

**U.S. DEPARTMENT OF EDUCATION**  
Office of Postsecondary Education  
Washington, DC 20202



**Fiscal Year 2019**

**APPLICATION FOR GRANTS UNDER THE  
HISTORICALLY BLACK COLLEGES AND UNIVERSITIES (HBCU) PROGRAM  
AND  
STUDENT AID AND FISCAL RESPONSIBILITY ACT OF 2009 (SAFRA) PROGRAM  
(CFDA NUMBER: 84.031B)**

**Form Approved: OMB No. 1840-0113**

**Expires: XX/XX/XXXX**

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## **PAPERWORK BURDEN STATEMENT**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless 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 §608.3) 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 Sheryl Wilson, Acting Director for Historically Black Colleges and Universities Division, Office of Postsecondary Education, U.S. Department of Education, 400 Maryland Avenue, S.W., LBJ-250-44, Washington, D.C. 20202.



**UNITED STATES DEPARTMENT OF  
EDUCATION**  
OFFICE OF POSTSECONDARY EDUCATION

Dear Applicant:

Thank you for your interest in applying for a new grant in fiscal year (FY) 2019. This application can be used to apply for new awards under the Historically Black Colleges and Universities (HBCU) Program, Title III, Part B and Student Aid and Fiscal Responsibility Act of 2009 (SAFRA) Program, Title III, Part F respectively. These grant programs provide financial assistance to establish or strengthen the physical plants, financial management, academic resources, and endowments of the historically Black colleges and universities to enhance these institutions and facilitate a decrease in the reliance on governmental financial support and encourage reliance on endowments and private sources.

Institutions of higher education legally designated as a historically Black college or university are eligible to apply. Additional information and the regulations governing the HBCU and SAFRA Programs can be accessed from the following Website:

- <http://www2.ed.gov/programs/iduestitle3b/index.html> \_

Specifics regarding this year's application procedures are contained in this application package. Applicants are encouraged to review the FY TBD Application Highlights found in the application package for an overview of important items. Please note there are two deadlines for submitting information:

- Phase I Formula Data must be submitted by **TBD**, and
- Phase II, the HBCU-SAFRA applicants will develop a Comprehensive Development Plan (CDP), which must be submitted by **TBD**.

If you have any questions or require additional information, please contact Wendy Lawrence by email ([Wendy.Lawrence@ed.gov](mailto:Wendy.Lawrence@ed.gov)) or telephone (202-453-7821).

I appreciate your interest in the Historically Black Colleges and Universities and SAFRA Programs and look forward to receiving your application.

Sincerely,

Diane Auer Jones  
Principal Deputy Under Secretary  
Delegated to Perform the Duties of Under Secretary and  
Assistant Secretary for the Office of Postsecondary Education

400 Maryland Avenue, SW, Washington, DC 20202  
[www.ed.gov](http://www.ed.gov)

*The Department of Education's mission is to promote student achievement and preparation for global competitiveness by fostering educational excellence and ensuring equal access.*

## FY 2019 APPLICATION HIGHLIGHTS

Institutions of higher education legally designated as a historically Black college or university are eligible to apply. Additional information and the regulations governing the HBCU program can be accessed from the following Web site:

<http://www2.ed.gov/programs/iduestitle3b/index.html>

Funds are awarded to eligible institutions as discretionary grants, with award amounts determined by formula, based on three figures provided to the Department annually by each eligible institution:

1. The number of Pell Grant recipients in the most recent academic year, as a proportion of the total number of such recipients at all eligible institutions (50 percent weight);
2. The number of graduates in the most recent academic year, as a proportion of the total number of graduates at all eligible institutions (25 percent weight); and
3. The proportion of graduates for the past five years that have gone on to graduate or professional schools, in degree programs in disciplines in which Blacks are underrepresented, divided by the aggregate proportion across all eligible institutions (25 percent weight).

In addition, two minima are established. If the amount determined by the formula is greater than \$250,000 but less than \$500,000, the institution is awarded \$500,000; and if the amount determined by the formula is less than \$250,000, the institution is awarded \$250,000.

In 1965, the federal government provided aid to HBCUs through the Higher Education Act (HEA) and amended the HEA in 2008 under the Higher Education Opportunity Act (HEOA). The Title III, Part B funds are appropriated in a regular or supplemental appropriation act under the Strengthening HBCU program. SAFRA is provided aid through the Student Aid and Fiscal Responsibility Act of 2009. **The grant period is five years ending in FY 2022 for HBCU, Part B and in FY 2020 for SAFRA, Part F.**

Please note that the Application Package is divided into two parts, Phase I and Phase II. Phase I is the individual institutional data submitted in response to the Phase I Formula Data Worksheet, which is used to calculate awards for both the HBCU (regular) and SAFRA (mandatory) funding.

During a new grant cycle, applicants are required to submit a new application for Phase II, which is the Comprehensive Development Plan (CDP) to address the funding. Additionally, applicants are required to include a separate project abstract. **The project abstract is limited to one page, single-spaced.** The project abstract must include information about the institution's proposed five-year project for the HBCU-SAFRA funds in a brief summary of the proposed activities and how they will address the goals and objectives of Title III, Part B and Part F, with priority given to the following legislatively allowable activities:

**TITLE III, PART B, STRENGTHENING HISTORICALLY BLACK COLLEGES AND UNIVERSITIES  
SECTIONS 321-327 OF THE HIGHER EDUCATION ACT, AS AMENDED - [20 U.S.C. 1060-1063c](#) (HBCU)  
§1062. Grants to institutions**

**(a) General authorization; uses of funds**

From amounts available under section 1068h(a)(2) of this title for any fiscal year, the Secretary shall make grants (under section 1063 of this title) to institutions which have applications approved by the Secretary (under section 1063a of this title) for any of the following uses:

- (1) Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.
- (2) Construction, maintenance, renovation, and improvement in classroom, library, laboratory, and other instructional facilities, including purchase or rental of telecommunications technology equipment or services.
- (3) Support of faculty exchanges, and faculty development and faculty fellowships to assist in attaining advanced degrees in their field of instruction.
- (4) Academic instruction in disciplines in which Black Americans are underrepresented.
- (5) Purchase of library books, periodicals, microfilm, and other educational materials, including telecommunications program materials.
- (6) Tutoring, counseling, and student service programs designed to improve academic success.
- (7) Funds and administrative management, and acquisition of equipment for use in strengthening funds management.
- (8) Joint use of facilities, such as laboratories and libraries.
- (9) Establishing or improving a development office to strengthen or improve contributions from alumni and the private sector.
- (10) Establishing or enhancing a program of teacher education designed to qualify students to teach in a public elementary or secondary school in the State that shall include, as part of such program, preparation for teacher certification.
- (11) Establishing community outreach programs which will encourage elementary and secondary students to develop the academic skills and the interest to pursue postsecondary education.
- (12) Acquisition of real property in connection with the construction, renovation, or addition to or improvement of campus facilities.
- (13) 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 subchapter IV of this chapter and part C of subchapter I of chapter 34 of title 42.
- (14) Services necessary for the implementation of projects or activities that are described in the grant application and 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.
- (15) Other activities proposed in the application submitted pursuant to section 1063a of this title that—
  - (A) contribute to carrying out the purposes of this part; and
  - (B) are approved by the Secretary as part of the review and acceptance of such application.

**(b) Endowment fund**

**(1) In general**

An institution may use not more than 20 percent of the grant funds provided under this part to establish or increase an endowment fund at the institution.

**(2) Matching requirement**

In order to be eligible to use grant funds in accordance with paragraph (1), the eligible institution shall provide matching funds from non-Federal sources, in an amount equal to or greater than the Federal funds used in accordance with paragraph (1), for the establishment or increase of the endowment fund.

### **(3) Comparability**

The provisions of part C of this subchapter regarding the establishment or increase of an endowment fund, that the Secretary determines are not inconsistent with this subsection, shall apply to funds used under paragraph (1).

### **(c) Limitations**

(1) No grant may be made under this chapter and part C of subchapter I of chapter 34 of title 42 for any educational program, activity, or service related to sectarian instruction or religious worship, or provided by a school or department of divinity. For the purpose of this subsection, the term "school or department of divinity" means an institution whose program is specifically for the education of students to prepare them to become ministers of religion or to enter upon some other religious vocation, or to prepare them to teach theological subjects.

(2) Not more than 50 percent of the allotment of any institution may be available for the purpose of constructing or maintaining a classroom, library, laboratory, or other instructional facility.

## **TITLE III, PART F, STRENGTHENING HISTORICALLY BLACK COLLEGES AND UNIVERSITIES SECTION 371 OF THE HIGHER EDUCATION ACT, AS AMENDED - 20 U.S.C. 1067q) (SAFRA)**

**§1067q.** Investment in historically Black colleges and universities and other minority-serving institutions

### **(C) Allocation and allotment HBCUS and PBIS**

From the amount made available for allocation under this subparagraph by subparagraph (A)(ii) for any fiscal year-

(i) 85 percent shall be available to eligible institutions described in subsection (a)(1) and shall be made available as grants under [section 1062 of this title](#) and allotted among such institutions under [section 1063 of this title](#), treating such amount, plus the amount appropriated for such fiscal year in a regular or supplemental appropriation Act to carry out part B of this subchapter, as the amount appropriated to carry out part B of this subchapter for purposes of allotments under [section 1063 of this title](#), for use by such institutions with a priority for-

(I) activities described in paragraphs (1), (2), (4), (5), and (10) of [section 1062\(a\) of this title](#);

- (1) Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.
- (2) Construction, maintenance, renovation, and improvement in classroom, library, laboratory, and other instructional facilities, including purchase or rental of telecommunications technology equipment or services.
- (4) Academic instruction in disciplines in which Black Americans are underrepresented.
- (5) Purchase of library books, periodicals, microfilm, and other educational materials, including telecommunications program materials.
- (10) Establishing or enhancing a program of teacher education designed to qualify students to teach in a public elementary or secondary school in the State that shall include, as part of such program, preparation for teacher certification; and

(II) other activities, consistent with the institution's comprehensive plan and designed to increase the institution's capacity to prepare students for careers in the physical or natural sciences, mathematics, computer science or information technology or sciences, engineering, language instruction in the less-commonly taught languages or international affairs, or nursing or allied health professions...

## AUTHORIZING LEGISLATION

Institutions submitting applications for the HBCU and SAFRA grants are required to submit a Comprehensive Development Plan (CDP) in accordance with §608.21 of the HBCU regulations. The CDP is addressed in the Phase II process. Below are the HBCU and SAFRA legislative citations. The regulations governing these programs can be accessed from the following Web site: <https://www2.ed.gov/programs/iduestitle3b/legislation.html>.

HBCU and SAFRA Legislation, Regulations, and Guidance

### **Legislation**

- Title III, Part B, Sections 321-327 of the Higher Education Act, as amended (20 U.S.C. 1060-1063c)
- Title III, Part F, Section 371 of the Higher Education Act, as amended (20 U.S.C. 1067q)

### **Regulations**

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

### **Guidance**

Office of Management and Budget (OMB) Grants Management Circulars



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## SUPPLEMENTAL INFORMATION

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### 1. Appendices to Applications

Please limit the appendices to the following:

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

### 2. Interim and Annual Performance Report Requirements

When you receive an initial grant award under Title III, Part B or Part F, you are required to submit an interim (first six months of your project) performance report. You are also required to submit annual performance reports for each year during the funding cycle (including any time extensions) using the Institutional Service Annual Performance Report Website 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://opeweb.ed.gov/isapr/>.

Contact Information:

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Or

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**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/wp-content/uploads/2017/11/SPOC-Feb.-2018.pdf>

For 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 for the submission of comments only. Applications for awards must be submitted using G5 e-application.

**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.**

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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 2018-2022. 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:

**Strategic Goal 1:** Support state and local efforts to improve learning outcomes for all P-12 students in every community.

**Strategic Goal 2:** Expand postsecondary educational opportunities, improve outcomes to foster economic opportunity and promote an informed, thoughtful and productive citizenry.

**Strategic Goal 3:** Strengthen the quality, accessibility and use of education data through better management, increased privacy protections and transparency.

**Strategic Goal 4:** Reform the effectiveness, efficiency and accountability of the Department.

### What are the performance indicators for the Title III, Part B and Part F programs?

The performance indicators for the Title III, Part B and Part F programs are part of the Department's plan for meeting Strategic Goal 2: Expand postsecondary educational opportunities, improve outcomes to foster economic opportunity and promote an informed, thoughtful and productive citizenry.

**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.**

#### HBCU Program

**Objective 1 of 3:** Increase enrollments at historically Black colleges and universities.

**Measure 1.1:** The percentage change, over the grant cycle, in the number of full-time degree-seeking undergraduates enrolled at Historically Black Colleges and Universities.

**Objective 2 of 3:** Increase the persistence rate for students enrolled at HBCUs.

Measure 2.1: The percentage of full-time undergraduate students who were in their first year of postsecondary enrollment within the previous year and are enrolled in the current year at the same HBCU institution.

**Objective 3 of 3**: Increase the graduation rate for students enrolled at HBCUs.

Measure 3.1: Federal cost per undergraduate and graduate degree at HBCUs.

Measure 3.2: The percentage of first-time, full-time degree-seeking undergraduate students enrolled at four-year Historically Black Colleges and Universities who graduate within six years of enrollment.

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

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

The most recent version of this program's annual performance report can be viewed at the Institutional Service Annual Performance Report Web Site:

<https://opeweb.ed.gov/isapr>.

**SECTION I  
PHASE I FORMULA GRANT DATA WORKSHEET (FY 2019)**

**HISTORICALLY BLACK COLLEGES AND UNIVERSITIES (HBCU) PROGRAM  
AND  
STUDENT AID AND FISCAL RESPONSIBILITY ACT OF 2009 (SAFRA)**

In order for the Department to determine the level of funding for an institution, the information below is required. Please refer to the program regulations 34 CFR – Section §608.31 for additional information.

**NOTE: This form must be submitted as part of your initial application as well as annually during your approved grant cycle.** Be sure to use this form and this form only when submitting your Phase I data. **The Department will not accept any other versions of this form.** The data will be used to formulate your fiscal year (FY) 2019 Title III, Part B (HBCU), and Part F (SAFRA) award allocations.

NAME OF INSTITUTION: \_\_\_\_\_

CITY: \_\_\_\_\_ STATE: \_\_\_\_\_

YEAR OF GRADUATION FROM UNDERGRADUATE SCHOOL	TOTAL NUMBER OF GRADUATES IN THE UNDERGRADUATE CLASS (Associate or Baccalaureate Degree)	STUDENTS ADMITTED TO AND IN ATTENDANCE AT A GRADUATE OR PROFESSIONAL SCHOOL IN A DEGREE PROGRAM IN DISCIPLINES IN WHICH BLACKS ARE UNDERREPRESENTED
(A)	(B)	(C)
Year 1: 2013-2014		
Year 2: 2014-2015		
Year 3: 2015-2016		
Year 4: 2016-2017		
Year 5: 2017-2018		
<b>TOTALS</b>		

1. Enter the total for column B in item 3 below.
2. Enter the total for column C in item 4 below.
3. Please review the HBCU regulations Part 34 CFR §608.31 for information required in columns B and C.

# PHASE I FORMULA GRANT DATA WORKSHEET (FY 2019)

1. Number of Pell Grant recipients attending the applicant institution during the school year immediately preceding the beginning of the fiscal year in which the applicant applies for a grant. (July 1, 2017 – June 30, 2018)

\_\_\_\_\_ (1)

2. Number of graduates of the applicant institution during the school year immediately preceding the beginning of the fiscal year in which the applicant applies for a grant. Enter the total from Year 5, Column B (July 1, 2017 – June 30, 2018). Part 34 CFR §608.4 defines “graduates” as a student who has attended an institution for at least three semesters and fulfilled academic requirements for undergraduate studies in not more than five consecutive school years.

\_\_\_\_\_ (2)

3. Enter the total from Column B, Years 1-5 (July 1, 2013 – June 30, 2018).

\_\_\_\_\_ (3)

4. Enter the total from Column C (Total for July 1, 2013 – June 30, 2018). Do not count a student attending graduate school for more than one reporting year.

\_\_\_\_\_ (4)

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

**I attest to the accuracy of the data provided.**

**President’s Name (typed):** \_\_\_\_\_

**President’s Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**WARNING: Any person who knowingly makes a false statement or misrepresentation on this form is subject to penalties, which may include fines, imprisonment, or both, under the United States Criminal Code and 20 U.S.C. 1097**

## Important Dates to Remember

### HISTORICALLY BLACK COLLEGES AND UNIVERSITIES (HBCU) PROGRAM AND STUDENT AID AND FISCAL RESPONSIBILITY ACT (SAFRA) OF 2009

#### FY 2019 Calendar for Phase I and Phase II Data

Dates	Activities
TBD	<b>Phase I - Data Worksheet Due</b>
TBD	Department will review and approve awards.
TBD	Award letters sent to institutions via email.
TBD	<p><b>Phase II - Revised Budgets or New CDP Due:</b></p> <p><u>Revised Budgets</u> Email revised budgets directly as follows: HBCU Phase II – <a href="mailto:hbcu.phaseii@ed.gov">hbcu.phaseii@ed.gov</a> SAFRA Phase II – <a href="mailto:hbcu.safra@ed.gov">hbcu.safra@ed.gov</a></p> <p style="text-align: center;"><b>OR</b></p> <p><u>New CDPs</u> In 2020, the SAFRA and in 2022, the HBCU CDPs are uploaded in G5 e-Application. Email signature pages to: HBCU Phase II – <a href="mailto:hbcu.phaseii@ed.gov">hbcu.phaseii@ed.gov</a> SAFRA Phase II – <a href="mailto:hbcu.safra@ed.gov">hbcu.safra@ed.gov</a></p>
TBD	Program Officers review submitted applications and budgets.
TBD	FY 2019-2020 funds available in G5.



## SECTION II

### PHASE II – COMPREHENSIVE DEVELOPMENT PLAN (CDP) INSTRUCTIONS

#### **Formatting Recommendation**

We recommend the following: On each “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 we recommend be single-spaced. Recommend using one of the following fonts: *Times New Roman, Courier, Courier New, or Arial.*

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

To facilitate the review and approval 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. A detailed assessment of the strengths and weaknesses of the institution's financial management and academic programs;
2. A delineation of the institution's goals for its financial management and academic programs, based on the outcomes of the assessments of these areas for which HBCU and SAFRA funds will be used;
3. A comprehensive listing of measurable objectives, with accompanying timeframes, designed to assist the institution in achieving the objectives developed in the plan;
4. A detailed description of methods, procedures and processes that will be used by the college or university to institutionalize financial management and academic program practices and improvements developed under the proposed funded activities.

#### **Suggested Outline for Developing the CDP**

**Introduction/Institutional Overview** – the introduction should clearly 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** – specifically identify major institutional priorities.

**Overview of Current Long-Range Plan** – describe in detail the major emphases and goals for the current planning period.

**CDP Focus** – fully describe areas targeted for improvement; list measurable goals related to improving academic quality, fiscal stability, institutional management, and student services; summarize activities to address CDP goals; and describe CDP assessment strategies.

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

The CDP should be used as a guide to developing the program activities. **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 legislatively allowable activities listed on pages 5-6 of this package. In detail, describe the purpose of each activity. NOTE: A Comprehensive Development Plan (CDP) should include project administration as one of its proposed activities.

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

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

**PROVIDE AN INDIVIDUAL ACTIVITY BUDGET & NARRATIVE** – For each proposed activity, applicants must prepare a separate, detailed itemized budget (in dollars) and a budget narrative for each year you are requesting grant funds. Demonstrate and justify that all costs are reasonable in today's market and necessary to accomplish your activity objectives. **Note:** You must provide details so that we can determine if the costs are allowable, necessary and reasonable.

**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 HBCU-SAFRA's first (initial) year of their proposed five year project.

## G5 e-Application Submission Procedures and Tips for Applicants

### IMPORTANT – PLEASE READ FIRST U.S. Department of Education

<http://www.G5.gov>

1. G5 e-Application Submission Procedures and Tips for Applicants
2. Instructions for the SF-424
3. Instructions for Department of Education Supplemental Information for SF-424
4. Definitions for Department of Education Supplemental Information for SF-424
5. Instructions for Phase II – The Comprehensive Development Plan (CDP)
6. Instructions for ED 524
7. Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

### Register as an Applicant

To facilitate your use of G5 e-Application, this document includes important application preparation and 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. Please read and follow these step-by-step directions to create and submit your application.

### ATTENTION

Applicants using the Department of Education's G5 e-Application system will need to register first to access an application package. Forms in an application package are completed online and narratives are uploaded while logged into the system. Therefore, allow sufficient time to complete your application before the closing date. If you encounter difficulties, you may also contact the G5 helpdesk on 1-888- 336-8930. The following are steps you should follow to successfully complete an application using G5 e-Application. Please note that there is a training module available on the G5 home page ([www.G5.gov](http://www.G5.gov)) that details the registration and G5 application processes in detail for users new to G5. You can access this module under the Main Menu of the homepage and link to Online Training. Look for the training topic G5 for Applicants.

**Step 1 – Register in G5** to access the electronic application package. If you are a new user, you will need to register to use G5 e-Application.

- From the G5 Portal Page <http://www.G5.gov/>, click on the Sign Up button for non-ED employees. The User Registration Screen displays.
- Click the button to the right of the ED Employee/ED Contractor field to display the employee/contractor options. Select the “no” list option. Enter all required information as noted by red asterisks (\*).
- Click the continue button to proceed to the user registration agreement. Select the agree button to accept the terms of the user agreement, and then the Submit button. **Note:** If you do not agree, then you may not complete the registration process. The system displays a message indicating that the system will send a notification to your email address.
- The system sends a message with a link to activate your account. Clicking the link takes you to the Account Activation screen. Click the **Agree** option to accept the activation terms.

- Click on the Submit button to initiate your activation. Read the EDCAPS Security memorandum with the subject “G5 User ID and Password” and click the **Continue** > button. The next Account Activation screen will require you to complete the password, security question and security answer. Fill out the required fields and press the Continue button to move to the summary information. Click the **Activate** button to activate your account and save your password and security information. The system displays a message indicating that the account has been activated. You will now need to log into G5 where you will be taken to the My Profile page where you should select your role for access. In the Availability Types field, select “Applicant” from the list and Continue. Proceed through the next screen and Submit. You will then receive an email with the G5 link. Your applicant role may take a few minutes to activate.

If you already have a username and password for G5 use them to login. If you have access to more than one G5 module, you will be directed to select which module you wish to enter. Keep in mind that this username and password will be used for all G5 modules. In order to update your registration for additional G5 modules, click the appropriate tab on the top of the screen and provide the requested information.

The site is viewed best using Internet Explorer 5.5 or higher.

**Step 2 – Add Application Package to your Start Page.** From your Home Page, go to Grant Setup and click on “Package Submission.” Select the package for which you wish to apply and click on the "Initiate New Application” button. In the future, the package will now appear when you click on “Package Submission” or after using the “Click Here to view my Applications” link under “Quick View” on your Home Page.

**Step 3 – Begin the Application.** After going to the Application Package, click on the “Modify Application” button. This brings you to a page where you will see all of the application’s forms and narratives listed.

**Step 4 – Fill out Forms.** Select the form you would like to complete and click on the “Edit Form” button to enter data. Remember to click the "Save" button at the bottom of the form and check the "Form Completed" box for each form as you complete it.

**Step 5 – Upload File(s) for Narrative Responses.** When prompted to attach narrative documents to application forms, enter the title of the document, and then Select the “Upload” button. Next, click on the "Browse" button to locate your file. Remember to click the "Save" button after you upload the document and check the "Form Completed" box when you finish uploading your file(s) and/or completing the form. Please note for file uploads, **we accept .pdf files only.**

**Step 6 – Verify Information/Submit your Application.** Verify your information is correct and complete before submitting. Only authorized individuals for your organization can submit an application. Please check with your certifying official or sponsored research office before submission. After all forms are completed, click on the "Continue" button at the bottom of your application. Enter and verify the Authorizing Representative information, and click the "Submit" button. At the top of the page you will see a confirmation message stating that your application was successfully submitted and providing you with your application number. You will also receive an e-mail to confirm that your application was received, and it will include your application number. Please print and keep this e-mail for your records. [Reminder: applications

must be submitted before 4:30:00 pm, Washington, D.C. time, on the deadline date for applications. G5 e-Application will not accept your application if you try to submit it after 4:30:00 pm on the deadline date.]

**Step 7 – Printing Your Completed Application.** You have the option to print each form at any time by clicking on the “View Form” button after selecting the appropriate form to print. After submission of your application, you have the option to print a complete e-Application package in PDF. From the Application Packages tab you will notice that your application status has changed from Draft to Submitted. To locate the PDF of your application, select the package radio button and click the “Modify Application” button. Then select the “Click Here to view the PDF Package” in the upper right hand corner of the page under the Package Information section.

**Step 8 – Fax the signed SF 424 Cover Page (or Program Specific Cover Page).** Write your unique application number (received in step 8) on the upper right corner of your printed SF 424 Cover Page (or Program Specific Cover Page), and fax it to the Application Control Center (202) 245-6272 within 3 business days of submitting your e-Application. This may be optional for some programs.

NOTE: For more detailed information on submitting an e-Application, please see the **User Guide**. The Online Training can be found under the main menu at <http://www.G5.gov>.

### **Attaching Files – Additional Tips**

Please note the following tips related to attaching files to your application:

1. Ensure that you only attach the Education approved file type detailed in the Federal Register application notice (read-only, non-modifiable .PDF files only). Also, do not upload any password protected files to your application.
2. When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend you keep your file names to less than 50 characters.
3. **PLEASE DO NOT USE SPECIAL/NON ENGLISH CHARACTERS IN ANY FORM OR DOCUMENT (for example, %, \*, /, etc.). Foreign characters or symbols includes words spelled with a non- English alphabet, such as “Boğaziçi” or “Nizām al-Dīn Gīlānī” or any word with an accent mark.**

Both of these conditions (lengthy file names and/or special characters including in the file names) could result in difficulties opening and processing a submitted application.

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. Please note that each file attachment in e-Application has a file size limitation which is anywhere from 2 to 8 MB and the limitation will be indicated on the individual screen when you upload a file. For reference, however, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the size of your attachments before uploading them into e-Application.

## Other Submission Tips

**SUBMIT EARLY** – **We strongly recommend that you do not wait until the last day to submit your application.** The time it takes to upload the narratives for your application will vary depending on a number of factors including the size of the files and the speed of your Internet connection. If you try to submit your application after 4:30:00 PM Washington, DC time on the deadline date, the G5 e-Application system will not accept it.

1. 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 this 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 PM unless you follow the procedures in this 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.

2. Dial-Up Internet Connections – When using a dial up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection. 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 this notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.
3. 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 G5 because—
  - You do not have access to the Internet; or
  - You do not have the capacity to upload large documents to G5; 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 email 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 email your written statement to the Department, we must receive the email statement no later than two weeks before the application deadline date. Address and mail or email your statement to: Wendy B. Lawrence, M.Ed., U.S. Department of Education, 400 Maryland Avenue, S.W., LBJ-250-44, Washington, D.C. 20202, Attention: HBCU-SAFRA FY \_\_\_ Application, or Email: [Wendy.Lawrence@ed.gov](mailto:Wendy.Lawrence@ed.gov).

Your paper application must be submitted in accordance with the U.S. Mail or hand delivery instructions described below.

- a. 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 84.031B)  
LBJ Basement Level 1  
400 Maryland Avenue, S.W.  
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.*

b. 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)  
LBJ Basement Level 1  
400 Maryland Avenue, S.W.  
Washington, DC 20202-4260**

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30 p.m., Washington, D.C. 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 grant 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.



## 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><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    D. Decrease Duration B. Decrease Award    E. Other (specify) C. Increase Duration</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</p>

			project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or the applicant’s control number if applicable.		
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the federal agency, if any.	16.	<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.
5b.	<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.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the state, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the state, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		
	<b>a. Legal Name:</b> (Required) Enter the legal name of applicant that will undertake the assistance activity. This 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> .	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of 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.										
	<p><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>.</p>	19.	<p><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.</p>										
	<p><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).</p>	20.	<p><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.</p>										
	<p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.</p> <p><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.</p>	21.	<p><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.)</p>										
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <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></td> <td>Q. Small</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)		Q. Small		
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)												
	Q. Small												

	<p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p>	<p>Business</p> <p>R. Hispanic-serving Institution</p> <p>S. Historically Black Colleges and Universities (HBCUs)</p> <p>T. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>U. Alaska Native and Native Hawaiian Serving Institutions</p> <p>V. Non-US Entity</p> <p>W. Other (specify)</p>		
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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.](http://www.grants.gov/applicants/find_grant_opportunities.jsp)]

## Instructions for U.S. Department of Education Supplemental Information for the 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. 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/search.aspx?styp=bsc>) 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.

**Public 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 20 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. The obligation to respond to this collection is required to obtain or retain benefit (20 USC 3474 General Education Provisions Act). 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](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1894-0007. Note: Please do not return the completed ED SF 424 Supplemental Form to this address.

## **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 the Social Security Administration and some Federal welfare benefits 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.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).

## **Instructions for ED 524**

### **General Instructions**

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

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

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

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

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

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

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

#### **Indirect Cost Information:**

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

## **Section B - Budget Summary Non-Federal Funds**

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

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

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

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

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

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

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

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

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

4. Provide other explanations or comments you deem necessary.

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

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

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state, and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or sub-award recipient. Identify the tier of the sub-awardee, e.g., the first sub-awardee of the prime is the 1st tier. Sub-awards include but are not limited to subcontracts, sub-grants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Sub-awardee," 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. 1840-0113. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503