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APPLICATION FOR GRANTS UNDER THE TEACHER QUALITY PARTNERSHIP PROGRAM (TQP)

CFDA Number: **84.336S**

OMB No. 1894-0006

Expiration Date: 11/30/2014

Closing Date: July 14, 2014

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I. Letter to Applicant

May 28, 2014

Dear Applicant:

Thank you for your interest in the Teacher Quality Partnership (TQP) program.

We know that teachers are the single most important element in improving student learning and achievement. The TQP program provides resources to partnerships among institutions of higher education, high-need local educational agencies, and high-need schools, to prepare teachers to teach in high-need schools and support them in their first critical years. Applicants for a grant under this program are encouraged to propose comprehensive plans for pre-baccalaureate (or, in States that have them, fifth-year teacher preparation programs) and/or teaching residency programs, and or, to develop programs to support effective school leaders. Applicants are required to coordinate their project design with the following key stakeholders – one or more high-need LEAs and schools, institutions of higher education (IHE) including the IHE's schools/colleges/departments of education and arts and sciences, and with other state and community groups are optional partners such as state agencies or community groups. It is our expectation that funded partnerships will be visionary, collaborative and committed to achieving the necessary changes in teacher preparation that will produce effective teachers who enter the classroom --- prepared to teach students with varying learning needs and styles, and improved student achievement.

In this competition, we are especially interested in supporting partnership programs that prepare teachers to teach subjects in science, technology, engineering, and/or mathematics (STEM), and we have included a Competitive Preference Priority for this purpose. Grantees may also receive points for targeting underrepresented groups in their recruitment efforts for prospective STEM teachers, and are encouraged to incorporate hands-on and field-based experiences into their preparation of these teachers. We also encourage applicants to propose projects that develop and implement teacher preparation and professional development programs that will prepare educators to teach to newly developed college- and career-ready standards for elementary and secondary school students, and translate these standards into effective classroom practices.

This application package contains more detailed information about the program including a link to the full version of the Notice Inviting Applications published in the Federal Register on May 28, 2014, required forms, requested checklists, and important instructions on how to submit an application using Grants.gov. We strongly encourage you to read it carefully. Please pay close attention to the requirements for the eligible partnerships and all program priorities but most particularly to the

absolute priorities and their elements, required application content, and information on reporting, use of funds, and budgetary submissions.

This program creates high expectations for applicants. We ask applicants to view this program not just as an opportunity for additional funds, but as an opportunity to carefully think through how to best prepare teachers and leaders to serve in schools that most need them. This program aims to meet the needs of our nation's most at risk students and ensure that every student has a caring, talented, and effective teacher.

If you desire further information concerning this program or the application process, please contact our TQP team via email at TQPartnership@ed.gov.

Again, thank you for your interest in the Teacher Quality Partnership program and your commitment to improving the quality of teaching and learning in schools across this country.

Sincerely,

Venitia Richardson
Director, Teacher Quality Programs
Office of Innovation and Improvement
U. S. Department of Education

II. Notice Inviting Applications (NIA)

Overview Information:

Office of Innovation and Improvement

Teacher Quality Partnership Program

CFDA Number: **84.336S**

Dates:

Application Available: **May 28, 2014**

Date of Pre-Application Information Sessions:

The Department has posted an overview of the Teacher Quality Partnership competition on the TQP program website listed below. The Department also plans to host pre application webinars, designed to help interested applicants with the application process. Interested applicants are encouraged to participate in these webinars. The overview, and any further information about these pre application webinars as it becomes available, may be found on the TQP website, at

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

Deadline for Notice of Intent to Apply: **June 27, 2014**

Applicants are strongly encouraged to notify us of their intent to submit an application for funding by completing a web-based form. The form can be accessed at the following URL:

<http://wdcrobcolp01.ed.gov/CFAPPS/survey/survey.cfm?ID=85f0f728-f17e-489a-91c7-be47e4358a4e>

Deadline for Transmittal of Applications: **July 14, 2014**

Deadline for Intergovernmental Review: **September 10, 2014**

The full text of the NIA can be found on the Federal Register Web site at the following URLs:

<http://www.gpo.gov/fdsys/pkg/FR-2014-05-28/pdf/2014-12346.pdf> (PDF)

<https://federalregister.gov/a/2014-12346> (Text)

III. Authorizing Legislation

The Teacher Quality Partnership program statute is contained in Title II of the Higher Education Act, as amended on August 14, 2008, by the Higher Education Opportunity Act (Public Law 110-315) (HEA).

Definitions for the program (including those for components of an eligible partnership) are contained in section 200 of the HEA, as amended, while the program authority itself is in Title II, Part A of that Act (section 201 - 204). You may view the full version of the Higher Education Act, as amended in 2008 by clicking the link below.

<http://www.gpo.gov/fdsys/pkg/PLAW-110publ315/pdf/PLAW-110publ315.pdf>

IV. Overview of the Application Process

Thank you for your interest in the TQP program. Following is a brief overview of the TQP application process.

- **Getting Started**

All interested applicants should first thoroughly review the TQP NIA for FY 2014 published in the Federal Register on May 28, 2014 (79 FR 30584-30596). The NIA will orient applicants to the TQP program by providing the following information:

- Background information and purpose of the program;
- Eligibility requirements;
- Absolute and Competitive Preference Priorities;
- Selection Criteria and assigned points;
- Instructions on how to electronically submit the application.

Applicants should pay close attention to the Selection Criteria as applications will be evaluated and scored against these Criteria and how they address the Competitive Preference Priorities.

- **Completing and Submitting Your Application**

A complete application consists of the following components:

Part A: Application Narrative

ED Abstract;

Project Narrative;

Budget Narrative; and

Other Attachments (Appendices)

Optional TQP Eligibility Charts/Checklists

Part B: Required Forms (see page 35 for a complete list of forms)

ED Standard Forms; and

Assurances and Certifications

NOTE: References to Parts A and B of the application are used strictly for the purpose of guiding applicants to the location of application components within this document. Applicants will not find references to Parts A and B when submitting in Grants.gov; they will, however, find each component. Components are discussed in detail in the following pages of this document. A detailed discussion of the submission process within Grants.gov can be found in this application package. Applicants are strongly encouraged to familiarize themselves early on with Grants.gov.

The Department strongly encourages applicants to submit their applications early. In prior years, a number of applicants submitted their applications late because they failed to familiarize themselves with the requirements of the program, System for Award Management (SAM), or Grants.gov. Late applications will not be accepted. All TQP applications must be received on or before **July 14, 2014 at 4:30:00 P.M. Washington, DC time.** Your submitted application must be fully uploaded and 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. Late applications will not be accepted. The Department will 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.

An applicant may check the status of its application(s) any time after submission, by using the "Track My Application" feature available from the upper navigation on the Grants.gov site. Applicants may also check the status of a submission by logging into their Grants.gov account using the Applicant Login. After logging in, an applicant should click on the "Check Application Status" link on the left-hand menu. **Applicants should be careful that they download the TQP application package and that they submit their applications under the TQP competition.** Your application will be reviewed under the competition it was submitted under, and only applications that are successfully submitted by the established deadline will be reviewed.

NOTE: Grants.gov will be closed for a scheduled maintenance from July 12-14, 2014. Grants.gov production system will go offline Saturday July 12, 2014 at 12:01 AM EST. Grants.gov production System will go back online Monday July 14, 2014 at 6:00 AM EST.

Addressing Your Questions

The Department provides multiple avenues for interested applicants to ask questions and clarify their understanding of the TQP competition and process. Applicants should keep in mind that the Department cannot provide guidance on specific proposals.

- The Department publishes a comprehensive Frequently Asked Questions document on its website, at <http://www2.ed.gov/programs/tqpartnership/index.html>.

Applicants should review this document carefully to see whether their particular questions have been addressed previously. The Department also updates this document in response to applicant questions. Interested applicants may send their questions to TQPartnership@ed.gov.

- The Department also plans to host pre application webinars designed to help interested applicants with the application process on ***Tuesday, June 10, 2014 at 10:00 AM and Thursday, June 12, 2014 at 2:00 PM***. Interested applicants are encouraged to participate in one of these webinars. The log in information, webinar PowerPoint, and any further information about these sessions will be found on the TQP website, at <http://www2.ed.gov/programs/tqpartnership/index.html> once it is finalized.
- Finally, applicants may call our TQP phone number to leave questions via voicemail at **202-453-5680**. This phone line will be checked daily and your questions will be answered as soon as possible.

A. APPLICATION NARRATIVE INSTRUCTIONS

The TQP application will use the following Grants.gov Narrative Forms.

- [ED Abstract Narrative Form](#)
- [Project Narrative Form](#)
- [Budget Narrative Form](#)
- [Other Attachments Form](#) (Upload appendices here)

The [ED Abstract Narrative](#) Form is where you will attach your one-page project abstract. Specific instructions are included on page 11 of this application package.

The [Project Narrative](#) Form is where you will attach the responses to the Selection Criteria, the Absolute Priority(s) you have selected, and, if applicable, the Competitive Preference Priorities (CPPs). Responses to the CPP(s) should be properly labeled and placed at the front of the Project Narrative, followed by the responses to the Selection Criteria. Applicants should address the Absolute Priority as part of the Selection Criteria. Applicants should also include a Table of Contents that identifies responses to each of the Selection Criteria, and CPP(s), if applicable. Specific instructions are included on page 12 of this application package. Applicants are strongly encouraged to adhere to the suggested page limit of 50 pages.

The [Budget Narrative](#) Form is where you will attach a line item budget (**ED 524**) and a detailed line item budget narrative that aggregates to the same total amount as on the ED 524. Do not include multiple budgets for the LEA and partner(s). Only one combined budget should be submitted to represent costs for all entities involved in the proposed project. Specific instructions are included on page 16 of this application package.

The [Other Attachments](#) Form is where you will attach the application appendices. Specific Appendix instructions are included on page 20 of this application package.

NOTE: If you have multiple documents to be attached to one of the above narrative sections (except for Other Attachments), we recommend that you merge them into one .PDF file and upload them to the appropriate narrative.

INSTRUCTIONS FOR ED ABSTRACT NARRATIVE

Eligible applicants must submit a one-page abstract.

The one-page abstract, single spaced, should include the following items:

- Project Title, if applicable
- Absolute Priority(s) selected
- Competitive Preference Priority(s) selected, if applicable
- Brief project description including project activities
- Summary of project objectives and expected outcomes
- Total target number of teachers to be served in the project
- Any special project features
- List of partners (LEA, IHE, other)

INSTRUCTIONS FOR PROJECT NARRATIVE

The Project Narrative should include, in detail, the eligible applicant's response to the Selection Criteria and, if applicable, the CPP(s). Eligible applicants should address each of the Selection Criteria since the application will be evaluated and scored against these criteria and CPPs. The maximum possible score for each criterion is indicated in the NIA.

Absolute Priorities

The FY 2014 TQP NIA includes two Absolute Priorities: Partnership Grants for the Preparation of Teachers – and - Partnership Grants for the Establishment of Effective Teaching Residency Programs. Eligible applicants are required to address one of the Absolute Priorities and sub criteria, but may address both Absolute Priorities and sub criteria in the application. Eligible applications will address the selected Absolute Priority(s) and sub criteria in the project narrative by addressing the Selection Criteria. The two Absolute Priorities and sub criteria are explained in detail in the NIA.

NOTE: 18 Month Residency Programs: The statute requires that Teaching Residency programs offer all residents a program that would lead to completion of the master's degree and teacher certification in 18 months. However, this does not mean that each resident necessarily needs to obtain his or her degree in 18 months; rather the program must be designed to permit then to do so in 18 months. Grantees may consider the individual circumstances of each teaching resident, and determine whether to allow more time to complete the degree and/or teacher certification within the project period.

Competitive Preference Priorities

The FY 2014 TQP NIA includes two CPP(s): Promoting Science, Technology, Engineering, and Mathematics (STEM) Education (0-5 points) - and - Implementing Internationally Benchmarked, College- and Career-Ready Elementary and Secondary Academic Standards (0-2 points). Up to seven (7) additional points may be awarded to eligible applicants who address one or both of the optional competitive preference priorities and their requirements. However, under 34 CFR 75.105(c)(3) we consider only applications that meet one or both of the two absolute priorities. This means that we intend to add competitive preference priority points only to applications that are found to be rated sufficiently high in the way they address one or both of the absolute priorities.

Applicants must identify in the project narrative section of its application the CPPs that it has addressed and wishes the Department to consider for purposes of earning CPP points. CPP responses should be clearly labeled and placed at the front of the project narrative. Responses to the CPPs are included in the project narrative's suggested page limit. The two CPPs are explained in detail in the NIA.

Please note that the Department **will not** review or award points under any CPP that fails to clearly identify the CPP(s) the applicant has addressed and wishes the Department to consider for purposes of earning Competitive Preference Priority points.

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 (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, and references. Use a font size that is either 12-point or larger or no smaller than 10 pitch. Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.

Page Limits

Eligible applicants are strongly encouraged to limit their project narrative to 50 pages. The suggested page limit applies to the responses to the Selection Criteria and if applicable, the CPP(s).

SELECTION CRITERIA AND SUGGESTED POINT RANGES FOR RATING APPLICANT RESPONSES TO THE SELECTION CRITERIA

All applicants should respond to each of the Selection Criteria in the NIA published in the Federal Register on May 28, 2014 (79 FR 30584-30596). The Department and its reviewers assess the quality of applications based on how they address the Selection Criteria. They do not consider outside factors, such as personal knowledge of past performance, or subjective judgments about what an application should contain. Please note that within each Criterion reviewers use their professional judgment in awarding points on how well applicants address each Criterion as a whole. The application should be a comprehensive design for the proposed intervention and desired outcomes. Therefore it is imperative that reviewers read the application in its entirety to determine the overall quality of the proposed project and the quality of the applicant's response to each Criterion. Selection Criteria and sub criteria are listed below, but please view the NIA, V. Application Review Information, for full version

(a) Significance (up to 15 points).

- (1) The Secretary considers the significance of the proposed project.
- (2) In determining the significance of the proposed project, the Secretary considers the following factors—
 - (i) The extent to which the proposed project is likely to build local capacity to provide, improve, or expand services that address the needs of the target population.
 - (ii) The likelihood that the proposed project will result in system change or improvement.
 - (iii) The extent to which the proposed project will prepare personnel for fields in which shortages have been demonstrated.

(b) Quality of the Project Design (up to 45 points).

- (1) The Secretary considers the quality of the design of the proposed project.
- (2) In determining the quality of the design of the proposed project, the Secretary considers the extent to which the proposed project consists of a comprehensive plan that includes a description of—
 - (i) The extent to which the proposed project is supported by strong theory (as defined in this notice).
 - (ii) The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services.
 - (iii) The extent to which the proposed activities constitute a coherent, sustained program of training in the field.
 - (iv) The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project services.
 - (v) The extent to which the applicant demonstrates that it has the resources to operate the project beyond the length of the grant, including a multi-year financial and operating model and accompanying plan; the demonstrated commitment of any partners; evidence of broad support from stakeholders (e.g., State educational agencies, teachers' unions) critical to the project's long-term success; or more than one of these types of evidence.

(c) Quality of the Management Plan (up to 20 points).

- (1) The Secretary considers the quality of the management plan for the proposed project.
- (2) In determining the quality of the management plan for the proposed project, the Secretary considers the following factors—
 - (i) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.
 - (ii) The qualifications, including relevant training and experience, of key project personnel.
 - (iii) The extent to which performance feedback and continuous improvement are integral to the design of the proposed project.

(d) Quality of the Project Evaluation (up to 20 points).

- (1) The Secretary considers the quality of the evaluation to be conducted of the proposed project.
- (2) In determining the quality of the evaluation, the Secretary considers—
 - (i) The extent to which the methods of evaluation provide valid and reliable performance data on relevant outcomes.
 - (ii) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project.
 - (iii) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes.

Shown below are **suggested** point ranges for an evaluation of fully addressed, well addressed, adequately addressed, poorly addressed, or not addressed, for each Criterion. We have also included **suggested** point ranges for the Competitive Preference Priorities, if the applicant chooses to address them. Those who review applications will receive the same suggested scoring rubric to use as an option guide when evaluating applications.

Suggested Scoring Rubric

Maximum Point Value	Quality of Applicant’s Response				
	Criterion is not addressed	Criterion is poorly addressed	Criterion is adequately addressed	Criterion is well addressed	Criterion is fully addressed
45	0	1-20	21-34	35-40	41-45
20	0	1-9	10-16	17-18	19-20
15	0	1-7	8-11	12-13	14-15
Competitive Preference Priorities Scoring Rubric					
0-2	0	0	1	1	2
0-5	0	1-2	3	4	5

INSTRUCTIONS FOR BUDGET NARRATIVE

The Budget Narrative Form should include the eligible applicant’s line item budget (ED form 524) **AND** the accompanying detailed budget narrative justification.

Eligible applicants may request TQP funding for up to 5 years and should have their applications reflect the desired project period. Eligible applicants must complete ED form 524 for all budget years of the proposed project. Eligible applicants must also provide a detailed budget narrative that describes their proposed multiyear project activities and the costs associated with those activities as well as all costs associated with carrying out the proposed project. Section 75.112(b) of EDGAR (34 CFR 55.112(b)) requires applicants to present “a narrative that describes how and when, in each budget period of the project, the applicant plans to meet each objective of the project.” EDGAR may be accessed at:

<http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

In addition, eligible applicants should include costs for up to three project staff persons (project director, evaluator, and other key personnel) to attend an annual 2-day project directors’ meeting in Washington, DC.

The budget should include only costs that are allowable, reasonable, and necessary for carrying out the TQP project. Rules about allowable costs are included both in EDGAR and Office of U.S. Management and Budget (OMB) cost principals contained in 2 CFR Part 220 (formerly OMB Circular A-21) for institutions of higher education; 2 CFR Part 225 (formerly OMB Circular A-87) for state and local governments; and 2 CFR 230 (formerly OMB Circular A-122) for non-profit organizations. The Code of Federal Regulations (CFR) may be accessed at:

Type of Entity	Part of EDGAR That Applies	CFR That Applies
Nonprofit Organization	34 CFR Part 74	2 CFR 230 (formerly OMB Circular A-122) http://www.gpo.gov/fdsys/granule/CFR-2012-title2-vol1/CFR-2012-title2-vol1-part230/content-detail.html
IHE	34 CFR Part 74	2 CFR 220 (formerly OMB Circular A-21) http://www.gpo.gov/fdsys/granule/CFR-2012-title2-vol1/CFR-2012-title2-vol1-part220/content-detail.html
LEA	34 CFR Part 80	2CFR 225 (formerly OMB Circular A-87) http://www.gpo.gov/fdsys/search/pagedetails.action?browsePath=Title+2%2FSubtitle+A%2FChapter+II%2FSubchap%2FPart+225&granuleId=CFR-2012-title2-vol1-part225&packageId=CFR-2012-title2-vol1&collapse=true&fromBrowse=true

For each line item of both Sections A (Federal costs) & B (non-Federal costs) of the Budget Form (ED 524), provide detailed costs (in dollars) accompanied by a narrative justification to support your request. Please check all figures and combined totals in the budget narrative, and compare the amounts with those reflected on the ED 524.

The TQP grants program has several specific statutory provisions that affect project budgets. One is the non-Federal matching requirement. In addition, there is a restriction on the amount of indirect costs that recipients of TQP funds may charge to a TQP Program grant. Given the program's "supplement, not supplant," requirement, by rule, the amount of indirect costs that the eligible partnership may charge to TQP grant funds is determined through use of a "restricted indirect cost rate", and the amount the eligible partnership as a whole charges may not exceed the amount derived from use of the lead applicant's restricted indirect cost rate. In this regard, if the lead applicant is an LEA, the rate is the LEA's approved restricted indirect cost rate. If the lead applicant is an IHE, the rate is its approved restricted indirect cost rate or, if it does not have such a rate or does not want to calculate one, eight (8) percent. See sections 75.563, 75.564, and 76.564 of EDGAR.

In order to prepare an project application that highlights a commitment to maximize the use of TQP program funds to implement TQP project components, an IHE applicant might want to consider voluntarily reducing the amount of indirect costs charged to the grant by applying a rate, perhaps eight (8) percent) that is lower than its approved restricted indirect cost rate.

Finally, the statute establishes a two-percent (2%) limitation on the amount of administrative costs that a grantee (or any other entity) may charge to program funds. The Department has not established a definition of "administrative costs." Therefore, applicants should use their own agencies fiscal rules and procedures to determine what proposed costs are attributable to this category of costs.

NOTE: If you have questions about obtaining an approved Indirect Cost Rate or applying your Indirect Cost Rate, you may contact a cost negotiator using the information provided at the following URL: <http://www2.ed.gov/about/offices/list/ocfo/fipao/icgreps.html>.

MATCH REQUIREMENT

Section 203(c) of the HEA requires funded applicants to provide an annual non-Federal match of no less than 100 percent of the federal TQP funds awarded for all five years of the project to carry out activities supported by the federal grant. This match may be provided in cash or in-kind. Please understand that to be considered as matching contributions, the non-TQP contributions must be of the kind that would be allowable costs of the TQP project if paid with TQP funds. See, generally, sections 74.23 and 80.24 of the education Department General Administrative Requirements (EDGAR). In addition, please bear in mind that the program statute requires the federal TQP program funds be used to “supplement, and not supplant,” other Federal, State, and local funds that would otherwise be expended to carry out TQP activities (See Section 202(k)). So absent extraordinary circumstances, contributions such as the time of higher education faculty that would be made available to the teacher preparation program in the absence of a TQP project whether or not the institution was in a partnership that had received a TQP grant, could not be considered as an allowable contribution to the required match.

The statute also authorizes the Secretary to waive this match requirement for any partnership for any fiscal year where the Secretary determines that “applying the matching requirement to the eligible partnership would result in serious hardship or an inability to carry out the authorized activities described in” the law (Section 203(c)(2)). In this regard, the Secretary is prepared to consider requests to waive the match requirement in whole or in part for up to two years. However, given the wide variety of ways in which a partnership may meet the match requirement, an expectation that meaningful partnerships should be prepared to demonstrate through matching contributions the import they place on the TQP project, and the importance of additional financial contributions of services to the quality of overall services provided by TQP projects, the Secretary expects that those seeking such a waiver will be able to meet a fairly high burden of need for it on the basis of available and relevant documentation.

Applicants that believe they need a waiver of all or part of the match requirement in order to conduct a successful TQP project may include a request for consideration of such a request with their project application. Applicants that include such a request may prepare application narrative and proposed budgets that are based on an assumption that the request will be granted, and will not be jeopardized in any way in the review of their applications. However, these applicants will need to have available for Department review pertinent documentary information that confirms their need for the waiver of the match requirement. Such information might address key elements such as evidence of:

- Severe economic distress in the areas served, that has led to low or decreasing revenues for the partner local educational agency(ies) and other partners that would normally be expected to contribute to the match; and
- Reductions in the budgets of the IHE (including their schools of education and colleges of arts and science) that are partners to the grant.
- Other data that reflect a significant economic hardship for the geographical area served by the partnership.

Applicants that are selected for award and that have requested such a waiver, are expected to receive a notification of grant award that conditions the award and the approved project budget on the Department's subsequent receipt, review and acceptance of the applicant's information in support of its waiver request. If the Department ultimately denies the applicant's request for a waiver, the grantee would need to either revise its budget (and its corresponding descriptions of non-TQP funded project services) to provide for the statutorily-required 100-percent match, or forfeit its TQP award.

Alternatively, an applicant is free to submit an application for a TQP award without including a request for a waiver of the match requirement, and after award, if needed, submit such a request for such a waiver for up to two project years. In this case, the applicants should submit its supporting documentation along with its waiver request. The Department will not entertain a request for a waiver of the match requirement for project years three and four until well into Project Year 2.

INSTRUCTIONS FOR APPENDIX

Eligible applicants should attach all appendices to the Other Attachments Form. For each appendix eligible applicants are asked to save files as a .PDF, label each file with the Appendix name (e.g., Appendix A – Optional High Need Checklists) and upload the file to the Other Attachments Form. The Grants.gov system will allow applicants to attach as many as ten separate appendices in this section; however, applicants are encouraged to limit the number of appendix entries to a reasonable number for a reviewer to read.

Eligible applicants are encouraged to follow the instructions below when uploading information to the Appendix:

- Appendix A:** Optional High Need Eligibility Charts (High Need LEA and High Need School)
- Appendix B:** Optional General Program Requirements Checklist
- Appendix C:** Optional IHE Partner Documentation Checklist
- Appendix D:** Optional Absolute Priority Checklist
- Appendix E:** Requesting a Waiver of the Match Requirement, if applicable
- Appendix F:** Resumes of Key Personnel
- Appendix E:** Letters of Support and/or Partner Memoranda of Agreement, if applicable
- Appendix H:** Other, if applicable

*Applicants are free to submit the required eligibility information in the format of their choice. However we strongly encourage applicants to use the charts and checklists provided in this application package. The charts and checklists are Word documents for which the formatting has not been locked. If you choose to use these charts and checklists, please be sure to check that you are not reformatting the documents as you insert the necessary page numbers.

Appendix A: Optional High Need Eligibility Charts (LEA and Schools)

HIGH NEED LEAs

Applicants must include information that confirms that each LEA (or consortium of LEAs) to be served under the grant meet the statutory definition of high-need. Applicants are free to provide this information in their own format, we encourage applicants to do so using Appendix A. For high-need LEAs, data must be submitted for the poverty / rural area requirement (component A) **and** the teacher need requirement (component B). It is very important that applicants review the definitions of high-need LEA and high-need school that are included on page 24 of this application package.

The Department will consider other poverty data, on a case-by-case basis, ONLY IF an LEA (such as a charter school that a State considers to be an LEA) is not included in the Census Bureau database.

The tables below may be used to provide the required data and their source. Please note that the current data in the charts illustrate how to fill out the charts for each of the criteria under each Component.

Instructions for Documenting Eligibility as a High-Need LEA:

Component A—Poverty/Rural Data

A1: Provide the percentage that demonstrates that not less than 20% of the children served by the LEA(s) are children from low-income families. This percentage already calculated by the Department is available at <http://www.ed.gov/programs/lsl/eligibility.html>. If data are not from the 2009 Census, please indicate the source of data; (See example of LEA #1 below)

OR

A2: Provide the number that demonstrates that the LEA(s) is one that serves not fewer than 10,000 children from low-income families. These data can be found at <http://www.census.gov/hhes/www/saipe/data/index.html>. If data are not from the most recent Census, please indicate the source of data; (See example of LEA #2 below)

OR

A3: Document that the LEA(s) meets the eligibility requirements for funding under the Small, Rural School Achievement (SRSA) Program under section 6211(b) of the ESEA. Eligible LEAs are listed by state on the Department’s website at <http://www.ed.gov/programs/reapsrsa/eligible13/index.html>; (See example of LEA #3 below)

OR

A4: Document that the LEA(s) meets the eligibility requirements for funding under the Rural and Low-Income School (RLIS) Program under section 6221(b) of the ESEA. Eligible LEAs are listed by state on the Department’s website at <http://www.ed.gov/programs/reaprlisp/eligibility.html>; (See example of LEA #4 below)

EXAMPLE

Component A: Poverty/Rural Data

HIGH-NEED LEA ELIGIBILITY								
Component A: Poverty/Rural Data								
Name of the LEA	A1	%	*Data Source	A2	#	*Data Source	A3 SRSA	A4 RLIS
LEA#1	X	23%	2012 Census					
LEA#2				X	12,537	2012 Census		
LEA#3							On SRSA website	
LEA#4								On RLIS website

Note: Applicants may use this optional form or create their own to document LEA high-need eligibility.

AND

Component B—Teacher Need

B1: Provide data that demonstrate that the participating LEA(s) has a percentage of its classes taught by teachers of core academic subjects who are not highly qualified that exceeds the average percentage for the State in which the LEA(s) is located, or that the percentage of the LEA’s teachers who lack training in the academic subject areas or grade levels in which they were trained to teach is at least 5%; (See example of LEA #1 below)

OR

B2: Provide data that demonstrate that the participating LEA(s) has a high annual teacher turnover rate of at least 15.5 percent among classroom teachers who did not return to the same school in the LEA; (See example of LEA #2 below)

OR

B3: Provide data that demonstrate that the participating LEA(s) has a “high percentage,” of at least 1.4%, of teachers with emergency, provisional or temporary certification or licensure that it reported to the State for the purposes of the State’s October 2008 HEA, section 207 report. (See example of LEA #3 below)

EXAMPLE
Component B: Teacher Need

HIGH-NEED LEA ELIGIBILITY								
Component B: Teacher Need								
Name of the LEA	B1	LEA %	State Avg. %	B2	Turnover %	B3	% at least 1.4%	Data Source
LEA#1	X	2.5%	1.9%					
LEA#2				X	16.4%			
LEA#3						X	1.42%	State HEA, Section 207 report

Note: Applicants may use this optional form or create their own to document LEA high-need eligibility.

HIGH NEED SCHOOLS:

Eligible applicants do not need to submit documentation with their applications to confirm show that participating schools meet the statutory definition of “High-Need”. However, applicants that are awarded grants under the TQP grant program must maintain this information on file. If applicant chooses, it may include this high-need school information as part of the application submission. If it does, it may provide the information in any format it chooses though we encourage the applicant to use the charts provided below.

Instructions for Documenting Eligibility as a High-Need School:

Component C—High-Need School Eligibility

For determining the eligibility of a “high-need school,” the Department is only aware of data regarding free and reduced price school lunches (FRPSL) as available to schools and LEAs.

C1: List the schools proposed for the partnership, confirm that they rank in the top quartile and provide the percentage of students eligible for FRPSL; (See example of School #1 below)

OR

C2: Provide data that the school is an elementary school where not less than 60% of its students are eligible for FRPSL, or that the aggregate level of poverty of the school’s feeder schools based on the aggregate percentage

of their students eligible for FRPSL yields 60% with extra documentation provided from section 200(11)(B)(ii); (see example of School #2 below)

OR

C3: Provide data that the school is not an elementary school where not less than 45% of its students are eligible for FRPSL, or that the aggregate level of poverty of the school’s feeder schools based on the aggregate percentage of their students eligible for FRPSL yields 45%, with extra documentation provided from section 200(11)(B)(ii). (See example of School #3 below)

EXAMPLE:

Component C: High-Need School Eligibility

High-Need School Eligibility										
Name of school	LEA	C1	% of FRPSL	Rank order	C2	% of elementary school FRPSL at least 60%	Feeder School(s) FRPSL at least 60%	C3	% of non-elementary school FRPSL at least 45%	Feeder School(s) FRPSL at least 45%
School #1	LEA #1	X	88%	3/20						
School #2	LEA #2				X	65%				
School #3	LEA #1							X		57%

Note: Applicants may use this optional form or create their own to document LEA high-need eligibility.

High Need Definitions

(1) **Poverty Data.** Under component (i)(A) or (i)(B) of the definition of “high-need LEA,” an LEA must show that not less than 20 percent of the children served by the LEA are children from low-income families or that the LEA serves not fewer than 10,000 children from low-income families. Under section 200(2) of the HEA (20 U.S.C. 1021(2)), the term “children from low-income families” means children, aged 5-17 inclusive, from families with incomes below the poverty line, as that term is defined in section 1124(c)(1)(A) of the Elementary and Secondary Education Act of 1965, as amended (ESEA) (20 U.S.C. 6333(c)(1)(A)). The term “poverty line” is itself defined in section 9101(33) of the ESEA.

When presenting evidence to support that each participating LEA is a high-need LEA, an applicant should consider the following:

While an applicant may use any poverty data that show that an LEA serves the required number or percentage of children (individuals ages 5 through 17) from families below the poverty line, the Department is not aware of any reliable data that do so other than data periodically gathered by the U.S. Census Bureau.

In this regard, the data that many LEAs collect on the number or percentage of children eligible for free- and reduced-priced meal subsidies may not be used to satisfy the requirements under component (i) of the HEA definition of “high-need LEA.” However inclusion of alternative LEA data that reliably show the number of children from families with incomes below the poverty line (as defined in section 9101(33) of the ESEA) that are served by the LEA, the eligibility of an LEA as a high-need LEA under component (i)(A) or (B) would be determined on the basis of the most recent U.S. Census Bureau data. U.S. Census Bureau data are available for all school districts with geographic boundaries that existed when the U.S. Census Bureau collected its information. The link to the U.S. Census Bureau data is: www.census.gov/hhes/www/saipe/data/index.html. The Department also makes these data available on its Web site at: www.ed.gov/programs/lsl/eligibility.html.

(Although the Department has posted this listing specifically for the Improving Literacy through School Libraries program, these same data would apply to the HEA definition of a “high-need LEA” used for purposes of determining eligibility under the TQP Grant Program.)

Under component (i)(C) or (i)(D) of the definition of “high-need LEA,” an LEA may show that it is eligible for funding under the ESEA’s Small Rural School Achievement (SRSA) Program or the Rural and Low-Income School (RLIS) Program. Prospective applicants may determine whether a particular LEA is eligible for these programs by referring to information available on the following Department Web sites. For the SRSA Program: www.ed.gov/programs/reapsrsa/eligible13/index.html.

For the RLIS Program: www.ed.gov/programs/reaprlisp/eligibility.html.

(2) **Teacher Need.** Under component (ii)(A) or (ii)(B) of the HEA definition of a “high-need LEA,” a high-need LEA must have (A) a high percentage of teachers not teaching in the academic subject areas or grade levels in which the teachers were trained to teach, or (B) either a high teacher turnover rate, or a high percentage of teachers with emergency, provisional, or temporary certification or licensure.

With regard to component (ii)(A) of the definition of “high-need LEA,” the Department interprets the phrase “a high percentage of teachers not teaching in the academic subjects or grade levels that the teachers were trained to teach” as being equivalent to “a high percentage of teachers teaching out of field.” We expect that LEAs that rely on component (ii)(A) will choose to address why they believe that they have a high percentage of teachers teaching out of field rather than try to provide the data needed to show the percentage of teachers not teaching in the academic subjects or grade levels they were trained to teach. In this regard, the Department is not aware of any specific data that would demonstrate a “high percentage” of teachers teaching out of field (or a high percentage of teachers not teaching in the academic subjects or grade levels they were trained to teach). For applicants that seek to demonstrate that a project LEA meets component (ii)(A), the Department will review this aspect of the LEA’s proposed eligibility on a case-by-case basis.

To decrease the level of uncertainty, an applicant may choose instead to demonstrate that each participating LEA meets the eligibility test for a high-need LEA under component (ii)(B) of the HEA definition. An LEA meets this component if it demonstrates that it has either a high teacher turnover rate or a high percentage of teachers with emergency, provisional, or temporary certification or licensure.

In determining what a “high teacher turnover rate” is for purposes of the definition of “high-need LEA”, and for reasons we discussed in the revised notice inviting applications (NIA) for the TQP Grant Program published in the Federal Register on August 4, 2009 (74 FR 38592, 38600), we will consider an LEA with an annual attrition rate of 15.5 percent (which may be averaged over a multi-year period) among classroom teachers who did not return to the same school in the LEA, such as those teachers who moved the following year to a different school and those who left teaching altogether, to have a high turnover rate. This benchmark reflects the most recent data available on the national average attrition rate of public school teachers, and is reported in the National Center for Education Statistics’ report “Teacher Attrition and Mobility: Results from the 2008–09 Teacher Follow-up Survey.” However, based on the data and explanation an applicant provides in its TQP Grant Program application, we also will consider, on a case-by-case basis, whether LEAs that have a lower attrition rate, or for which the applicant otherwise convincingly presents other forms of data, also have a “high teacher turnover rate,” for purposes of component (ii)(A).

The alternative criterion in component (ii)(B) of the definition of “high-need LEA” provides that the LEA must have a high percentage of teachers with emergency, provisional, or temporary certification or licensure. As with component (ii)(A) discussed immediately above, for reasons we also addressed in the revised NIA for the TQP Grant Program published in the Federal Register on August 4, 2009 (74 FR 38592, 38600), we will consider an LEA to be a “high-need LEA” if data for that LEA that the State used for its Report Card on the Quality of Teacher Preparation (submitted to the Department in October 2008 pursuant to section 207(b) of the HEA) demonstrate that at least 1.4 percent of the LEA’s teachers were on waivers of State certification requirements. This benchmark reflects the most recent data available on the national average percentage of teachers on waivers of State certification in all LEAs, and is reported in the Secretary’s November 2011 report, “Preparing and Credentialing the Nation’s Teachers: The Secretary’s Eighth Report on Teacher Quality Based on Data Provided for 2008, 2009, and 2010,” figure 19. Based on the data and explanation an applicant provides with its TQP Grant Program application, we will consider LEAs that demonstrate that they have a

lower percentage of teachers on waivers for State certification requirements to also have a “high percentage of teachers with emergency, provisional, or temporary certification or licensure” on a case-by-case basis.

Likewise, the eligibility of LEAs that do not meet this benchmark, or that do not have data that States used for purposes of their October 2008 Report Cards, such as newly formed LEAs or schools funded by the Bureau of Indian Education, will be determined on a case-by-case basis based on the best available data the applicant includes in its application.

(3) **High-need schools:** So that the Department may be able to confirm the status of high-need schools within high-need LEAs that applicants propose to serve, applicants should consider the following information:

For criterion (i)(A) of the HEA definition for “high-need school,” the only school-level data for these criteria of which the Department is aware are those that concern eligibility for free and or reduced price school lunches (paragraph (i)(B)). In addition, criterion (ii)(A) does not itself permit an LEA to determine that a middle school or high school is a “high-need school” on the basis of the percentage of students attending its feeder schools that are eligible for free and or reduced price school lunch subsidies. However, the Special Rule found in section 200(11)(B)(i) of the HEA allows the Secretary, upon approval of an application submitted by an eligible partnership, to designate a school as a high-need school for purposes of this program even though that school does not meet the definition of “high-need school” under the above definition. Specifically, section 200(11)(B)(i) permits the Secretary to approve an eligible partnership’s application to designate any school as a high-need school based on consideration of the specific information identified in section 200(11)(B)(ii) and, at the Secretary’s option, any other information the eligible partnership submits.

The need that middle and high schools located in high-poverty areas served by high-need LEAs have for highly effective teachers is abundantly clear. However, while criterion (i)(A) requires a high-need school to have a minimum percentage of its students eligible for free-or - price school lunch subsidies, as students get older, the percentage of them choosing to apply for these lunch subsidies typically decreases.

We do not believe that the Congress intended to erect such a barrier to the ability of middle and high schools located in high-poverty areas to be able to benefit from teachers trained through the pre-baccalaureate teacher preparation program, fifth- year initial licensing program, or teaching residency program. Therefore, for criterion (i)(A), while there may be other ways for a middle school to demonstrate eligibility as a high-need school on a case-by-case basis, the Secretary will considers a middle or high school to be “high-need” if--

(a) The aggregate level of poverty of the school’s feeder schools, based on the aggregate percentage of their students eligible for free and or reduced price school lunch subsidies, yields the percentage provided in section 200(11)(A)(ii); and

(b) The eligible applicant provides in its application the information identified in section 200(11)(B)(ii).

Appendix B: Optional General Program Requirements Checklist

To be considered for funding, applicants must address the following program requirements and authorized activities contained in section 202 Higher Education Opportunity Act. Except as specifically noted in this section, the general application requirements are from section 202 of the HEA (20 U.S.C. 1022a).

To ensure the fulfillment of every program requirement and authorized activity listed below, the Department encourages you, the applicant, to check the corresponding box on the left side of the page along with indicating the page number(s) where the specific component is located.

	Each eligible partnership desiring a grant under this program must submit an application that contains--
(a)_____	(a) A needs assessment of the partners in the eligible partnership with respect to the preparation, ongoing training, professional development, and retention of general education and special education teachers, principals, and, as applicable, early childhood educators
(b)_____	(b) A description of the extent to which the program to be carried out with grant funds, as described in Absolute Priority 1 or Absolute Priority 2, or both, in this notice, and, if the applicant chooses to do so, a Partnership Grant for the Development of Leadership Program, as described in section 202(f) of the HEA, will prepare prospective and new teachers with strong teaching skills
(c)_____	(c) A description of how such program will prepare prospective and new teachers to understand and use research and data to modify and improve classroom instruction
(d1)_____	(d) A description of--
(2)_____	(1) How the eligible partnership will coordinate strategies and activities assisted under the grant with other teacher preparation or professional development programs, including programs funded under the ESEA and IDEA and through the National Science Foundation; and (2) How the activities of the partnership will be consistent with State, local, and other education reform activities that promote teacher quality and student academic achievement
(e1)_____	(e) An assessment that describes the resources available to the eligible partnership, including--
(2)_____	(1) The integration of funds from other related sources;
(3)_____	(2) The intended use of the grant funds; and (3) The commitment of the resources of the partnership to the activities assisted under this program, including financial support, faculty participation, and time commitments, and to the continuation of the activities when the grant ends.
(f1)_____	(f) A description of--
(2)_____	(1) How the eligible partnership will meet the purposes of the TQP Grant Program as specified in section 201 of the HEA;
(3)_____	(2) How the partnership will carry out the activities required under Absolute Priority 1 or Absolute Priority 2, or both, as described in this notice, based on the needs identified in paragraph (a), with the goal of improving student academic achievement;
	(3) If the partnership chooses to use funds under the TQP Grant Program for a project or activities

	<p>under section 202(f) of the HEA [Partnership Grants for the Development of Leadership Programs] or section 202(g) of the HEA [Partnership with Digital Education Content Developer], how the partnership will carry out such project or required activities based on the needs identified in the needs assessment described in paragraph (a), with the goal of improving student academic achievement;</p> <p><u>Note:</u> In FY 2014, the Department is not funding any grants under sections 202(f) or 202(g) of the HEA.</p>
(4)_____	(4) The partnership’s evaluation plan under section 204(a) of the HEA;
(5)_____	(5) How the partnership will align the teacher preparation program with the--
(5i)_____	(i) State early learning standards for ECE programs, as appropriate, and with the relevant domains of early childhood development; and
(5ii)_____	(ii) Student academic achievement standards and academic content standards under section 1111(b)(1) of the ESEA, established by the State in which the partnership is located;
(6)_____	(6) How the partnership will prepare general education teachers to teach students with disabilities, including training related to participation as a member of individualized education program teams, as defined in section 614(d)(1)(B) of the IDEA;
(7)_____	(7) How the partnership will prepare general education and special education teachers to teach students who are limited English proficient;
(8)_____	(8) How faculty at the partner institution will work during the term of the grant, with highly qualified teachers in the classrooms of high-need schools served by the high-need LEA in the partnership to--
(i)_____	(i) Provide high-quality professional development activities to strengthen the content knowledge and teaching skills of elementary school and secondary school teachers; and
(ii)_____	(ii) Train other classroom teachers to implement literacy programs that incorporate the essential components of reading instruction;
(9)_____	(9) How the partnership will design, implement, or enhance a year-long and rigorous teaching preservice clinical program component;
(10)_____	(10) How the partnership will support in-service professional development strategies and activities; and
(11)_____	(11) How the partnership will collect, analyze, and use data on the retention of all teachers and early childhood educators in schools and ECE programs located in the geographic area served by the partnership to evaluate the effectiveness of the partnership’s teacher and educator support system.
(g)_____	(g) With respect to the induction program required as part of the activities carried out under Absolute Priority 1 or Absolute Priority 2, or both—
(1)_____	(1) A demonstration that the schools and departments within the IHE that are part of the induction program will effectively prepare teachers, including providing content expertise and expertise in teaching, as appropriate;
(2)_____	(2) A demonstration of the eligible partnership’s capability and commitment to, and the accessibility to and involvement of faculty in, the use of empirically-based practice and scientifically valid research on teaching and learning;
(3)_____	(3) A description of how the teacher preparation program will design and implement an induction program to support, though not less than the first two years of teaching, all new teachers who are

<p>(4) _____</p>	<p>prepared by the teacher preparation program in the partnership and who teach in the high-need LEA in the partnership, and, to the extent practicable, all new teachers who teach in such high-need LEA, in the further development of the new teachers' teaching skills, including the use of mentors who are trained and compensated by such program for the mentors' work with new teachers; and</p> <p>(4) A description of how faculty involved in the induction program will be able to substantially participate in an ECE program or elementary school or secondary school classroom setting, as applicable, including release time and receiving workload credit for such participation.</p>

Appendix C: Optional IHE Partner Documentation Checklist

Eligible Partnerships must include:

- A high-need LEA or consortium of high-need LEAs;
- At least one high-need school;
- Partner Institution;
- A College/School/Department of Education within the partner institution; and
- A College/School/Department of Arts and Sciences within the partner institution.

Carefully read the “eligible partnership” definition. Also see the definition of “eligible partnership” in section 200(6)(A) of the HEA as amended. Please note that these are statutory definitions. Eligible partnerships that do not meet the definitions as described on the following pages are ineligible and will not be reviewed. The eligible partnership must determine which of these required partners will serve as the fiscal agent for the grant.

Partner institution means an IHE, which may include a two-year IHE offering a dual program with a four-year IHE, participating in an eligible partnership that has a teacher preparation program--	
(i) Whose graduates exhibit strong performance on State determined qualifying assessments for new teachers through--	
Page _____	(A) Demonstrating that 80 percent or more of the graduates of the program who intend to enter the field of teaching have passed all of the applicable State qualification assessments for new teachers, which shall include an assessment of each prospective teacher’s subject matter knowledge in the content area in which the teacher intends to teach; or
(B) Being ranked among the highest-performing teacher preparation programs in the State as determined by the State--	
Page _____	(1) Using criteria consistent with the requirements for the State Report Card under section 205(b) of the HEA before the first publication of the report card; and
Page _____	(2) Using the State report card on teacher preparation required under section 205(b), after the first publication of such report card and for every year thereafter; and
(ii) That requires--	
Page _____	(A) Each student in the program to meet high academic standards or demonstrate a record of success, as determined by the institution (including prior to entering and being accepted into a program), and participate in intensive clinical experience;
Page _____	(B) Each student in the program preparing to become a teacher to become highly qualified; and
Page _____	(C) Each student in the program preparing to become an early childhood educator to meet degree requirements, as established by the State, and become highly competent.
Note: For purposes of paragraph (ii)(C) of this definition, the term “highly competent,” under section 200(12) of the HEA, when used with respect to an early childhood educator, means an educator--	
(a) With specialized education and training in development and education of young children from birth until entry into kindergarten;	
(b) With—	
(i) A baccalaureate degree in an academic major in the arts and sciences; or	
(ii) An associate’s degree in a related educational area; and	
(c) Who has demonstrated a high level of knowledge and use of content and pedagogy in the relevant areas associated with quality ECE.	

APPENDIX D: OPTIONAL ABSOLUTE PRIORITY CHECKLIST

By law applicants must address each of the elements of one or both of the Absolute Priorities in their applications. Therefore we strongly recommend that applicants include a checklist, like the one below on which they have identified where in the application they have addressed each element. Doing so will greatly assist the Department in determining what they have properly addressed on or both of the Absolute Priorities.

Absolute Priority 1: Partnership Grants for the Preparation of Teachers.	
Pre-Baccalaureate/5th Year Initial License Preparation of Teachers	
(a)_____	(a) <u>Program Accountability</u> . Implementing reforms, described in paragraph (b) of this priority, within each teacher preparation program and, as applicable, each preparation program for ECE programs, of the eligible partnership that is assisted under this priority, to hold each program accountable for--
(i)_____	(1) Preparing-- (i) New or prospective teachers to be highly qualified (including teachers in rural school districts who may teach multiple subjects, special educators, and teachers of students who are limited English proficient who may teach multiple subjects);
(ii)_____	(ii) Such teachers and, as applicable, early childhood educators, to understand empirically-based practice and scientifically valid research related to teaching and learning and the applicability of such practice and research, including through the effective use of technology, instructional techniques, and strategies consistent with the principles of universal design for learning, and through positive behavioral interventions and support strategies to improve student achievement; and
(iii)_____	(iii) As applicable, early childhood educators to be highly competent; and
(2)_____	(2) Promoting strong teaching skills and, as applicable, techniques for early childhood educators to improve children’s cognitive, social, emotional, and physical development.
(1)_____	(b) <u>Required reforms</u> . The reforms described in paragraph (a) shall include-- (1) Implementing teacher preparation program curriculum changes that improve, evaluate, and assess how well all prospective and new teachers develop teaching skills;
(2)_____	(2) Using empirically-based practice and scientifically valid research, where applicable, about teaching and learning so that all prospective teachers and, as applicable, early childhood educators--
(i)_____	(i) Understand and can implement research-based teaching practices in classroom instruction;
(ii)_____	(ii) Have knowledge of student learning methods;
(iii)_____	(iii) Possess skills to analyze student academic achievement data and other measures of student learning and use such data and measures to improve classroom instruction;
	(iv) Possess teaching skills and an understanding of effective instructional strategies across all

<p>(iv) _____</p> <p>(A) _____</p> <p>(B) _____</p> <p>(v) _____</p> <p>(vi) _____</p> <p>(3) _____</p> <p>(4) _____</p> <p>(5) _____</p> <p>(6) _____</p>	<p>applicable content areas that enable general education and special education teachers and early childhood educators in order to--</p> <p>(A) Meet the specific learning needs of all students, including students with disabilities, students who are limited English proficient, students who are gifted and talented, students with low literacy levels, and, as applicable, children in ECE programs; and</p> <p>(B) Differentiate instruction for such students;</p> <p>(v) Can effectively participate as a member of the individualized education program team, as defined in section 614(d)(1)(B) of the Individuals with Disabilities Education Act (IDEA); and</p> <p>(vi) Can successfully employ effective strategies for reading instruction using the essential components of reading instruction;</p> <p>(3) Ensuring collaboration with departments, programs, or units of a partner institution outside of the teacher preparation program in all academic content areas to ensure that prospective teachers receive training in both teaching and relevant content areas in order to become highly qualified, which may include training in multiple subjects to teach multiple grade levels as may be needed for individuals preparing to teach in rural communities and for individuals preparing to teach students with disabilities as described in section 602(10)(D) of the IDEA;</p> <p>(4) Developing and implementing an induction program;</p> <p>(5) Developing admissions goals and priorities aligned with the hiring objectives of the high-need LEA in the eligible partnership; and</p> <p>(6) Implementing program and curriculum changes, as applicable, to ensure that prospective teachers have the requisite content knowledge, preparation, and degree to teach Advanced Placement or International Baccalaureate courses successfully.</p>
<p>(c) _____</p> <p>(1) _____</p> <p>(i) _____</p> <p>(ii) _____</p> <p>(2) _____</p> <p>(3) _____</p>	<p>(c) <u>Clinical experience and interaction</u>. Developing and improving a sustained and high-quality preservice clinical education program to further develop the teaching skills of all prospective teachers and, as applicable, early childhood educators involved in the program. Such programs shall do the following--</p> <p>(1) Incorporate year-long opportunities for enrichment, including--</p> <p>(i) Clinical learning in classrooms in high-need schools served by the high-need LEA in the eligible partnership, and identified by the eligible partnership; and</p> <p>(ii) Closely supervised interaction between prospective teachers and faculty, experienced teachers, principals, other administrators, and school leaders at ECE programs (as applicable), elementary schools, or secondary schools, and providing support for such interaction;</p> <p>(2) Integrate pedagogy and classroom practice and promote effective teaching skills in academic content areas;</p> <p>(3) Provide high-quality teacher mentoring.</p>

(4)_____	(4) Be offered over the course of a program of teacher preparation.
(5)_____	(5) Be tightly aligned with course work (and may be developed as a fifth year of a teacher preparation program).
(6)_____	(6) Where feasible, allow prospective teachers to learn to teach in the same LEA in which the teachers will work, learning the instructional initiatives and curriculum of that LEA.
(7)_____	(7) As applicable, provide training and experience to enhance the teaching skills of prospective teachers to better prepare such teachers to meet the unique needs of teaching in rural or urban communities.
(8)_____	(8) Provide support and training for individuals participating in an activity for prospective or new teachers described in this paragraph, or paragraphs (a) and (b), or (d), and for individuals who serve as mentors for such teachers, based on each individual's experience. Such support may include--
(i)_____	(i) With respect to a prospective teacher or a mentor, release time for such individual's participation;
(ii)_____	(ii) With respect to a faculty member, receiving course workload credit and compensation for time teaching in the eligible partnership's activities; and
(iii)_____	(iii) With respect to a mentor, a stipend, which may include bonus, differential, incentive, or performance pay, based on the mentor's extra skills and responsibilities.
(d)_____	(d) <u>Induction programs for new teachers</u> . Creating an induction program for new teachers or, in the case of an early childhood education program, providing mentoring or coaching for new early childhood educators.
(e)_____	(e) <u>Support and training for participants in ECE programs</u> . In the case of an eligible partnership focusing on early childhood educator preparation, implementing initiatives that increase compensation for early childhood educators who attain associate or baccalaureate degrees in ECE.
(f)_____	(f) <u>Teacher recruitment</u> . Developing and implementing effective mechanisms (which may include alternative routes to State certification of teachers) to ensure that the eligible partnership is able to recruit qualified individuals to become highly qualified teachers through the activities of the eligible partnership, which may include an emphasis on recruiting into the teaching profession--
(1)_____	(1) Individuals from under represented populations.
(2)_____	(2) Individuals to teach in rural communities and teacher shortage areas, including mathematics, science, special education, and the instruction of limited English proficient students; and
(3)_____	(3) Mid-career professionals from other occupations, former military personnel, and recent college graduates with a record of academic distinction.
(g)_____	(g) <u>Literacy training</u> . Strengthening the literacy teaching skills of prospective and, as applicable, new elementary school and secondary school teachers--
(1)_____	(1) To implement literacy programs that incorporate the essential components of reading instruction.

(2) _____	(2) To use screening, diagnostic, formative, and summative assessments to determine students' literacy levels, difficulties, and growth in order to improve classroom instruction and improve student reading and writing skills.
(3) _____	(3) To provide individualized, intensive, and targeted literacy instruction for students with deficiencies in literacy skills.
(4) _____	(4) To integrate literacy skills in the classroom across subject areas.

<u>Absolute Priority 2: Partnership Grants for the Establishment of Effective Teaching Residency Programs.</u>	
Teacher Residency Program	
(I) _____ (a) _____ (b) _____ (c) _____ (1) _____ (2) _____ (3) _____ (4) _____	<p>(I) GENERAL. Under this priority, an eligible partnership must carry out an effective teaching residency program that includes all of the following activities:</p> <p>(a) Supporting a teaching residency program described in paragraph II(a) for high-need subjects and areas, as determined by the needs of the high-need LEA in the partnership;</p> <p>(b) Placing graduates of the teaching residency program in cohorts that facilitate professional collaboration, both among graduates of the teaching residency program and between such graduates and mentor teachers in the receiving school;</p> <p>(c) Ensuring that teaching residents who participate in the teaching residency program receive—</p> <p>(1) Effective pre-service preparation as described in paragraph II;</p> <p>(2) Teacher mentoring;</p> <p>(3) Support required through the induction program as the teaching residents enter the classroom as new teachers; and</p> <p>(4) The preparation described in paragraphs (c)(1), (2), and (3) of Absolute Priority 1.</p>
(2) _____ (a) _____ (1) _____ (2) _____ (3) _____ (i) _____ (ii) _____	<p>(II) TEACHING RESIDENCY PROGRAMS.</p> <p>(a) <u>Establishment and design.</u> A teaching residency program under this priority shall be a program based upon models of successful teaching residencies that serves as a mechanism to prepare teachers for success in the high-need schools in the eligible partnership, and shall be designed to include the following characteristics of successful programs:</p> <p>(1) The integration of pedagogy, classroom practice, and teacher mentoring;</p> <p>(2) Engagement of teaching residents in rigorous graduate-level course work leading to a master's degree while undertaking a guided teaching apprenticeship;</p> <p>(3) Experience and learning opportunities alongside a trained and experienced mentor teacher--</p> <p>(i) Whose teaching shall complement the residency program so that classroom clinical practice is tightly aligned with coursework;</p> <p>(ii) Who shall have extra responsibilities as a teacher leader of the teaching residency program, as a mentor for residents, and as a teacher coach during the induction program for new teachers; and</p>

<p>(iii)___</p> <p>(4)___</p> <p>(i)___</p> <p>(ii)___</p> <p>(iii)___</p> <p>(iv)___</p> <p>(v)___</p> <p>(5)___</p> <p>(6)___</p> <p>(i)___</p> <p>(ii)___</p> <p>(7)___</p>	<p>for establishing, within the program, a learning community in which all individuals are expected to continually improve their capacity to advance student learning; and</p> <p>(iii) Who may be relieved from teaching duties as a result of such additional responsibilities;</p> <p>(4) The establishment of clear criteria for the selection of mentor teachers based on measures of teacher effectiveness and the appropriate subject area knowledge. Evaluation of teacher effectiveness shall be based on, but not limited to, observations of the following--</p> <p>(i) Planning and preparation, including demonstrated knowledge of content, pedagogy, and assessment, including the use of formative and diagnostic assessments to improve student learning;</p> <p>(ii) Appropriate instruction that engages students with different learning styles;</p> <p>(iii) Collaboration with colleagues to improve instruction;</p> <p>(iv) Analysis of gains in student learning, based on multiple measures that are valid and reliable and that, when feasible, may include valid, reliable, and objective measures of the influence of teachers on the rate of student academic progress; and</p> <p>(v) In the case of mentor candidates who will be mentoring new or prospective literacy and mathematics coaches or instructors, appropriate skills in the essential components of reading instruction, teacher training in literacy instructional strategies across core subject areas, and teacher training in mathematics instructional strategies, as appropriate;</p> <p>(5) Grouping of teaching residents in cohorts to facilitate professional collaboration among such residents;</p> <p>(6) The development of admissions goals and priorities--</p> <p>(i) That are aligned with the hiring objectives of the LEA partnering with the program, as well as the instructional initiatives and curriculum of such agency, in exchange for a commitment by such agency to hire qualified graduates from the teaching residency program; and</p> <p>(ii) Which may include consideration of applicants that reflect the communities in which they will teach as well as consideration of individuals from underrepresented populations in the teaching profession;</p> <p>(7) Support for residents, once the teaching residents are hired as teachers of record, through an induction program, professional development, and networking opportunities to support the residents through not less than the residents' first two years of teaching.</p>
<p>(b)___</p> <p>(1)___</p> <p>(i)___</p>	<p>(b) <u>Selection of individuals as teacher residents.</u></p> <p>(1) Eligible Individual. In order to be eligible to be a teacher resident in a teaching residency program under this priority, an individual shall—</p> <p>(i) Be a recent graduate of a four-year institution of higher education or a mid-career professional from outside the field of education possessing strong content knowledge or a record of professional accomplishment; and</p>

(ii)____	(ii) Submit an application to the teaching residency program.
(2)____	(2) <u>Selection Criteria</u> . An eligible partnership carrying out a teaching residency program under this priority shall establish criteria for the selection of eligible individuals to participate in the teaching residency program based on the following characteristics--
(i)____	(i) Strong content knowledge or record of accomplishment in the field or subject area to be taught;
(ii)____	(ii) Strong verbal and written communication skills, which may be demonstrated by performance on appropriate tests; and
(iii)____	(iii) Other attributes linked to effective teaching, which may be determined by interviews or performance assessments, as specified by the eligible partnership.

STANDARD FORMS AND INSTRUCTIONS

Applicants must submit along with their project narratives, the required standard forms, assurances, and certifications included in the list below.

- 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 review only materials/files attached to the section labeled “Other Attachments Form.”

- Department of Education Supplemental Information for SF 424
- Department of Education Budget Summary Form (ED 524) Sections A & B
- Disclosure of Lobbying Activities (SF-LLL)
- General Education Provisions Act (GEPA) Requirements - Section 427
- Assurances, Non-Construction Programs (SF 424B)
- Grants.gov Lobbying form (formerly ED 80-0013 form)

The following pages provide a copy of the required forms as well as the instructions for completing them. Electronic copies of the required forms can be found at the following address:

<http://www2.ed.gov/fund/grant/apply/appforms/appforms.html> and in the Grants.gov submission package.

APPLICATION FOR FEDERAL ASSISTANCE SF-424

*1. Type of Submission: <input type="checkbox"/> Preapplication <input type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		*2. Type of Application: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision		* If Revision, select appropriate letter(s): *Other (Specify): _____
* 3. Date Received: Completed by Grants.gov upon submission		4. Applicant Identifier:		
5a. Federal Entity Identifier:		*5b. Federal Award Identifier:		
State Use Only:				
6. Date Received by State:		7. State Application Identifier:		
8. APPLICANT INFORMATION:				
*a. Legal Name: _____				
*b. Employer/Taxpayer Identification Number (EIN/TIN): _____		*c. Organizational DUNS: _____		
d. Address:				
*Street 1: _____		_____		
Street 2: _____		_____		
*City: _____		_____		
County/Parish: _____		_____		
*State: _____		_____		
Province: _____		_____		
*Country: _____		_____		
*Zip / Postal Code: _____		_____		
e. Organizational Unit:				
Department Name: _____		Division Name: _____		
f. Name and contact information of person to be contacted on matters involving this application:				
Prefix: _____		*First Name: _____		
Middle Name: _____		_____		
*Last Name: _____		_____		
Suffix: _____		_____		
Title: _____				
Organizational Affiliation: _____				
*Telephone Number: _____		Fax Number: _____		
*Email: _____				

Application for Federal Assistance SF-424

9. Type of Applicant 1: Select Applicant Type:

[Redacted]

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

*Other (Specify)

***10 Name of Federal Agency:**

[Redacted]

11. Catalog of Federal Domestic Assistance Number:

CFDA Title:

***12 Funding Opportunity Number:**

*Title:

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

***15. Descriptive Title of Applicant's Project:**

[Redacted]

Attach supporting documents as specified in agency instructions.

Application for Federal Assistance SF-424

16. Congressional Districts Of:

*a. Applicant: [redacted]

*b. Program/Project: [redacted]

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

*a. Start Date: [redacted]

*b. End Date: [redacted]

18. Estimated Funding (\$):

*a. Federal	[redacted]
*b. Applicant	[redacted]
*c. State	[redacted]
*d. Local	[redacted]
*e. Other	[redacted]
*f. Program Income	[redacted]
*g. TOTAL	[redacted]

***19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on _____
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

***20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

- Yes
- No

If "Yes", provide explanation and attach.

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U. S. Code, Title 218, Section 1001)**

**** I AGREE**

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: _____

*First Name: [redacted]

Middle Name: _____

*Last Name: [redacted]

Suffix: _____

*Title: [redacted]

*Telephone Number: [redacted]

Fax Number: _____

* Email: [redacted]

*Signature of Authorized Representative:

Completed by Grants.gov upon submission

*Date Signed:

Completed by Grants.gov upon submission

INSTRUCTIONS FOR APPLICATION FOR FEDERAL ASSISTANCE (SF-424)

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

Item	Entry:	Item:	Entry:
1.	Type of Submission: (Required) Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> • Pre-application • Application • Changed/Corrected Application – Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date. 	10.	Name Of Federal Agency: (Required) Enter the name of the federal agency from which assistance is being requested with this application.
		11.	Catalog Of Federal Domestic Assistance Number/Title: Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	Type of Application: (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the federal government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. <p style="margin-left: 20px;">A. Increase Award D. Decrease Duration B. Decrease Award E. Other (specify) C. Increase Duration</p>	12.	Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	Competition Identification Number/Title: Enter the competition identification number and title of the competition under which assistance is requested, if applicable.
		14.	Areas Affected By Project: This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.
3.	Date Received: Leave this field blank. This date will be assigned by the Federal agency.	15.	Descriptive Title of Applicant's Project: (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.
4.	Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or the applicant's control number if applicable.		
5a.	Federal Entity Identifier: Enter the number assigned to your organization by the federal agency, if any.	16.	Congressional Districts Of: 16a. (Required) Enter the applicant's congressional district. 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina's 103 district. If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.
5b.	Federal Award Identifier: For new applications, enter NA. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.		
6.	Date Received by State: Leave this field blank. This date will be assigned by the state, if applicable.		
7.	State Application Identifier: Leave this field blank. This identifier will be assigned by the state, if applicable.		
8.	Applicant Information: Enter the following in accordance with agency instructions:		
	a. Legal Name: (Required) Enter the legal name of	17.	Proposed Project Start and End Dates: (Required) Enter

	applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting www.Grants.gov .		the proposed start date and end date of the project.																								
	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.	18.	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.																								
	c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting www.Grants.gov .	19.	Is Application Subject to Review by State Under Executive Order 12372 Process? (Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.																								
	d. Address: Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).	20.	Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.																								
	e. Organizational Unit: Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.	21.	Authorized Representative: To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)																								
	f. Name and contact information of person to be contacted on matters involving this application: Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.																										
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.																										
	<table border="0"> <tr> <td>A. State Government</td> <td>M. Nonprofit</td> </tr> <tr> <td>B. County Government</td> <td>N. Private Institution of Higher Education</td> </tr> <tr> <td>C. City or Township Government</td> <td>O. Individual</td> </tr> <tr> <td>D. Special District Government</td> <td>P. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td>E. Regional Organization</td> <td>Q. Small Business</td> </tr> <tr> <td>F. U.S. Territory or Possession</td> <td>R. Hispanic-serving Institution</td> </tr> <tr> <td>G. Independent School District</td> <td>S. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td>H. Public/State Controlled Institution of Higher Education</td> <td>T. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td>I. Indian/Native American Tribal Government (Federally Recognized)</td> <td>U. Alaska Native and Native Hawaiian Serving Institutions</td> </tr> <tr> <td>J. Indian/Native American Tribal Government (Other than Federally Recognized)</td> <td>V. Non-US Entity</td> </tr> <tr> <td>K. Indian/Native American Tribally Designated Organization</td> <td>W. Other (specify)</td> </tr> <tr> <td>L. Public/Indian</td> <td></td> </tr> </table>	A. State Government	M. Nonprofit	B. County Government	N. Private Institution of Higher Education	C. City or Township Government	O. Individual	D. Special District Government	P. For-Profit Organization (Other than Small Business)	E. Regional Organization	Q. Small Business	F. U.S. Territory or Possession	R. Hispanic-serving Institution	G. Independent School District	S. Historically Black Colleges and Universities (HBCUs)	H. Public/State Controlled Institution of Higher Education	T. Tribally Controlled Colleges and Universities (TCCUs)	I. Indian/Native American Tribal Government (Federally Recognized)	U. Alaska Native and Native Hawaiian Serving Institutions	J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Non-US Entity	K. Indian/Native American Tribally Designated Organization	W. Other (specify)	L. Public/Indian			
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L. Public/Indian																											

	Housing Authority			
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[U.S Department of Education note: As of spring, 2010, the FON discussed in Block 12 of the instructions can be found via the following URL: http://www.grants.gov/applicants/find_grant_opportunities.jsp.]

DEFINITIONS FOR ED SF-424

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

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

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

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

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

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

—Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or

supported under a program that is considered research for other

purposes. For example, some demonstration and service programs may include research activities.

—Human Subject

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

B. Exemptions:

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

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

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

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

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

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

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked "Yes" for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

A. Exempt Research Narrative.

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

B. Nonexempt Research Narrative.

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

(1) Human Subjects Involvement and Characteristics:

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

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

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

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

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

monitoring the data collected to ensure the safety of the subjects.

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

(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, D.C. 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).

SUPPLEMENTAL INFORMATION REQUIRED FOR DEPARTMENT OF EDUCATION

1. Project Director:

Prefix: *First Name: Middle Name: *Last Name: Suffix:

Address:

* Street1:

Street2:

* City:

County:

* State * Zip Code: * Country:

* Phone Number (give area code) Fax Number (give area code)

Email Address:

2. Applicant Experience:

Novice Applicant Yes No Not applicable to this program

3. Human Subjects Research:

Are any research activities involving human subjects planned at any time during the proposed project Period?

Yes No

Are ALL the research activities proposed designated to be exempt from the regulations?

Yes No

Provide Exemption(s) #:

Yes No

Provide Assurance #, if available:

Please attach an explanation Narrative:

Add Attachment

Delete Attachment

View Attachment

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INSTRUCTIONS FOR THE SF-424

INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

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

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

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

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

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

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

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

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

3a. Human Subjects Assurance Number. If the applicant has an approved Federal Wide (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

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

Paperwork Burden Statement. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 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.

BUDGET INFORMATION FOR NON-CONSTRUCTION PROGRAMS (SF-524)

OMB Control Number: 1894-0008
Expiration Date: 04/30/2014

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1."
Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY
U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs*						
11. Training Stipends						
12. Total Costs (lines 9-11)						

***Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

- (1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? Yes No
- (2) If yes, please provide the following information:
 Period Covered by the Indirect Cost Rate Agreement: From: ___/___/_____ To: ___/___/_____ (mm/dd/yyyy)
 Approving Federal agency: ED Other (please specify): _____
- (3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:
 Is included in your approved Indirect Cost Rate Agreement? or Complies with 34 CFR 76.564(c)(2)?

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION B - BUDGET SUMMARY
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (Lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (Lines 9-11)						

SECTION C – BUDGET NARRATIVE (see instructions)

INSTRUCTIONS FOR ED BUDGET SUMMARY FORM (SF-524)

General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if **attached**. You may access the Education Department General Administrative Regulations, 34 CFR 74 – 86 and 97-99, on ED’s website at:

<http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

You must consult with your Business Office prior to submitting this form.

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

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

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

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

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

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

Indirect Cost Information: If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. If you checked “no,” ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:

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

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

(2): If you checked “yes” in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED, another Federal agency (Other) or State agency issued the approved agreement. If you check “Other,” specify the name of the Federal or other agency that issued the approved agreement.

(3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

Section B - Budget Summary Non-Federal Funds

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

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

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

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

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

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

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.

2. For non-Federal funds or resources listed in Section B that are used to meet a cost-sharing or matching requirement or provided as a voluntary cost-sharing or matching commitment, you must include:

- a. The specific costs or contributions by budget category;**
- b. The source of the costs or contributions; and**
- c. In the case of third-party in-kind contributions, a description of how the value was determined for the donated or contributed goods or services.**

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

3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.

4. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total

indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please

indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

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

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

5. Provide other explanations or comments you deem necessary.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1894-0008**. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

DISCLOSURE OF LOBBYING ACTIVITIES (SF-LLL)

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure)

<p>1. Type of Federal Action:</p> <p style="margin-left: 20px;">a. contract _____ b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance</p>	<p>2. Status of Federal Action:</p> <p style="margin-left: 20px;">a. bid/offer/application _____ b. initial award c. post-award</p>	<p>3. Report Type:</p> <p style="margin-left: 20px;">a. initial filing _____ b. material change</p> <p>For material change only: Year _____ quarter _____ Date of last report _____</p>
<p>4. Name and Address of Reporting Entity:</p> <p style="margin-left: 20px;">_____ Prime _____ Subawardee Tier _____, if Known:</p> <p style="margin-left: 20px;">Congressional District, if known:</p>	<p>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</p> <p style="margin-left: 20px;">Congressional District, if known:</p>	
<p>6. Federal Department/Agency:</p>	<p>7. Federal Program Name/Description:</p> <p style="margin-left: 20px;">CFDA Number, if applicable: _____</p>	
<p>7. Federal Action Number, if known:</p>	<p>9. Award Amount, if known:</p> <p style="margin-left: 20px;">\$ _____</p>	
<p>10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI):</p>	<p>b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):</p>	
<p>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>	<p>Signature: _____</p> <p>Print Name: _____</p> <p>Title: _____</p> <p>Telephone No.: _____ Date: _____</p>	
<p>Federal Use Only</p>	<p>Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)</p>	

INSTRUCTIONS FOR DISCLOSURE OF LOBBYING ACTIVITIES (SF-LLL)

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 sub awardee of the prime is the 1st tier. Sub awards include but are not limited to subcontracts, sub grants and contract awards under grants.
5. If the organization filing the report in item 4 checks "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

B. ASSURANCES AND CERTIFICATIONS

GENERAL EDUCATION PROVISIONS ACT (GEPA) SECTION 427

*ALL APPLICANTS **MUST** INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.

Section 427 requires each applicant to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This provision allows applicants discretion in developing the required description. The statute highlights six barriers that can impede equitable access or participation: **gender, race, national origin, color disability, or age**. Based on local circumstances, you should determine whether these or other barriers might prevent your teachers, etc. from such access or participation in the federally funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable in your circumstances.

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.

First, applicants must **identify at least one barrier** that would prevent teachers, and other program beneficiaries from participating in grant activities. The statute highlights six types of barriers that can impede access to participation: **gender, race, national origin, color, disability, or age**. However, applicants can take a fairly broad view of what constitutes a barrier and may address a barrier that is not among these six. Nor does the barrier have to be related to an applicant's own operation or way of conducting business. The barrier could be an attitude or perception held by people that the grant project is intended to serve. For example, an organization could be free of any discriminatory policies but still have trouble getting immigrant parents involved because these parents are reluctant to work with any official group or agency.

Second, applicants must **explain what they will do to overcome the barrier**.

Here are two examples of identifying a barrier and its solution:

- **Barrier**—Low-income parents cannot participate in grant activities held in the evening at a local school because they lack babysitting and transportation.
Solution—Grant money will be spent to carry out a detailed plan (explained within the applicant's GEPA statement) to help the parents overcome their babysitting and transportation difficulties.
- **Barrier**—Sight impaired students cannot benefit from reading tutors paid for with grant money because the students are unable to use the books available during the tutoring sessions.
Solution—Grant money will pay for materials in Braille.

ASSURANCES- NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 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 (0348-0040), 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.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

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Standard Form 424B (Rev. 7-97)

OMB Approval No. 0348-0040

GRANTS.GOV LOBBY FORM (FORMERLY ED 80-0013 FORM)

Certification for Contracts, Grants, Loans and Cooperative Agreements.

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person 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 the awarding of any Federal contract, the making of any Federal grant, the making of any Federal Loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.

(2) If any funds other Federal appropriated funds have been paid or will be paid to any person 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 this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form – LLL, “Disclosure of Lobbying Activities,” in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance.

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee or any agency, a member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the

undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Applicant's Organization	
Printed Name of Authorized Representative	Printed Title of Authorized Representative
Signature	Date

VI. Submitting Your Application

FY 2014 OPTIONAL APPLICATION CHECKLIST

Applicants may use this checklist once they have completed their TQP applications. The checklist contains all mandatory parts of the application.

Part A: Application Narrative

- ED Abstract Narrative Form
- Project Narrative Form
- Budget Narrative Form
- Other Attachments Form (Upload Appendices here)

NOTE: Eligible applicants should attach all appendices to the Other Attachments Form. The Grants.gov system will allow applicants to attach as many as ten separate appendices in this section; however, applicants are encouraged to limit the number of appendix entries to a reasonable number for a reviewer to read. The entire application package should be no larger than 8MB. Therefore, you may want to check the total size of your package before submission.

TQP Optional Checklists/Charts Program Forms

- High Need Eligibility Charts (High Need LEA and High Need School)
- IHE Partner Checklist
- General Program Requirements Checklist
- Absolute Priority Checklist

NOTE: Download and complete TQP Optional Program Forms from:
<http://www2.ed.gov/programs/tqpartnership/applicant.html>

Part B: Required Forms

ED Standard Forms

- Application for Federal Assistance (SF 424)
- Department of Education Supplemental Information for SF 424
- Department of Education Budget Summary Form (ED 524) Sections A & B
- Disclosure of Lobbying Activities (SF-LLL)

Assurances and Certifications

- GEPA Section 427
- Assurances – Non-Construction Programs (SF 424B)
- Grants.gov Lobby form (formerly ED 80-0013 form)

SUBMISSION PROCEDURES
IMPORTANT – PLEASE READ FIRST
U.S. Department of Education
Grants.gov Submission Procedures and Tips for Applicants

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

ATTENTION – Adobe Forms and PDF Files Required

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

Application Tips

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

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

All applicants are advised to confirm that they have an active record with SAM. If an applicant has an expired record, the applicant will need to activate its record in order to submit an application of the TQP competition.

Registration in Brief (ALLOW 4 WEEKS FOR COMPLETION OF ALL STEPS)

a. **Obtain DUNS Number**

Same day. If requested by phone (1-866-705-5711) DUNS is provided immediately. If your organization does not have one, you will need to go to the Dun & Bradstreet website at <http://fedgov.dnb.com/webform> to obtain the number.

- b. **Register with SAM.** All applicants are advised to confirm that they have an active record with System for Award Management (SAM). If an applicant has an expired record, the applicant will need to activate its record in order to submit an application for the TQP competition. Ensure that your organization is registered with the System for Award Management (SAM) at <https://www.sam.gov/portal/public/SAM/>. If your organization is not registered within the SAM, an **authorizing official** of your organization must register.
- i. You can obtain a Data Universal Numbering System (DUNS) number from Dun and Bradstreet. A DUNS number can be created within **one-to-two business days**.
 - ii. If you are a corporate entity, agency, institution, or organization, you can obtain a Taxpayer Identification Number (TIN) from the Internal Revenue Service. If you are an individual, you can obtain a TIN from the Internal Revenue Service or the Social Security Administration. If you need a new TIN, please **allow 2-5 weeks** for your TIN to become active.
 - iii. The SAM registration process can take approximately seven business days, but may take upwards of several weeks, depending on the completeness and accuracy of the data entered into the SAM database by an entity. Thus, if you think you might want to apply for Federal financial assistance under a program administered by the Department, please allow sufficient time to obtain and register your DUNS number and TIN. We strongly recommend that you register early.

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

If you are currently registered with SAM, you may not need to make any changes. However, please make certain that the TIN associated with your DUNS number is correct. Also note that you will need to update your registration annually. This may take three or more business days.

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

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

For additional guidance on updating a registration, applicants are advised to visit the SAM.gov Web site.

c. **Username & Password**

Same day. Complete your AOR (Authorized Organization Representative) profile on Grants.gov and create your username and password. You will need to use your organization's DUNS Number to complete this step. <https://apply07.grants.gov/apply/OrcRegister>.

d. **AOR Authorization**

***Same day.** The E-Business Point of Contact (E-Biz POC) at your organization must login to Grants.gov to confirm you as an Authorized Organization Representative (AOR). Please note that there can be more than one AOR for your organization. In some cases the E-Biz POC is also the AOR for an organization. ***TIME DEPENDS ON RESPONSIVENESS OF YOUR E-BIZ POC.**

e. **TRACK AOR STATUS**

At any time, you can track your AOR status by logging in with your username and password. Login as an Applicant (enter your username & password) using the following:

http://www.grants.gov/applicants/org_step6.jsp.

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

Note: To submit successfully, you must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This DUNS number is typically the same number used when your organization registered with the SAM (formerly CCR -Central Contractor Registry). If you do not enter the same DUNS number on your application as the DUNS you registered with, Grants.gov will reject your application.

- 3) **VERIFY SUBMISSION IS OK –** You will want to verify that Grants.gov received your application submission on time and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m. Washington, DC time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned. Once the Department of Education receives your application from Grants.gov, an Agency Tracking Number (PR/award number) will be assigned to your application and will be available for viewing on Grants.gov's Track My Application link.
- 4) If the date/time received is later than 4:30:00 p.m. Washington, D.C. time, on the deadline date, your application is late. If your application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: <http://www.grants.gov/web/grants/applicants/applicant-faqs.html>. For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Error Messages document at <http://www.grants.gov/web/grants/support/technical-support/troubleshooting/encountering-error-messages.html>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

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/web/grants/about/contact-us.html>, or access the Grants.gov Self-Service web portal at: <https://grants-portal.psc.gov/Welcome.aspx?pt=Grants>. If you contact the Grants.gov helpdesk, please make sure that you obtain a case number.

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 the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov.**

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

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

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

Attaching Files – Additional Tips

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

1. Ensure that you attach **.PDF files only** for any attachments to your application, and they must be in a **read-only, non-modifiable format**. PDF files are the only Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are not .PDF files or are password protected files will not be read. If you need assistance converting your files to a .pdf format, please refer to the following Grants.gov webpage with links to conversion programs under the heading of additional resources: <http://www.grants.gov/web/grants/support/technical-support/software/pdf-conversion-software.html>.
2. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
3. When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded files must be less than 50 characters, contain no spaces, no special characters (example: -, &, *, %, /, #, \) including periods (.), blank spaces and accent marks. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.
4. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

*Please note that the Central Contractor Registry (CCR) was replaced by the System for Award Management (SAM) effective July 30, 2012. For more information on the migration of CCR data to SAM, grant applicants should read this information located on Grants.gov:

<http://grants.gov.blogspot.com/2012/07/information-about-pending-migration.html#!/2012/07/information-about-pending-migration.html>

NOTE: Grants.gov will be closed for a scheduled maintenance from July 12-14, 2014. Grants.gov production system will go offline Saturday July 12, 2014 at 12:01 AM EST. Grants.gov production System will go back online Monday July 14, 2014 at 6:00 AM EST.

DUNS NUMBER INSTRUCTIONS

All applicants must have a D-U-N-S number in order to apply for federal funds.

NOTE: Check with your fiscal office to see if your institution has an assigned D-U-N-S before contacting Dun & Bradstreet.

Please provide the applicant's D-U-N-S Number. You can obtain your D-U-N-S Number at no charge by calling **1-800-333-0505** or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:

http://www.dnb.com/US/duns_update/index.html

The D-U-N-S Number is a unique nine digit number that does not convey any information about the recipient. A built-in check digit helps assure the accuracy of the D-U-N-S Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a D-U-N-S Number has been entered correctly.

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide. **Live help Monday-Friday 8am-6pm (EST) Dial 1-888-814-1435.**

Note: Electronic submission via Grants.gov must use the D-U-N-S number your organization used when it registered in the System for Award Management.

VII. Additional Information

EXECUTIVE ORDER 12372 Intergovernmental Review of Federal Programs

This program is subject to the requirement of the Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79. The objective of the Executive Order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance. Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372.

You may locate the name and contact information of State Single Point of Contact at:

http://www.whitehouse.gov/omb/grants_spo

PAPERWORK BURDEN STATEMENT

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 87 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Section 14007 of the American Recovery and Reinvestment Act of 2009 (ARRA)) and voluntary. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email ICDocketMgr@ed.gov and reference the OMB Control Number **1894-0006**.

Note: Please do not return the completed 1894-0006 TQP application to this address.