, and reflects that the 18 HBGIs listed prior to the reauthorization of the HEA will continue to receive grants; however, the 6 new institutions will only receive funding if Congress appropriates funds above \$56,900,000. Furthermore, any amount appropriated in excess of \$62,900,000 will be made available to the eligible institutions pursuant to a formula developed by the Secretary using the elements outlined in Section 326(3)(A) through (E) of the HEA. Lastly, section 311(e) of the HEOA amends the date of the Hold Harmless Rule in section 326(g) of the HEA and no institution or QGP that received a grant in FY 2008 and is eligible to receive a grant in subsequent fiscal years, shall receive a grant that is less than the amount of their FY 2008 grant award.

AUTHORIZING LEGISLATION

Institutions submitting applications for a five year grant are required to submit a Comprehensive Development Plan (CDP) in accordance with Section 609.21 for HBGIs. The CDP is a part of the Phase II Project Plan. The legislation and regulations governing the HBGI programs are listed below.

Legislation

- HBGI: [Higher Education Opportunity Act 2008 \(PL 110-315; \(HEOA\); Strengthening Historically Black Graduate Institutions; Title III, Part B, Section 326; CFDA 84.031B](#)

Regulations:

- HBGI—[34 CFR Part 609](#)
- HBGI: [Education Department General Administrative Regulations \(EDGAR\), Parts 75, 77, 79, 81, 82, 84, 85, 86, 97, 98, and 99; and Uniform Guidance 2 CFR Part 200](#)

APPLICATION AND SUBMISSION INFORMATION

Address to request application package

You can obtain a copy of the application package by accessing the HBGI program website page at: <http://www2.ed.gov/programs/dueshbgi/applicant.html>. To obtain a hard copy of the application, please contact Winston Skerrett at 202-453-7605 or via e-mail at Winston.Skerrett@ed.gov.

If you use a telecommunication device for the deaf (TDD), 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 Winston Skerrett at the address above.

Content and form of application submission

The application process includes the Phase I Formula Data Worksheet, the Phase II, 5-year Comprehensive Development Plan (CDP), and standard forms.

Submission date and time

Applications for grants under the HBGI program must be submitted electronically as an e-mail attachment to Winston.Skerrett@ed.gov by 4:30:00 p.m. Washington, DC time, on the specified deadline dates.

Registering DUNS and TIN

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), 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 business day.

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 2-5 weeks for your TIN to become active.

The SAM registration process may take five or more business days to complete. If you are currently registered with the 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 SAM registration on an annual basis. This may take three or more business days to complete.

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

APPLICATION SUBMISSION INSTRUCTIONS

ATTENTION ELECTRONIC APPLICANTS: Please note that you must follow the Application Procedures as described in this application booklet.

This program requires the electronic submission of applications.

Submission of Paper Applications by Mail:

You must qualify for an exception to the electronic submission requirement by providing an email to Winston.Skerrett@ed.gov or fax to 202-401-8466 **two weeks prior to the application deadline**, stating that you do not have access to the internet. 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 **84.031B**)
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 **84.031B**)
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 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.

SUPPLEMENTAL INFORMATION

1. The Application Package

The application package is a compilation of the Project Comprehensive Development Plan (CDP), the Activities Abstracts, Activity Objectives and Performance Indicators, Activity Budgets and Budget Narratives, Summary Budget, and the applicable forms and certifications.

2. Page Limits

As part of the continuing effort to streamline grant applications, please observe the page limit requirement. The total page limit for a grant application under the HBGI program is 50 pages. **This page limit applies to the Project Plan which is the CDP and its components, which are the Activities Abstracts, the Activity Objectives and Performance Indicators, the Implementation Strategy and Timetable, the Individual Activity Budgets, and the Individual Budget Narratives.** The page limit does not include the Application for Assistance face sheet (SF 424); the Department of Education Supplemental Information for SF 424B; the Budget Information for Non-Construction Programs (ED 524); the required Assurances and Certifications; the Table of Contents; and any appendices.

3. Appendices to Applications

Please limit the appendices to the following:

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

4. Formatting Instructions

- Type all narratives in font size 12, double-spaced (except for the project abstract).
- Type on one side of the page only.
- Type the name of the institution and the state where it is located at the top of each page.
- Number the pages consecutively starting with the Table of Contents by placing a page number on the bottom right side of each page.
- The SF424 form will serve as the cover page for the application.
- A page is 8.5" x 11", one side only, with 1" margins at top, bottom and both sides.

You must double-space all text in the application narrative, except titles and headings. However, while you may single-space the abstract, footnotes, quotations, references, captions, forms (including ED forms) and tables, you must still use font size 12. You may use single space and smaller font sizes for clarity in charts, figures and graphs only.

5. Contents of the Application

The application should be sent via email to Winston.Skerrett@ed.gov with the following as Word or PDF attachments:

- 1) Application for Federal Education Assistance (SF 424)
- 2) Table of Contents
- 3) Project Comprehensive Development Plan (CDP)
 - Abstracts of Activities
 - Activity Objectives and Performance Indicators
 - Implementation Strategy and Timetable
 - Activity Budgets
 - Individual Activity Budget Narratives
- 4) Summary Budget (ED 524)
- 5) Assurances and Certifications, and

6) Appendices

6. Interim and Annual Performance Report Requirements

When you receive an initial grant award under Title III, Part B, you are required to submit an interim (first six months of your project) and annual performance reports for each year during the funding cycle (including any time extensions) using the Institutional Service's Annual Performance Reporting System for Title III and Title V Grantees. This online system collects narratives and data about funded projects to enable Department program officers to determine if a grantee is making substantial progress toward meeting approved project objectives. The annual performance report used for this program can be found at <https://apr.ed.gov>.

Contact Information:

Mr. Winston Skerrett, Program Lead, HBGI Program
U.S. Department of Education
400 Maryland Avenue, S.W.
LBJ, 4C125
Washington, D.C. 20202
Telephone: (202) 453-7605 Fax: (202) 401-8466
E-mail address: Winston.Skerrett@ed.gov

You will also find a list of current HBGI Program staff at
<http://www2.ed.gov/programs/duetitle3b/contacts.html>.

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 Title III, Part B, HBGI programs?

The performance indicators for the Title III, Part B, HBGI programs are part of the Department's plan for meeting Goal 1:

Increase college access, affordability, quality, and completion by improving postsecondary education and lifelong learning opportunities for youths and adults

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.

GPRA—Program Goals

HBGI Program

Objective 1 of 2: Increase enrollments at Historically Black Graduate Institutions (HBGI).

Measure 1.1 of 1: The percentage change, over the five-year grant period, of the number of full-time graduate students enrolled at HBGIs.

Objective 2 of 2: Increase the number of graduate degrees awarded at HBGIs.

Measure 2.1 of 2: Federal cost per graduate degree at HBGIs.

Measure 2.2 of 2: The number of Ph.D., first professional, and Master's degrees awarded at HBGIs.

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.

Information on the annual performance report data collection form can be viewed at:

<https://apr.ed.gov/title3and5/>.

HBGI PHASE I FORMULA DATA WORKSHEET

HBGI PHASE I FORMULA DATA

HISTORICALLY BLACK GRADUATE INSTITUTIONS PROGRAM FY 2016 FORMULA GRANT WORKSHEET

Section 326 (f) of the Higher Education Act of 1965, as amended, requires that HBGI annual appropriations in excess of \$63,281,000 be allocated according to a formula comprised of five elements. The five elements of the formula, as stated in the law, with instructions for completing the data form are identified below.

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

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

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

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

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

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

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

Provide the number of students in the **previous academic year (2014-2015) that received their first professional or doctoral degree from the programs for which the eligible institution received funding under Section 326 in the previous year.**

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

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

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

NOTE: This data must be submitted as part of your initial application as well as annually during your approved project period. The deadline date for submitting the data for **FY 2016 is [Insert Date]**

Name of Institution: _____

State: _____

1. Formula Element A – Ability to Match

Has your institution matched HBGI funds prior to the past five years?

Circle one: YES NO

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

Circle one: YES NO

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

Name of Program: _____

Amount: \$ _____ **Year:** _____

2. Formula Element B - Student Enrollment

Name of QGP	Number of Students
-------------	--------------------

_____	_____
_____	_____
_____	_____
_____	_____

3. Formula Element C - Average Cost of Education

Average Cost of Education Per Student: \$ _____

4. Formula Element D – Graduates - Professional Programs

No. of Students	Professional\Doctoral Degree Program
-----------------	--------------------------------------

_____	_____
_____	_____
_____	_____

5. Formula Element E – Graduates – African Americans

<u>QGP</u>	Type of <u>Degree</u>	Total # of <u>Graduates</u>	Total # of <u>African American Graduates</u>
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
4. _____	_____	_____	_____

I attest to the accuracy of the data provided.

President's Name (typed): _____

President's Signature: _____

Dated: _____

HBGI Phase II-- Project Plan

Phase II: The Project Plan

Phase II, the Project Plan, is a compilation of the Comprehensive Development Plan (CDP), activity abstracts, activity budgets and budget narratives, summary budget, and all applicable forms and certifications. Below is a checklist to help you in the submission process.

Applicant Checklist

Use This Checklist While Preparing Your Application Package.
All items listed on this checklist are required, except as noted.

- Application for Federal Assistance (SF424)
- Department of Education Supplemental Information for SF424
- Department of Education Budget Information Non-Construction Programs Form – Sections A & B (ED524)

Phase I HBGI Formula Data Worksheet

Phase II - Project CDP Components:

- Activity Abstracts
- Activity Objectives and Performance Indicators
- Implementation Strategy and Timetable
- Activity Budgets
- Individual Activity Budget Narratives

Note: Have you addressed all application requirements for the Comprehensive Development Plan?

- Other Attachments (Curricula vitae of key personnel (project director and activities directors) and position descriptions for positions proposed for the funding cycle.)
- Narrative addressing GEPA Section 427
- Assurances for Non-Construction Programs (SF424B)
- Lobbying Disclosure Form (SF LLL) (if applicable; refer to instructions)
- Certification Regarding Lobbying

Developing the Comprehensive Development Plan

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

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

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

Elements of the CDP are as follows:

1. An assessment of the strengths and weaknesses of the institution's financial management and academic programs. Here is where you want to describe the institution's current state, identifying more than the strengths and weaknesses to be addressed by Title III B, but also present a comprehensive picture that describes the mission goals and objectives (short and long-term) that can be used to highlight the institution.
2. A delineation of the institution's goals for its financial management and academic programs, based on the outcomes of the assessments of these areas for which Title III funds will be used;
3. A listing of measurable objectives, with accompanying timeframes, designed to assist the institution to reach each goal for which Title III funds will be used for achieving the objectives; and,
4. A description of methods, procedures and processes that will be used by the college or university to institutionalize financial management and academic program practices and improvements developed under the proposed funded activities.

You are asked to limit the number of goals and measurable objectives for this grant period – ideally, to five or less. This will help focus grant activities and resources.

Suggested Outline for Developing the CDP

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

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

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

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

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

Suggested Outline for Developing the Project Plan:

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

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

DESCRIBE AND DEFINE PERFORMANCE INDICATORS FOR EACH PROPOSED ACTIVITY - For each proposed activity, applicants must state their annual expected results, which, when combined with their performance indicators, are measurable and realistic (not too high, not too low). Connect each activity to the problem or weakness it should address and to the legislatively allowable activities (LAAs). List only the results that an activity is designed to accomplish. Describe the performance indicators in outcome-oriented, measurable terms (i.e. provide/establish baseline data, goal for that fiscal year—in number or percentage, date by which you expect it to be completed, etc.). Results should be updated for each year in which funds are requested.

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

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

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

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

INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS

EXECUTIVE ORDER 12372

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:

https://www.whitehouse.gov/omb/grants_spoc

For State 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# 84.031B, U.S. Department of Education, room 7E200. 400 Maryland Avenue, SW, 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 all applicants for new awards to include in their applications a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally-assisted programs for students, teachers, and other program beneficiaries with special needs. The provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: *gender, race, national origin, color, disability, or age*.

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

NOTE:

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

INSTRUCTIONS FOR THE SF-424

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>Type of Submission: (Required) Select one type of submission in accordance with agency instructions.</p> <ul style="list-style-type: none"> • Pre-application • Application • 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. 	10.	<p>Name Of Federal Agency: (Required) Enter the name of the federal agency from which assistance is being requested with this application.</p>
		11.	<p>Catalog Of Federal Domestic Assistance Number/Title: Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.</p>
2.	<p>Type of Application: (Required) Select one type of application in accordance with agency instructions.</p> <ul style="list-style-type: none"> • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the federal government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. <p>A. Increase Award D. Decrease Duration B. Decrease Award E. Other (specify) C. Increase Duration</p>	12.	<p>Funding Opportunity Number/Title: (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>Competition Identification Number/Title: Enter the competition identification number and title of the competition under which assistance is requested, if applicable.</p>
		14.	<p>Areas Affected By Project: 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>Date Received: Leave this field blank. This date will be assigned by the Federal agency.</p>	15.	<p>Descriptive Title of Applicant's Project: (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.</p>
4.	<p>Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or the applicant's control number if applicable.</p>		
5a.	<p>Federal Entity Identifier: Enter the number assigned to your organization by the federal agency, if any.</p>	16.	<p>Congressional Districts Of: 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>Federal Award Identifier: 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>Date Received by State: Leave this field blank. This date will be assigned by the state, if applicable.</p>		
7.	<p>State Application Identifier: Leave this field blank. This identifier will be assigned by the state, if applicable.</p>		
8.	<p>Applicant Information: Enter the following in accordance with agency instructions:</p>		

	<p>a. Legal Name: (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting www.Grants.gov.</p>	17.	<p>Proposed Project Start and End Dates: (Required) Enter the proposed start date and end date of the project.</p>																				
	<p>b. Employer/Taxpayer Number (EIN/TIN): (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.</p>	18.	<p>Estimated Funding: (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.</p>																				
	<p>c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting www.Grants.gov.</p>	19.	<p>Is Application Subject to Review by State Under Executive Order 12372 Process? (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.</p>																				
	<p>d. Address: 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).</p>	20.	<p>Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.</p>																				
	<p>e. Organizational Unit: Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.</p>	21.	<p>Authorized Representative: 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</p>																				
	<p>f. Name and contact information of person to be contacted on matters involving this application: 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.</p>																						
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0" data-bbox="84 1281 649 1938"> <tr> <td data-bbox="84 1281 365 1333">A. State Government</td> <td data-bbox="365 1281 649 1333">M. Nonprofit</td> </tr> <tr> <td data-bbox="84 1333 365 1386">B. County Government</td> <td data-bbox="365 1333 649 1386">N. Private Institution of Higher Education</td> </tr> <tr> <td data-bbox="84 1386 365 1438">C. City or Township Government</td> <td data-bbox="365 1386 649 1438">O. Individual</td> </tr> <tr> <td data-bbox="84 1438 365 1491">D. Special District Government</td> <td data-bbox="365 1438 649 1491">P. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td data-bbox="84 1491 365 1543">E. Regional Organization</td> <td data-bbox="365 1491 649 1543">Q. Small Business</td> </tr> <tr> <td data-bbox="84 1543 365 1596">F. U.S. Territory or Possession</td> <td data-bbox="365 1543 649 1596">R. Hispanic-serving Institution</td> </tr> <tr> <td data-bbox="84 1596 365 1648">G. Independent School District</td> <td data-bbox="365 1596 649 1648">S. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td data-bbox="84 1648 365 1701">H. Public/State Controlled Institution of Higher Education</td> <td data-bbox="365 1648 649 1701">T. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td data-bbox="84 1701 365 1753">I. Indian/Native American Tribal Government (Federally Recognized)</td> <td data-bbox="365 1701 649 1753">U. Alaska Native</td> </tr> <tr> <td data-bbox="84 1753 365 1806">J. Indian/Native</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	J. Indian/Native	
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J. Indian/Native																							

American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority	and Native Hawaiian Serving Institutions V. Non-US Entity W. Other (specify)		
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[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.]

INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

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

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

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

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

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

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

3a. If Human Subjects Research is Exempt from the Human Subjects Regulations. Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”

3a. If Human Subjects Research is Not Exempt from Human Subjects Regulations. Check “No” if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the page entitled “Definitions for Department of Education Supplemental Information For SF 424”

3a. Human Subjects Assurance Number. If the applicant has an approved Federal Wide (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon

request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

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

Paperwork Burden Statement. *According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 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, 400 Maryland Avenue, S.W., Washington, D.C. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street, S.W. Room 7076, Washington, D.C. 20202-4260.*

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

Definitions:

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

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

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

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

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

—Research

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

—Human Subject

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

B. Exemptions.

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

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

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of 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.

INSTRUCTIONS OF 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, S.W., Washington, D.C. 20202.

NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) 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 program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single

narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.
- (4) An applicant that proposes a project to increase school safety might describe the special efforts it will take to address concern of lesbian, gay, bisexual, and transgender students, and efforts to reach out to and involve the families of LGBT students

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

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 1.5 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 (Public Law 103-382. Send comments regarding the burden estimate or any other aspect of this collection of information,

including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email ICDocketMgr@ed.gov and reference the OMB Control Number 1894-0005.

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.

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