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

FY 2019
Application Package for
Historically Black Graduate Institutions (HBGI) Program

(CFDA NUMBER: 84.031K)

OMB No. 1840-0836
EXPIRATION DATE: XX/XX/2022

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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 during the public comment period for this collection of information. If you have specific questions about the form, instrument, or survey, please contact Ms. Sheryl Wilson, Acting Director for Historically Black Colleges and Universities Division, Office of Postsecondary Education, 400 Maryland Avenue, S.W. Washington D.C. 20202.

Dear Applicant:

Thank you for your interest in applying for a new grant for fiscal year (FY) 2019 under the Historically Black Graduate Institutions (HBGI) program. 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 the grant are included in this application package.

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 this program can be accessed at:

- https://www2.ed.gov/programs/idueshbgi/eligibility.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 different phases of the application process. **Phase I** of the application involves the data collection required to calculate the legislative formula that determines the funding award amounts for each eligible institution. **Phase II** of the application involves a Comprehensive Development Plan (CDP), which includes the narrative project plan, budgets, abstract, and all standard forms, including the SF 524 Budget form and narrative. Please note there are two different deadlines for submitting information for the application process:

- **The Phase I Formula Data Worksheet is required and must be submitted by [INSERT DATE].**
- **The Phase II CDP 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 Mrs. Sarah Beaton via email at Sarah.Beaton@ed.gov or at 202-453-7221. We appreciate your continued interest in and support of the Title III, Part B Historically Black Graduate Institutions program 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

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.

KEY APPLICATION HIGHLIGHTS

ATTENTION: NEW SUBMISSION GUIDELINES

1. **All HBGI applicants must submit their applications electronically. No paper application submissions will be accepted unless you qualify for an exception.**

2. **The HBGI program has a new CFDA number: 84.031K.**

3. For application and submission information, please refer to the instructions located after the <u>Authorizing Legislation</u> section of this booklet.

4. **The Phase I data worksheet included in this package must be completed and emailed to Sarah.Beaton@ed.gov by 4:30:00 PM (EST) on [INSERT DATE].**

5. **The Phase II portion of this application, which includes the Comprehensive Development Plan and required assurances and other forms, must be completed and uploaded to G5 e-Application by 4:30:00 PM (EST) on [INSERT DATE].**

6. 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) 2019 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 program are listed below.

Legislation

- Higher Education Act of 1965, as amended; Strengthening Historically Black Graduate Institutions; Title III, Part B, Section 326; CFDA 84.031B (20 U.S.C.1063b)
- Higher Education Opportunity Act of 2008 (P.L. 110-315)

Regulations

- HBGI—34 CFR Part 609

Guidance

- Office of Management and Budget (OMB) Grants Management Circulars

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 recommended page limit. The total recommended page limit for a grant application under the HBGI program is 40 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 424; 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
It is recommended that you consider the following format instructions:
- Type all narratives in font size 12, double-spaced (except for the project abstract).
- Type on one side of the page.
- 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 SF 424 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.

Double-space all text in the application narrative, except titles and headings. You may single-space the abstract, footnotes, quotations, references, captions, forms (including ED forms) and tables. Consider using font size 12. You may use single space and smaller font sizes for clarity in charts, figures and graphs.

5. Contents of the Application
The application must be uploaded using G5 e-Application.
1) Application for Federal Education Assistance (SF 424) and Department of Education Supplemental Information for SF 424
2) Table of Contents
3) Project Comprehensive Development Plan (CDP)
   - Abstracts of Activities
   - Activity Objectives and Performance Indicators
   - Implementation Strategy and Timetable
   - Individual 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) performance report 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://hepis.ed.gov/ISAPR/.

Contact Information:

Sheryl Wilson   Or   Sarah T. Beaton
Acting Director for HBCU Division   Program Lead for the HBGI Program
Institutional Service   Institutional Service
Office of Postsecondary Education   Office of Postsecondary Education
U.S. Department of Education   U.S. Department of Education
400 Maryland Avenue, S.W.,   400 Maryland Avenue, S.W.,
LBJ-250-44   LBJ-268-34
Washington, D.C. 20202   Washington, D.C. 20202
Telephone: (202) 453-7166   Telephone: 202-453-7221
Email: Sheryl.Wilson@ed.gov   Email: Sarah.Beaton@ed.gov

GENERAL EDUCATION PROVISIONS ACT (GEPA) SECTION 427

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

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

<u>NOTE:</u> Applicants for new awards must include information in their applications to address this provision in order to receive funding under this program.

GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)

What is GPRA?

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

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

As required by GPRA, the Department of Education has prepared a strategic plan for 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:

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

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

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

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

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 2:

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

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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, in 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 HGBIs.

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 about the annual performance report data collection form can be viewed at
https://hepis.ed.gov/ISAPR/.

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/idueshbgi/applicant.html. To obtain a hard copy of the application, please contact Sarah Beaton at 202-453-7221 or via e-mail at sarah.beaton@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 Sarah Beaton at sarah.beaton@ed.gov.

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 sarah.beaton@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.

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*) 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 (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 – <u>**We strongly recommend that you do not wait until the last day to submit your application.**</u> 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 <u>optional</u> 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 <u>required</u>, you must submit an electronic application before 4:30 pm unless you follow the procedures in this application package and qualify for one of the exceptions to the electronic submission requirement <u>and</u> 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. <u>Exception to Electronic Submission Requirement</u>: 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; <u>and</u>

    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: Sarah Beaton, U.S. Department of Education, 400 Maryland Avenue, S.W., LBJ-268-34, Washington, D.C. 20202, Attention: HBGI Application, or Email: Sarah.Beaton@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 84.031K)
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 <u>not</u> 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.

<u>Note</u>: 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 84.031K)
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.

<u>Note for Mail or Hand Delivery of Paper Applications</u>: 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.

HBGI PHASE I FORMULA DATA WORKSHEET INSTRUCTIONS

HBGI PHASE I FORMULA DATA

**HISTORICALLY BLACK GRADUATE INSTITUTIONS PROGRAM
FY 2019 FORMULA GRANT WORKSHEET**

Section 326 (f) of the Higher Education Act of 1965, as amended, requires that HBGI annual appropriations in excess of $62,900,000 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 (2017-2018) 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).

SECTION I
PHASE I FORMULA DATA WORKSHEET (FY 2019)

HISTORICALLY BLACK GRADUATE INSTITUTIONS (HBGI) PROGRAM

DATA COLLECTION FOR FORMULA TO ALLOCATE EXCESS HBGI GRANT AWARD FUNDS UNDER SECTION 326 (f)(3)(A-E) "FUNDING RULE"

NOTE: This data 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 annual fiscal year (FY) award allocations. **The deadline date for submitting the FY 2019 data is April XX, 2019.**

NAME OF INSTITUTION: _____

CITY: _____ STATE: _____

1.   **Formula Element A – ABILITY TO MATCH**
    Does the institution have the ability to match Federal with non-Federal funds?
    Choose one: Yes or No

If **YES**, please provide the name of the non-Federal source and the amount of the institution matching contribution for the match.

    Name of Source: _____
    _____

    Amount: $_____   Year: _____
    _____

If **NO,** has your institution matched Federal grant funds under some other Federal program in the past five years? Choose one: Yes or No

    Name of Program: _____
    _____

    Amount: $_____   Year: _____
    _____

2. **Formula Element B – Student Enrollment**
What is the number of students enrolled in the programs for which the eligible institution received funding under this section in the previous year (2017-2018)?

NO	QGP	Degree	Students Enrolled
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			
15			
16			
17			
18			
19			
20			
	Total Students Enrolled		

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

What is 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?: $ ___
_____

Explain methodology:_____
_____

_____
_____

_____
_____

_____
_____

_____

_____

_____

_____

_____

_____

4. **Formula Element D – Graduates of Professional or Doctorate Programs**
    What is 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?

NO	QGP	Degree	# of Graduates From Previous Year
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			
15			
16			
17			
18			
19			
20			
	Total # of Graduates		

5. **Formula Element E – Graduates – African-Americans**
"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."

What is the total number of African-Americans receiving graduate or professional degrees in the professions or disciplines related to the programs in the previous year?

NO	QGP	Degree	# of Graduates Previous Year	# of African-American Graduates Previous Year
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				
15				
16				
17				
18				
19				
20				
	Total # of Graduates			

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.

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
___ Individual 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 (80-0013)

___ Assurances for 1063b (A)(2) General Authorization

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 improving academic quality, fiscal stability, institutional management, and student services; summarize activities to address CDP goals; and discuss CDP assessment strategies.

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

Suggested Outline for Developing the Project Plan

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

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

DESCRIBE AND DEFINE 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 endowment 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.

HBGI
NON-FEDERAL SOURCE MATCHING ASSURANCE FORM (FY 2019)

HISTORICALLY BLACK GRADUATE INSTITUTIONS (HBGI) PROGRAM

NON-FEDERAL SOURCE MATCHING REQUIREMENT ASSURANCE FORM

NOTE: This assurance form must be signed, dated and submitted as part of your initial application. **Under legislative guidelines, Section 1063b, no award can be made in excess of $1,000,000 unless the institution provides a matching assurance agreement described below.**

§1063b Professional or graduate institutions

(A) GENERAL AUTHORIZATION

(2) No grant in excess of $1,000,000 may be made under this section unless the postgraduate institution provides assurances that 50 percent of the cost of the purposes for which the grant is made will be paid from non-Federal sources, except that no institution shall be required to match any portion of the first $1,000,000 of the institution's award from the Secretary. After funds are made available to each eligible institution under the funding rules described in subsection (f), the Secretary shall distribute, on a pro rata basis, any amounts which were not so made available (by reason of the failure of an institution to comply with the matching requirements of this paragraph) among the institutions that have complied with such matching requirement.

NAME OF INSTITUTION: _____

CITY: _____ STATE: _____

AUTHORIZING OFFICIAL SIGNATURE:

_____
Print Name

_____
Signature   Date

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 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# 84.031K, U.S. Department of Education, 400 Maryland Avenue, SW, Room 7E200, 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.***

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.	**Type of Submission:** (Required) Select one type of submission in accordance with agency instructions. • 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.	**Name of Federal Agency**: (Required) Enter the name of the federal agency from which assistance is being requested with this application.
		11.	**Catalog of Federal Domestic Assistance Number/Title:** Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	**Type of Application**: (Required) Select one type of application in accordance with agency instructions. • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the federal government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. A. Increase Award D. Decrease Duration B. Decrease Award E. Other (specify) C. Increase Duration	12.	**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.
		13.	**Competition Identification Number/Title:** Enter the competition identification number and title of the competition under which assistance is requested, if applicable.
		14.	**Areas Affected By Project:** 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.
3.	**Date Received:** Leave this field blank. This date will be assigned by the Federal agency.	15.	**Descriptive Title of Applicant's Project:** (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.
4.	**Applicant Identifier:** Enter the entity identifier assigned by the Federal agency, if any, or the applicant's control number if applicable.		
5a.	**Federal Entity Identifier**: Enter the number assigned to your organization by the federal agency, if any.	16.	**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.
5b.	**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.		
6.	**Date Received by State:** Leave this field blank. This date will be assigned by the state, if applicable.		
7.	**State Application Identifier:** Leave this field blank. This identifier will be assigned by the state, if applicable.		
8.	**Applicant Information**: Enter the following in accordance with agency instructions:		
	a. Legal Name: (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting www.Grants.gov.	17.	**Proposed Project Start and End Dates**: (Required) Enter the proposed start date and end date of the project.
	b. Employer/Taxpayer Number (EIN/TIN):	**18.**	**Estimated Funding: (Required) Enter the amount**

	(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.		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.
	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.	19.	**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.
	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).	20.	**Is the Applicant Delinquent on any Federal Debt?** (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.
	e. Organizational Unit: Enter the name of the primary organizational unit, department or division that will undertake the assistance activity. **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.	21.	**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 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.)
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.		
	A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority	M. Nonprofit N. Private Institution of Higher Education O. Individual P. For-Profit Organization (Other than Small Business) Q. Small Business R. Hispanic-serving Institution S. Historically Black Colleges and Universities (HBCUs) T. Tribally Controlled Colleges and Universities (TCCUs) U. Alaska Native and Native Hawaiian Serving Institutions V. Non-US Entity	

		W. Other (specify)		

[**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.

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 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. 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

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.

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.

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