

U.S. DEPARTMENT OF EDUCATION
Office of Postsecondary Education
Washington, DC 20006-8544



Fiscal Year 2009

**APPLICATION FOR GRANTS UNDER THE
HIGHER EDUCATION DISASTER RELIEF
PROGRAM**

(CFDA NUMBER: 84.938R)

Form Approved: OMB No. 1840-0801, Expiration Date: 05/31/2009

CLOSING DATE: March 19, 2009

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January 16, 2009

Dear Applicant:

Thank you for your interest in the fiscal year (FY) 2009 Higher Education Disaster Relief (HEDR) program. This program provides grants to institutions of higher education that suffered losses and damage directly related to hurricanes, floods, and other natural disasters occurring during 2008. Information about the program and the application process is accessible on this Web site:

<http://www.ed.gov/programs/disaster-relief/index.html>.

The Department of Education requires applicants to submit grant applications through Grants.gov, an Internet-based electronic system. A detailed description of the system is included in this application package. We urge you to acquaint yourself with the Grants.gov system early and to register with Grants.gov immediately if you are not already registered. (The time required to complete registration can take 5 or more business days.) Grants.gov is accessible through its portal page at:

<http://www.grants.gov>

The Notice Inviting Applications for New Awards published in the *Federal Register* is the official document describing the requirements for submitting a grant application to the Higher Education Disaster Relief program. You should not rely upon any information that is inconsistent with the guidance contained in the official document. If you have any questions or require additional information, please contact Cassandra Courtney at Cassandra.Courtney@ed.gov or by phone at (202) 502-7506.

Please review the "Application Highlights" found in the application package for an overview of important items.

I look forward to receiving your application.

Sincerely,

Ralph Hines
Acting Director
Fund for the Improvement of Postsecondary Education

APPLICATION HIGHLIGHTS

1. **Applications for FY 2009 Higher Education Disaster Relief must be submitted electronically using Grants.gov.** You are urged to acquaint yourself with the requirements of Grants.gov early as the registration procedures may require 5 or more days to complete. A more thorough discussion is included later in this application package. Grants.gov is accessible through its portal page at: <http://www.grants.gov>
2. It is important to know that the Grants.gov site works differently than the Department's e-Application system, which some applicants may have used in the past. Grants.gov does not allow applicants to "un-submit" applications. Therefore, if you discover that changes or additions are needed once your application has been accepted and validated by the Department, you must "re-submit" the application. You should know that when the Department receives duplicate applications, it accepts and processes the application with the latest "date/time received" validation.
3. Please note that you must submit your application by **4:30:00 p.m. Washington, D.C. time on or before March 19, 2009**. Late applications will not be accepted. **We suggest that you submit your application several days before the deadline.** The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date and time.
4. Electronic submission of applications is required; therefore, you must submit an electronic application unless you follow the procedures outlined in the *Federal Register* notice inviting applications for new awards for FY 2009 and qualify for one of the exceptions to the electronic submission requirement.
5. All applicants are required to adhere to the page limit of 20 double-spaced pages for the Project Narrative portion of the application.
6. All attachments must be in .DOC, .RTF, or .PDF format. Other types of files will not be accepted.
7. Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. (This is different from e-Application, where applicants worked online and saved data to the Department's database.) You must provide the DUNS number that was used when your organization registered with the Central Contractor Registry (CCR).

For help with Grants.gov, please go to <http://www.grants.gov/ForApplicants> and click on "help" at the top of the screen. Also, refer to the "Submission Procedures and Tips for Applicants" found on page nine of this application booklet.

You are reminded that the document published in the *Federal Register* is the official document, and that you should not rely upon any information that is inconsistent with the guidelines contained within the official document.

PROGRAM INFORMATION/GUIDANCE

OVERVIEW OF THE APPLICATION PROCESS

Higher Education Disaster Relief will be made through a three-step process:

1. Eligible applicants download and complete the Pre-Application Information Form from <http://www.ed.gov/OPE> and e-mail the completed form to program contact Cassandra Courtney at HEDR@ed.gov by **February 4, 2009**.
2. The Office of Postsecondary Education (OPE) will enter this data into a formula to determine each applicant's equitable share of the \$15,000,000 available for these awards. OPE will e-mail each institution's allotment to the contact person named on the data information form within one week following the pre-application deadline.
3. Applicant institutions will then prepare and submit a final application for the exact amount of their allotments, through the Grants.gov system. Final applications must be submitted by **4:30:00 p.m. Washington, D.C. time on March 19, 2009**. OPE will review the final applications and budgets to ensure compliance with applicable regulations and the requirements in the application materials. *If necessary, OPE will contact the institution's named contact person to address questions or concerns about the application. For this reason, it is important that the project director be someone who will be readily available for consultation between March 19 and March 27, 2009.* All awards must be processed and obligated by September 30, 2009. Upon final approval, Grant Award Notification (GAN) documents will be printed and mailed to the named project director and to the authorized institutional representative who signed the application title page. Receipt of the GAN signifies that the award has been officially made and the recipient institution may begin to draw down funds in accordance with its approved grant application.

POST-AWARD INFORMATION: PROJECT MONITORING, BUDGET CHANGES, NO-COST EXTENSIONS, AND DRAWING DOWN GRANT FUNDS

A. Project Monitoring: Your Grant Award Notification (GAN) will identify an OPE program officer as the "Education Program Contact" for the award. Any questions or requests for changes to the approved project application must be directed to the monitoring program officer identified there. Be sure to include your project number (assigned when you complete the online application, it will begin "P938R09----") so the program officer can easily locate your project files.

Due to the large volume of grants and a shortage of staff and travel monies for their oversight, it is unlikely a Department staff person will visit your project during its lifetime. Site visits will be made, however, to institutions that fail to conform to the requirements of the grant, such as by not submitting required progress or final reports.

B. Post-Award Budget Changes: Changes in approved project budgets are not uncommon. As a general rule, moving funds from one budget category to another (e.g., from “equipment” to “salaries”) can be made without prior consultation with the Department, so long as: a) the amount of money involved does not exceed 10 percent of the total project budget; b) the budget changes are intended to address the goals and objectives set by Congress for the award; and c) the budget changes lie within the scope of project activities previously approved by the Department. In such a case, the project director should simply make a formal note about the change and the reasons for it, email a copy to the monitoring OPE program officer, and include a copy in the institution’s file on the project. Where the amount exceeds 10 percent of the project budget, prior approval for budget changes must be obtained from your monitoring program officer.

Certain other changes always require prior approval: changes in key personnel, including the project director; post-award decisions to transfer or contract-out any work; and post-award requests for international travel. See the Education Department General Administrative Regulations (EDGAR) Section 74.25(e) on the “Expanded Authorities” given to grantees: <http://www.ed.gov/policy/fund/reg/edgarReg/edlite-part74c.html>.

No changes can be permitted in project’s goals and objectives – the supplemental appropriation statute established the goals and objectives of Higher Education Disaster Relief and these cannot be altered.

C. Extensions of the Project Period: Non-construction funds should be expended within 12 months and those for construction projects within 36 months. The Secretary will, however, consider requests for no-cost extensions beyond these dates.

D. Drawing Down Project Funds: Recipient institutions will not receive a check for the full amount of their awards. Department regulations forbid the earning of interest on grant awards, so funds are disbursed as they are spent or in the form of reimbursements. Your business office must set up an account with the government so that funds can be transferred electronically. Contact the GAPS Payee Hotline for information on how to set up and draw down from an account, at 888-336-8930. Your monitoring program officer cannot help with this aspect of grant management.

ANNUAL PERFORMANCE REPORT REQUIREMENTS

Recipients of Higher Education Disaster Relief awards will be required to submit annual and/or final performance reports. (Only a final report will be required for grants of 18 months or less.) The reports must be prepared using the Department of Education’s Grant Performance Report form (ED 524-B). The three-part form (cover sheet, project status, and instructions) is accessible at:

<http://www.ed.gov/fund/grant/apply/appforms/appforms.html>

The reports help program officers determine whether a grantee is meeting approved project objectives. Grantees will receive correspondence providing mailing instructions and deadlines for annual and final reports.

CONTACT INFORMATION

For HEDR program-related questions and assistance, please contact:

Program Officer: Cassandra Courtney
Telephone: (202) 502-7506
E-mail Address: Cassandra.Courtney@ed.gov

For Grants.gov-related questions and assistance, please contact:

Support Desk: Grants.gov Support Desk
Telephone: (800) 518-4726
Hours: Monday – Friday, 7:00 A.M. – 9:00 P.M. Eastern Time

GRANTS.GOV REGISTRATION INSTRUCTIONS FOR ORGANIZATIONS

The Grants.gov registration process involves three basic steps:

1. Register your organization
 - Obtain a DUNS Number (see below for instructions)
 - Register with the Central Contractor Registry (see below for instructions)
2. Register yourself as an Authorized Organization Representative (AOR)
 - Obtain a username and password from the Grants.gov credential provider (<https://apply.grants.gov/OrcRegister>)
 - Register with Grants.gov (<https://apply.grants.gov/OrcRegister>)
3. Get authorized as an AOR by your organization
 - Receive approval form your organization's E-Business POC (see CCR instructions below for details)
 - If you are both the E-Business POC and an AOR, you should authorize your own AOR request.

For more information, go to http://www.grants.gov/applicants/get_registered.jsp.

Note: If you are a grant applicant who is submitting a grant application on your own behalf and not on behalf of a company, institution, state, local or tribal government, or other type of organization, refer to <http://www.grants.gov/assets/IndividualRegCheck.pdf>. If you apply as an individual to a grant application package designated for organizations, your application will be rejected.

DUNS NUMBER INSTRUCTIONS

To successfully submit an application using Grants.gov, you must provide your organization's DUNS Number. A DUNS Number is a unique nine-digit number issued by D&B, a global information services provider, that identifies your organization and is used by the Federal government to track how Federal money is distributed. Most large organizations, libraries, colleges, and research universities already have DUNS numbers. Ask your grant administrator or chief financial officer to provide your organization's DUNS Number.

If your organization does not have a DUNS Number, you can obtain one at no charge by calling 1-866-705-5711 or by completing a DUNS Number Request Form (http://www.dnb.com/US/duns_update/index.html). You will need to provide the following information:

- Legal name
- Tradestyle, doing business as (DBA), or other name by which your organization is commonly recognized
- Physical address, city, state and zip code

- Mailing address (if separate)
- Telephone number
- Contact name
- SIC code (Line of Business)
- Number of employees at your location
- Headquarters name and address (if there is a reporting relationship to a parent corporate entity)
- Is this a home-based business?

Obtaining a DUNS Number places your organization on D&B's marketing list, which is sold to other companies. You can request not to be added to this list during your application.

Live help from D&B is available Monday-Friday, 8 a.m. – 5 p.m. (EST) at 1-888-814-1435.

CENTRAL CONTRACTOR REGISTRATION (CCR) INSTRUCTIONS

The Central Contractor Registration (CCR) is a web-enabled government-wide application that collects, validates, stores, and disseminates business information about the Federal government's trading partners in support of the contract award, grants, and electronic payment processes. Check to see if your organization is already registered at the CCR Web site (<http://www.bpn.gov/ccring/scripts/search.asp>).

If your organization is already registered, take note of who is listed as your E-Business Point of Contact (E-Business POC). This person will be responsible for authorizing who within your organization is able to submit applications using Grants.gov.

If your organization is not already registered, you can register using the CCR Web site (<https://www.bpn.gov/ccr/scripts/indexnew.asp>) or by phone (1-888-227-2423). When your organization registers with CCR, you will need to designate an E-Business Point of Contact (POC). This designee authorizes individuals to submit grant applications on behalf of the organization. A special Marketing Partner ID Number (MPIN) is established as a password to verify the E-Business POC.

The E-Business POC will be notified by e-mail when individuals from their organization register with Grants.gov. This registration is a request to be designated as an Authorized Organization Representative (AOR). To assign AOR rights, E-Business POCs need to log into Grants.gov (http://www.grants.gov/applicants/e_biz.jsp) using the organization's DUNS Number and MPIN. Grants.gov will send the AOR a confirmation e-mail when this process has been completed.

Please note that your CCR registration must be renewed once a year. You can check your registration status using the CCR search page (<http://www.bpn.gov/ccring/scripts/search.asp>).

If you have further questions about creating, updating or renewing your CCR registration, please visit the CCR Frequently Asked Questions page (<http://www.ccr.gov/FAQ.asp>) or contact the CCR Help Desk at 1-888-227-2423.

IMPORTANT – PLEASE READ BEFORE PREPARING YOUR APPLICATION

GRANTS.GOV SUBMISSION PROCEDURES AND TIPS FOR APPLICANTS

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

ATTENTION

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov. We strongly recommend that you review these details on www.Grants.gov before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Applicants will no longer need to use the PureEdge software to create or submit an application. If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

- 1) **REGISTER EARLY** – Grants.gov registration may take five or more business days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. For detailed information on the Registration Steps, please go to: http://www.grants.gov/applicants/get_registered.jsp. [Note: Your organization will need to update its Central Contractor Registry (CCR) registration annually.]
- 2) **SUBMIT EARLY** – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30:00 p.m. Washington, DC time on the deadline date.

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

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov and the Department of Education receive your Grants.gov submission timely and that it was validated successfully. To see the date/time your application was received,

login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m. Washington, DC time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

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

http://www.grants.gov/applicants/applicant_faqs.jsp#54. For more detailed information on why an application may be rejected, you can review Application Error Tips <http://www.grants.gov/section910/ApplicationErrorTips.pdf>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

SUBMISSION PROBLEMS – WHAT SHOULD YOU DO?

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or <http://www.grants.gov/contactus/contactus.jsp>, or use the customer support available on the Web site: http://www.grants.gov/applicants/applicant_help.jsp.

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

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

HELPFUL HINTS WHEN WORKING WITH GRANTS.GOV

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

Please go to http://www.grants.gov/applicants/applicant_help.jsp for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov http://www.grants.gov/help/submit_application_faqs.jsp.

DIAL-UP INTERNET CONNECTIONS

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

MAC USERS

If you do not have a Windows operating System, you may need to use the Citrix solution discussed on Grants.gov to submit an application using Grants.gov. For additional information, review the FAQs for non-windows users http://www.grants.gov/help/download_software.jsp. **If electronic submission is required and you are concerned about your ability to submit electronically as a non-windows user, please follow instructions in the *Federal Register* notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the *Federal Register* notice for detailed instructions.)

ATTACHING FILES – ADDITIONAL TIPS

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

1. Ensure that you only attach the Education approved file types detailed in the *Federal Register* application notice (.doc, .pdf or .rtf). Also, do not upload any password protected files to your application.
2. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
3. When attaching files, applicants should 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. In addition, applicants should avoid including special characters in their file names (for example, %, *, /, etc.) 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. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

APPLICATION TRANSMITTAL INSTRUCTIONS

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

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

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

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

APPLICATIONS SUBMITTED ELECTRONICALLY

You must submit your grant application through the Internet using the software provided on the Grants.gov Web site (<http://www.grants.gov>) by 4:30 p.m. (Washington, D.C. time) on or before the deadline date.

If you submit your application through the Internet via the Grants.gov Web site, you will receive an automatic acknowledgement when we receive your application.

For more information on using Grants.gov, please refer to the "Notice Inviting Applications" that was published in the *Federal Register* or visit <http://www.grants.gov>.

APPLICATIONS DELIVERED BY MAIL

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

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.116M)
LBJ Basement Level 1
400 Maryland Avenue, SW
Washington, DC 20202-4260

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

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

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

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

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

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

SUBMISSION OF PAPER APPLICATIONS BY HAND DELIVERY

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

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.116M)
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

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

NOTE FOR MAIL OR HAND DELIVERY OF PAPER APPLICATIONS

If you mail or hand deliver your application to the Department--

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

CLOSING DATE NOTICE

4000-01-U

DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

Higher Education Disaster Relief

Notice inviting applications for new awards for fiscal year (FY) 2009.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.938R.

Dates:

Applications Available: January 16, 2009.

Deadline for Transmittal of Pre-Applications: February 4, 2009.

Deadline for Transmittal of Applications: March 19, 2009.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The Higher Education Disaster Relief Grants Program provides funds to institutions of higher education (IHEs) that are located in an area affected by hurricanes, floods, and other natural disasters occurring during 2008 for which the President declared a major disaster under Title IV of the Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1974. The funds may only be used to defray the expenses incurred by IHEs that were forced to close, or relocate, or

whose operations were impaired as a result of damage directly caused by such hurricanes, floods, and other natural disasters occurring during 2008. Funds may be used to cover lost revenue, reimbursement for expenses already incurred, and for construction. Funds may also be used to enable these IHEs to provide grants to their students who attend the IHE for academic years beginning on or after July 1, 2008.

Criteria for Awarding Funds: Under the Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009 (Pub. L. No. 110-329), only IHEs as defined in section 101 or section 102(c) of the Higher Education Act of 1965, as amended (HEA), that are located in an area in which a major disaster was declared in accordance with section 401 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act during calendar year 2008, are eligible to apply for funds under this program. A list of these areas is available at:
<http://www.gismaps.fema.gov/2008pages/lcurrent.shtm>.

Public Law No. 110-329 authorizes the Department to make these funds available based on criteria established by the Secretary. Accordingly, the Secretary establishes the following factors as criteria that will be used in allocating these funds:

(1) the expenses that would have been covered by revenues lost by the IHE as a direct result of the major disaster;

(2) the expenses incurred by the IHE in remedying the effects of the disaster;

(3) the costs of construction associated with physical damage caused by the disaster; and

(4) any amount of any insurance settlement or other reimbursement received by the IHE including from a Federal or other relief agency. An IHE must include information responsive to each of these criteria in its pre-application. After reviewing the pre-applications, the Secretary may decide to use the number or amount of Pell Grants received at any time during the 2006-07 and 2007-08 award years, as reflected in the Department's records, as a factor in determining the amount of the individual grants to ensure a fair distribution of funds in accordance with statutory requirements.

Waiver of Proposed Rulemaking: Under the Administrative Procedure Act (APA) (5 U.S.C. 553), and section 437 of the General Education Provisions Act (GEPA) (20 U.S.C. 1232), the Department generally offers interested parties the opportunity to comment on proposed selection criteria. However, Pub. L. No. 110-329 specifically exempts the establishment of criteria by the Secretary for the award of funds under this program from the rulemaking requirements of the APA and GEPA.

Program Authority: The Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009 (Pub. L. No. 110-329) and 20 U.S.C. 1138.

Applicable Regulations: The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 80, 82, 84, 85, 86, 97, 98, and 99.

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$15,000,000.

Estimated Range of Awards: \$10,000 - \$1,000,000.

Estimated Average Size of Awards: \$300,000.

Estimated Number of Awards: 50.

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

Project Period: 12 months, except for construction grants, which may be up to 36 months.

III. Eligibility Information

1. Eligible Applicants: IHEs (as defined in section 101 or section 102(c) of the HEA) that are located in an area affected by hurricanes, floods, and other natural disasters occurring during 2008, for which the President declared a major disaster under Title IV of the Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1974, are eligible to apply for funds under this program. A list of these areas is

available at:

<http://www.gismaps.fema.gov/2008pages/lcurrent.shtm>.

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

IV. Application and Submission Information

1. Address to Request Application or Pre-Application

Package: Cassandra Courtney, Fund for the Improvement of Postsecondary Education, U.S. Department of Education, 1990 K Street, NW., room 6166, Washington, DC 20006-8544. Telephone: (202) 502-7506 or by e-mail: HEDR@ed.gov or Cassandra.Courtney@ed.gov.

If you use a telecommunications 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 or pre-application package in an accessible format (e.g., braille, large print, audiotape, or computer diskette) by contacting the program contact person listed in this section.

2. Content and Form of Application Submission:

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

Pre-Application: IHEs intending to submit an application for funds under the Higher Education Disaster Relief Grant Program must first complete and submit a pre-application data

information form from which institutional allotments will be calculated. Data forms and instructions can be downloaded from: <http://www.ed.gov/OPE> (click on the Higher Education Disaster Relief link). Complete the form and send it to: HEDR@ed.gov by the date established under Deadline for Transmittal of Pre-Applications. Within one week of the Pre-Application Deadline, the Department will calculate the applicant IHE's allotment and e-mail the amount back to the contact person identified by the IHE on the pre-application form. The eligible IHEs will then have until March 19, 2009 to submit their application and budget information to the Department through Grants.gov.

Page Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the application narrative [Part III] to the equivalent of no more than 25 pages, using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger; or, no smaller than 10 pitch (characters per inch).

- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

The page limit does not apply to Part I, the cover sheet; Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; or the one-page abstract, the resumes, the bibliography, or the letters of support. However, the page limit does apply to all of the application narrative section [Part III].

We will reject your application if you exceed the page limit; or, if you apply other standards and exceed the equivalent of the page limit.

3. Submission Dates and Times:

Applications Available: January 16, 2009.

Deadline for Transmittal of Pre-Applications: February 4, 2009.

Deadline for Transmittal of Applications: March 19, 2009.

Applications for grants under this competition must be submitted electronically using the Grants.gov Apply site (Grants.gov). For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to Section IV. 6. Other Submission Requirements of this notice.

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

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

4. Intergovernmental Review: This program is not subject to Executive Order 12372 and the regulations in 34 CFR part 79.

5. Funding Restrictions: Funds can be used only to defray the expenses (including lost revenue, reimbursement for expenses already incurred, and for construction) incurred by IHEs that were forced to close, or relocate, or whose operations were impaired as a result of damage directly caused by hurricanes, floods, and other natural disasters occurring during 2008 for which the President declared a major disaster under Title IV of the Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1974, and to enable these IHEs to provide grants to their students who attend the IHE for academic years beginning on or after July 1, 2008.

6. Other Submission Requirements: Applications for grants under this program must be submitted electronically unless you

qualify for an exception to this requirement in accordance with the instructions in this section.

a. Electronic Submission of Applications.

Applications for grants under the Higher Education Disaster Relief Program, CFDA number 84.938R, must be submitted electronically using the Governmentwide Grants.gov Apply site at www.Grants.gov. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

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

You may access the electronic grant application for the Higher Education Disaster Relief Grant Program at www.Grants.gov. You must search for the downloadable application package for this program by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.938, not 84.938R).

Please note the following:

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.

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

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

- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this competition to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov at <http://e-Grants.ed.gov/help/GrantsgovSubmissionProcedures.pdf>.

- To submit your application via Grants.gov, you must complete all steps in the Grants.gov registration process (see www.grants.gov/applicants/get_registered.jsp). These steps include (1) registering your organization, a multi-part process that includes registration with the Central Contractor Registry (CCR); (2) registering yourself as an Authorized Organization Representative (AOR); and (3) getting authorized as an AOR by your organization. Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see www.grants.gov/section910/Grants.govRegistrationBrochure.pdf). You also must provide on your application the same D-U-N-S Number used with this registration. Please note that the registration process may take five or more business days to complete, and you must have completed all registration steps to allow you to submit successfully an application via Grants.gov. In addition, you will need to update your CCR registration on an annual basis. This may take three or more business days to complete.

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

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

- You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password-protected file, we will not review that material.

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

- After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. (This notification indicates receipt by Grants.gov only, not receipt by the Department.) The Department then will retrieve your application from Grants.gov and send a second notification to

you by e-mail. This second notification indicates that the Department has received your application and has assigned your application a PR/Award Number (an ED-specified identifying number unique to your application).

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

Application Deadline Date Extension in Case of Technical Issues

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

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

If you submit an application after 4:30:00 p.m., Washington, DC time, on the application deadline date, please contact the person listed under For Further Information Contact in section VII of this notice and provide an explanation of the technical problem you experienced with Grants.gov, along with

the Grants.gov Support Desk Case Number. We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your application by 4:30:00 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

Note: The extensions to which we refer in this section apply only to the unavailability of, or technical problems with, the Grants.gov system. We will not grant you an extension if you failed to fully register to submit your application to Grants.gov before the application deadline date and time or if the technical problem you experienced is unrelated to the Grants.gov system.

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through the Grants.gov system because--

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to the Grants.gov system;

and

- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the

next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application.

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

Address and mail or fax your statement to: Cassandra Courtney, Fund for the Improvement of Postsecondary Education, U.S. Department of Education, 1990 K Street, NW., room 6166, Washington, DC 20006-8544. Telephone: (202) 502-7506. Fax: (202) 502-7877.

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

b. Submission of Paper Applications by Mail.

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

U.S. Department of Education

Application Control Center
Attention: (CFDA Number 84.938R)
LBJ Basement Level 1
400 Maryland Avenue, SW.
Washington, DC 20202-4260

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

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

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

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

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

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

c. Submission of Paper Applications by Hand Delivery.

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

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.938R)
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

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

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

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

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

V. Application Review Information

Selection Criteria: The Secretary will award funds to eligible IHEs that submit applications under this program and will allocate funds among the eligible institutions using the following factors as criteria for the distribution of funds:

(1) the expenses that would have been covered by revenues lost by the IHE as a direct result of the major disaster;

(2) the expenses incurred by the IHE in remedying the effects of the disaster; the costs of construction associated with physical damage caused by the disaster; and (3) any amount of any insurance settlement or other reimbursement received including from a Federal or other relief agency. After reviewing the pre-applications, the Secretary may decide to use the number or amount of Pell Grants received at any time during the 2006-07 and 2007-08 award years, as reflected in the Department's records, as a factor in determining the amount of the individual grants to ensure a fair distribution of funds in accordance with statutory requirements.

VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators, and send you a Grant Award Notification (GAN). We may notify you informally, also.

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

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

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

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to:

<http://www.ed.gov/fund/grant/apply/appforms/appforms.html>

VII. Agency Contact

For Further Information Contact: Cassandra Courtney, Fund for the Improvement of Postsecondary Education, U.S. Department of Education, 1990 K Street, NW., room 6166, Washington, DC 20006-8544. Telephone: (202) 502-7506 or by e-mail: HEDR@ed.gov or Cassandra.Courtney@ed.gov.

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

VIII. Other Information

Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g. braille, large print, audiotape, or computer diskette) on request to the program contact person listed under For Further Information Contact in section VII of this notice.

Electronic Access to This Document: You can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF), on the Internet at the following site:

www.ed.gov/news/fedregister

To use PDF, you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (20) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at:
www.gpoaccess.gov/nara/index.html.

Dated:

Vickie L. Schray,
Acting Deputy Assistant Secretary
for Higher Education Programs.

AUTHORIZING LEGISLATION AND REGULATIONS

LEGISLATION

- **Title VII of the Higher Education Act of 1965 (HEA)**
- **Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009**

Higher Education Disaster Relief

For an additional amount under part B of title VII of the Higher Education Act of 1965 ('HEA') for institutions of higher education (as defined in section 101 or section 102(c) of that Act) that are located in an area affected by hurricanes, floods, and other natural disasters occurring during 2008 for which the President declared a major disaster under title IV of the Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1974, \$15,000,000, to remain available through September 30, 2009: *Provided*, That such funds shall be available to the Secretary of Education only for payments to help defray the expenses (which may include lost revenue, reimbursement for expenses already incurred, and construction) incurred by such institutions of higher education that were forced to close, relocate, or whose operations were impaired as a result of damage directly caused by such hurricanes, floods, and other natural disasters occurring during 2008, and for payments to enable such institutions to provide grants to students who attend such institutions for academic years beginning on or after July 1, 2008: *Provided further*, That such payments shall be made in accordance with criteria established by the Secretary and made publicly available without regard to section 437 of the General Education Provisions Act, section 553 of title 5, United States Code, or part B of title VII of the HEA: *Provided further*, That the Secretary shall award funds available under this paragraph not later than 60 days after the date of the enactment of this Act.

DEFINITIONS

- (1) 2008 NATURAL DISASTER- The term '2008 natural disaster' means a major disaster that the President declared to exist, in accordance with section 401 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5170) that was caused by hurricanes, floods, and other natural disasters during calendar year 2008
- (2) AREA AFFECTED BY A 2008 NATURAL DISASTER- The term 'area affected by a 2008 natural disaster' means a county or parish that has been designated by the Federal Emergency Management Agency for disaster assistance for individuals and households as a result of a 2008 natural disaster.
- (3) INSTITUTION OF HIGHER EDUCATION- The term 'institution of higher education' has the meaning given that term in section 102 of the Higher Education Act of 1965 (20 U.S.C. 1002).
- (4) SECRETARY- The term 'Secretary' means the Secretary of Education.

REGULATIONS

The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 80, 82, 84, 85, 86, 97, 98, and 99.

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.

NOTES:

- **Applicants for new awards must include information in their applications to address this provision in order to receive funding under this program.**
- **Applicants are required to address this provision by attaching a statement to the ED GEPA 427 Form that must be downloaded from [Grants.gov](https://www.grants.gov).**

INSTRUCTIONS FOR COMPLETING THE HEDR APPLICATION PACKAGE

The Higher Education Disaster Relief application should be organized as follows:

1. SF 424 FORMS

Application for Federal Assistance (SF 424) Department of Education Supplemental Information Form for SF 424

For item 2, Applicant Experience, check “Not applicable to this program.”

Applicants must complete Form 424 first because some of the information provided here is automatically inserted into other sections of the Grants.gov application package.

Do not attach any narratives, supporting files, or application components to Form 424. Although the form accepts attachments, the Department of Education will only review materials/files attached to the three “Attachments” forms listed below.

Regarding Form 424, please note that no application can be processed without all the required information. If the organization named as recipient of the award under this program does not already have DUNS and TIN numbers, *numbers must be obtained before the application is submitted* (see instructions included with Form 424).

The **project director** named on the application must be someone empowered to negotiate with the Department on the terms and conditions of the award, and should be someone who will be readily available for consultation during the application process. Communications will generally occur through e-mail, so it is important to record a valid e-mail address for the project director.

Form 424 requires applicants to designate start and end dates for their Higher Education Disaster Relief. April 15, 2009 is the earliest possible start date and is recommended for all applicants. Note that the project period for non-construction grants is 12 months, and the period for construction grants may be up to 36 months. The Secretary will consider requests for no-cost extensions beyond these end dates, as needed.

For the purposes of this program, the Secretary has waived the usual 90-day limitation on pre-award costs that may be charged to project budgets. Applicants may seek to recover/defray expenses incurred as a direct result of damage caused by hurricanes, floods, and other natural disasters occurring during 2008 and for payments to enable affected institutions to provide grants to students who attend those institutions for academic years beginning on or after July 1, 2008.

2. FORM 524 – DEPARTMENT OF EDUCATION BUDGET SUMMARY, PART A

Section B of Form 524 should be left blank. Recipients of Higher Education Disaster Relief are not required to provide matching funds.

Section C of Form 524, Budget Narrative, must be included as an attachment. See below.

3. ATTACHMENTS

ED Abstract Form

Project Narrative Attachment Form

Budget Narrative Attachment Form (Part C of Form 524)

Note: All attachments must be in .DOC, .RTF, or .PDF format. Other types of files will not be accepted.

The Department of Education Abstract Form is where you attach your project abstract. The project abstract is limited to one paragraph describing the purposes and activities for which the Higher Education Disaster Relief award will provide support. This statement will be sent to your Congressional representatives and should begin: “X (institution) will use its Higher Education Disaster Relief grant of \$X to” The abstract must be uploaded into the ED abstract form.

The Project Narrative Attachment Form describes the statement of work for the project. It is limited to 25 double-spaced paged. See the “Instructions for Project Narrative” section of this package for more information.

The Budget Narrative Attachment Form is where you attach a detailed line item budget and any supplemental budget information. The budget should demonstrate that all costs are reasonable and necessary to accomplish the hurricane recovery activities proposed. See the “Program-Specific Instructions: Budget Summary Form and Budget Narrative” section of this package for detailed instructions.

4. ASSURANCES AND CERTIFICATIONS

GEPA Section 427 Requirement

Assurances – Non-Construction Programs (SF 424B)

Grants.gov Lobbying Form (formerly ED Form 80-0013)

Disclosure of Lobbying Activities (SF-LLL)

INSTRUCTIONS FOR PROJECT NARRATIVE

Applicants will attach the project narrative to the **Project Narrative Attachment Form**.

Please note that the Project Narrative Attachment Form is limited to **25 pages**.

FORMATTING

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

STATEMENT OF WORK

The project narrative is a statement of work, not to exceed 20 double-spaced pages, describing the activities to be supported by the grant. The narrative must demonstrate the relationship of the activities to the Congressional purposes established for the Higher Education Disaster Relief awards and identify the persons responsible for implementing those activities (including any subcontractors).

The following questions should be answered in detail:

- What does the institution plan to do with the grant funds?
- How do proposed grant activities serve to defray expenses directly related to damage caused by hurricanes, floods, and other natural disasters occurring during 2008 and/or enable the institution to provide grants to students attending the institution for academic years beginning on or after July 1, 2008?
- Who will be responsible for carrying out these activities?
- What is the project timeline and when will all activities be completed?

INSTRUCTIONS FOR STANDARD FORMS

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

INSTRUCTIONS FOR THE SF-424

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

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

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

Item	Entry:	Item	Entry:
1.	<p>Type of Submission: (Required): Select one type of submission in accordance with agency instructions.</p> <ul style="list-style-type: none"> • Preapplication • Application • Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date. 	10.	<p>Name Of Federal Agency: (Required) Enter the name of the Federal agency from which assistance is being requested with this application.</p>
		11.	<p>Catalog Of Federal Domestic Assistance Number/Title: Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.</p>
2.	<p>Type of Application: (Required) Select one type of application in accordance with agency instructions.</p> <ul style="list-style-type: none"> • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify) 	12.	<p>Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.</p>
		13.	<p>Competition Identification Number/Title: Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.</p>
		14.	<p>Areas Affected By Project: List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.</p>
3.	<p>Date Received: Leave this field blank. This date will be assigned by the Federal agency.</p>	15.	<p>Descriptive Title of Applicant's Project: (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.</p>
4.	<p>Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.</p>		
5a.	<p>Federal Entity Identifier: Enter the number assigned to your organization by the Federal Agency, if any.</p>	16.	<p>Congressional Districts Of: (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 2-3 characters District Number, e.g., CA-12 for California 12th district, NC-103 for North Carolina's 103rd district.</p> <ul style="list-style-type: none"> • 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.
5b.	<p>Federal Award Identifier: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.</p>		
6.	<p>Date Received by State: Leave this field blank. This date will be assigned by the State, if applicable.</p>		
7.	<p>State Application Identifier: Leave this field blank. This identifier will be assigned by the State, if applicable.</p>		
8.	<p>Applicant Information: Enter the following in accordance with agency instructions:</p> <p>a. Legal Name: (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.</p> <p>b. Employer/Taxpayer Number (EIN/TIN): (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.</p> <p>c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.</p> <p>d. Address: Enter the complete address as follows: Street address (Line</p>	17.	<p>Proposed Project Start and End Dates: (Required) Enter the proposed start date and end date of the project.</p>
		18.	<p>Estimated Funding: (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.</p>

	<p>1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p> <p>e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p> <p>f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>	19.	<p>Is Application Subject to Review by State Under Executive Order 12372 Process? 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>		
		20.	<p>Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>		
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0" data-bbox="154 569 846 1056"> <tr> <td data-bbox="154 569 505 1056"> <p>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</p> </td> <td data-bbox="505 569 846 1056"> <p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)</p> </td> </tr> </table>	<p>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</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)</p>	21.	<p>Authorized Representative: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.</p> <p>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>
<p>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</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)</p>				

INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

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

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

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

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

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

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

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

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

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

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

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

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

Definitions:

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

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

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

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

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

—RESEARCH

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

—HUMAN SUBJECT

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." (1) *If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional*

technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met. [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

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

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

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

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

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

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

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

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

A. Exempt Research Narrative.

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

B. Nonexempt Research Narrative.

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

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

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

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

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

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

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

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

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

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

Instructions for ED 524

General Instructions

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

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

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

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

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

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

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

Indirect Cost Information:

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

Section B - Budget Summary
Non-Federal Funds

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

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

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

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

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

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

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

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

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

4. Provide other explanations or comments you deem necessary.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0004**. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

PROGRAM-SPECIFIC INSTRUCTIONS: BUDGET SUMMARY FORM AND BUDGET NARRATIVE

Applicants to the Higher Education Disaster Relief (HEDR) program must submit (1) a budget information form to categorize requested funds (ED Form 524, Section A) **and** (2) a detailed line item budget with narrative justification.

BUDGET SUMMARY

The budget summary is to be provided by completing ED Form 524, Section A. Show in this section project costs to be charged to the Higher Education Disaster Relief grant. Project periods may extend to 12 months for applicants not requesting construction activities and to 36 months for applicants requesting construction activities. Recipients of Higher Education Disaster Relief grants are not required to provide matching funds, so Section B of the budget summary form should be left blank.

BUDGET NARRATIVE

The budget narrative must include a detailed line item budget and an accompanying budget narrative for each year funding is being requested. These are to be included on the "Budget Narrative Attachment Form," which requests information on the applicant's financial plan for carrying out the proposed activities. The line item budget expands on the summary budget presented in Form ED 524, breaking down costs in each budget category into their component parts. Please check all figures and combined totals, comparing the line item budget figures to those on the budget summary form (ED Form 524).

Note: Each applicant's budget narrative must include, at the top of the first page of the narrative, the following three figures:

- a)** The percentage of time the named project director will devote to the project, whether or not a portion of that person's salary is included in the project budget;
- b)** The amount of the grant request that is for non-construction activities (the project period for expenditure of these funds is 12 months.);
- c)** The amount of the grant request that is for construction-related activities. (The project period for these funds may be up to 36 months.)

INFORMATION BY BUDGET CATEGORY

The budget categories for "Personnel," "Fringe Benefits," and "Travel" only include payments for services rendered by regular employees of the applicant institution. Salaries, benefits, and travel for any sub-contractors should be included in the "Contractual" category. If any employee *salaries* are to be covered by the grant, the budget narrative should indicate whose salaries are included (by title, not name), at what percentage of their time, the base annual salary, and the amount of their salary to be charged to the grant. In the case of *equipment purchases* (items over \$5000 per

unit; smaller purchases are included in the *supplies* category), it is sufficient to describe the equipment/supplies in a general way (e.g., 20 desktop computers) with an approximate cost estimate. It is not necessary to specify manufacturers or model numbers; the Department assumes that you will choose machines appropriate to the task and at the best price available at the time of purchase. Budget figures for *student tuition and/or fees* are included on the budget line entitled "Training Stipends."

See "Program Information/Guidance" section of this package (above) regarding changes in budgets after an award is made.

SPECIAL NOTES ON CONSTRUCTION ACTIVITIES

"Construction" includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and the purchase of initial equipment of any such buildings, or any combination of such activities (including architects and engineering fees and the cost of land acquisition). Applicants that apply for construction funds under the Higher Education Disaster Relief program must comply with Executive Order 13202 signed by President George W. Bush on February 17, 2001 and amended on April 6, 2001. This Executive Order provides that recipients of Federal construction funds may not "require or prohibit bidders, offerors, contractors, or subcontractors to enter into or adhere to agreements with one or more labor organizations, on the same or other construction project(s)" or "otherwise discriminate against bidders, offerors, contractors, or subcontractors for becoming or refusing to become or remain signatories or otherwise adhere to agreements with one or more labor organizations, on the same or other construction project(s)." However, the Executive Order does not prohibit contractors or subcontractors from voluntarily entering into these agreements. Projects funded under programs that include construction activity will be provided a copy of this Executive Order and will be asked to certify that they will adhere to it.

Department of Education regulations generally prohibit the use of grant funds for construction purposes. Consequently, the standard forms included in this application package may describe Department grants as "non-construction" awards. For the purposes of the Higher Education Disaster Relief, the Department has waived its limitation on construction to fully implement the Congressional purpose of these awards. Applicants are therefore to read any form headed "non-construction" as "construction and non-construction" for the purposes of this grant program. See, for example, Form 424B.

PREPARING THE BUDGET: WHAT EXPENSES CAN BE COVERED BY THE GRANT?

Budgets should be constructed to add to the *exact amount* of the Higher Education Disaster Relief award allocation that will be sent to each applicant following submission of the data information form.

The basic principle is that all costs charged to the grant must be reasonably and directly related to the purpose(s) defined by Congress for these awards. *In the case of Higher Education Disaster Relief, Congress has decided that such grants can be used only to defray expenses (including lost revenue, reimbursement for expenses already incurred, and for construction) incurred by institutions of higher education that were forced to close, or relocate, or whose operations were impaired as a result of damage directly caused by hurricanes, floods, and other natural disasters occurring during 2008 and to enable affected institutions to provide grants to students who attend those institutions for academic years beginning on or after July 1, 2008.*

Many institutions in areas affected by declared disasters have already received grants for damage from the Federal Emergency Management Agency (FEMA) and other government agencies, from private insurance companies, and from other foundation and charitable organizations. To avoid duplicative payments, the pre-application information form asks applicants to summarize the amount of disaster-related aid that has already been received. This figure will be considered in relation to the applicant's total disaster-related expenses in calculating each institution's Higher Education Disaster Relief award. The aim of these awards is to assist institutions in regaining the physical and financial position they enjoyed before the disasters struck.

In the final HEDR application, it is the applicant's responsibility to:

- Explain, in the required budget narrative, how each claimed expense is related to the effects of the disaster. Failure to do so may result in denial of funding for that portion of the proposed budget.
- Identify the impacted institutional location(s) for which expenditure of funds is proposed and, for each location, the corresponding county in which a disaster was declared. Failure to document that damages occurred in a location in which the President declared a major disaster may result in denial of disaster relief for that location.
- Plan use of Higher Education Disaster Relief funds for purposes that do not duplicate aid from other sources. Applicants may use HEDR awards for construction, but encouraged is the use of funds for non-FEMA reimbursable remediation and grants to students.

Pre-award costs – EDGAR, Part 74.25(e): Project expenses incurred before Departmental approval of your application may be reimbursed from the grant award if those expenses were the direct result of damage from a declared natural disaster.

Indirect costs: Indirect costs may not be included in the budget for Higher Education Disaster Relief.

Matching requirement: Recipients of Higher Education Disaster Relief are *not* required to contribute any matching costs (Section B of budget form). Applicants are advised that, if matching funds are entered into the budget form, those funds will be subject to audits just like the funds expended through the grant.

PREPARING THE BUDGET: WHAT EXPENSES CANNOT BE COVERED BY THE GRANT?

Two limitations have already been discussed: 1) Grants through the Higher Education Disaster Relief program can only be used to defray expenses related to damages caused by hurricanes, floods, and other natural disasters occurring during 2008 and to enable affected institutions to provide grants to their students who attend those institutions for academic years beginning on or after July 1, 2008. 2) The Department will not fund indirect costs on these awards.

Government-wide and Department of Education regulations also serve to limit the uses to which a Higher Education Disaster Relief award can be put. The government-wide regulations come from the Office of Management and Budget (OMB). Explanations of OMB regulations are written in documents called “circulars.” The Department of Education’s regulations governing these awards are contained in the Education Department General Administrative Regulations (EDGAR). The most relevant regulations and circulars include:

Office of Management and Budget:

- OMB Circular A-21: This set of cost principles applies to educational institutions.
- OMB Circular A-122: This set of cost principles applies to non-profit organizations.
- OMB Circular A-87: This set of cost principles applies to state, local, and tribal governments.
- OMB Circular A-133: This circular outlines OMB’s auditing requirements.
- Federal Acquisition Regulation (FAR) or 48 CFR Part 31.2: This set of cost principles applies to for-profit institutions.

OMB Circulars can be accessed at:

<http://www.whitehouse.gov/OMB/circulars/index.html>

Department of Education: The Education Department General Administrative Regulations (EDGAR) apply to all grants funded through the Department; they are cited below along with their location in the Code of Federal Regulations (CFR) and include:

- 34 CFR Part 74 (Administration of Grants with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations);
- 34 CFR Part 75 (Direct Grant Programs)
- 34 CFR Part 77 (Definitions That Apply to Department Regulations)
- 34 CFR Part 80 (Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Governments)
- 34 CFR Part 82 (New Restrictions on Lobbying)
- 34 CFR Part 84 (Governmentwide Requirements for Drug-Free Workplace)

- 34 CFR Part 85 (Governmentwide Debarment and Suspension)
- 34 CFR Part 86 (Drug and Alcohol Abuse Prevention)
- 34 CFR Part 97 (Protection of Human Subjects)
- 34 CFR Part 98 (Student Rights in Research, Experimental Programs, and Testing)
- 34 CFR Part 99 (Family Educational Rights and Privacy)

EDGAR regulations and bulletins on grants policy can be accessed at:
<http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html> and
<http://www.ed.gov/policy/fund/guid/gposbul/gposbul.html>

Without attempting to present an exhaustive list, the following sections identify some common restrictions:

Use of funds for religion prohibited (Part 75.532)

Entertainment costs (OMB Circular A-21) are not allowable.

Fundraising (OMB Circular A-21) and lobbying (Part 82.100): Costs of organized fundraising incurred to raise capital or obtain contributions are not allowable. In addition, no portion of these awards may be used to pay anyone for “influencing or attempting to influence” a member of Congress or the Executive Branch to award funds for this project or any other project. Note that this prohibition includes not only paid outside lobbyists but also employees of the recipient institution. *Examples*: No project funds may be used for lobbyists’ fees or travel costs incurred in seeking this award, or in other fundraising activities. A person whose salary is 100% supported by the award may not spend *any* time on lobbying activities or fundraising. A person whose salary is 75 percent supported by the award may spend the 25 percent of their time not supported with Federal grant funds on lobbying activities or fundraising.

Other regulations prohibit the use of awarded funds for alcohol, international travel and various other items. The regulations also explain how organizations will be required to account for their expenses under the grant award, and should be reviewed by all parties responsible for preparing the application and conducting grant activities.

If in doubt about whether a particular expense can be covered by the grant, include it in your budget and discuss in the budget narrative how this item is an expense directly related to damage caused by the hurricanes. An OPE program officer will contact the project director if changes are necessary.

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

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

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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

SUMMARY CHECKLIST FOR HEDR APPLICATION ON GRANTS.GOV

Before you submit the application package for Higher Education Disaster Relief (HEDR), please review the following list to ensure that you have attached all required materials/files in the prescribed format.

___ Application for Federal Assistance – SF 424

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

___ Department of Education Supplemental Information Form for SF 424

___ Department of Education Budget Summary Form – ED 524, Section A

NOTE: HEDR applicants are not required to provide matching funds. Section B of this form should be left blank.

Attachments:

___ Department of Education Abstract Form

___ Project Narrative Attachment Form

___ Budget Narrative Attachment Form

NOTE: Section C of ED 524 is attached here.

*Attachments must be submitted in one of the following file types:
.DOC, .RTF, or .PDF format.*

Assurances and Certifications:

___ GEPA Section 427

___ Assurances – Non-Construction Programs (SF 424B)

___ Grants.gov Lobbying Form (formerly ED Form 80-0013)

___ Disclosure of Lobbying Activities (SF-LLL)

PAPERWORK BURDEN STATEMENT

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1840-0801**. The time required to complete this information collection is estimated to average 75 hours for the project director per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Higher Education Disaster Relief, U.S. Department of Education, 1990 K Street, N.W., 6th Floor, Washington, D.C. 20006-8544.