

# Archived Information

## **U.S. DEPARTMENT OF EDUCATION**

Office of Innovation and Improvement

Washington, DC 20202-5960



**Fiscal Year 2007**

**APPLICATION FOR GRANTS  
UNDER THE  
TRANSITION TO TEACHING PROGRAM  
CFDA NUMBER: 84.350 (A) (B) (C)**

**Form Approved  
OMB No. 1890-0009  
Expiration Date 06/30/08**

**CLOSING DATE: MARCH 26, 2007**

January 2007

Dear Applicant:

Thank you for your interest in the Transition to Teaching program. This is a critical time in our national effort to ensure that talented and caring teachers fill every classroom and all children have the opportunity to achieve to high standards. This is especially true in high-need schools and districts.

Title I of the Elementary and Secondary Education Act, as reauthorized by the No Child Left Behind Act of 2001, requires that all teachers of core academic subjects be highly qualified by the end of the 2005-06 school year. The Transition to Teaching program is designed to address this challenge by helping high-need schools operated by high-need local educational agencies (LEAs) recruit and retain the highly qualified teachers that students in those schools need to help them achieve to rigorous] academic standards. It does so by supporting national, state, and local programs that make use of alternative pathways to teacher certification to recruit, train, place, and retain highly qualified teachers in high-need schools in high-need districts.

The groups targeted by the program to become teachers are: (1) highly qualified mid-career professionals; (2) highly qualified paraprofessionals; and (3) recent college graduates. Eligible grant applicants are: State educational agencies (SEAs); local educational agencies (LEAs); for-profit and nonprofit organizations that have a proven record of effectively recruiting and retaining highly qualified teachers, in partnership with high-need LEAs or SEAs; institutions of higher education, in partnership with high-need LEAs or SEAs; regional consortia of SEAs; or consortia of high-need LEAs. In the Fiscal Year 2007 competition for grants, competitive priority points will be awarded to 1) a partnership or a consortium that includes a high-need SEA or LEA; and 2) high-need LEAs that propose projects to streamline teacher hiring systems, timelines, and processes. Eligible applicants may apply for an award for up to five years.

The Department has established separate funding categories for projects of different scope. These categories are: (1) local projects (84.350A), that serve one eligible high-need LEA or two or more eligible high-need LEAs in close proximity to one another; (2) statewide projects (84.350B), that serve eligible high-need LEAs statewide or in more than one area of a state; and (3) national/regional projects (84.350C), that serve eligible high-need LEAs in more than one state. While the same requirements and selection criteria apply to all applications, it is important to indicate the application pool in which you desire to have your application reviewed.

The application package contains all the forms and instructions that applicants will need to apply for an FY 2007 Transition to Teaching grant. Please review the entire application package carefully before preparing and submitting your application. Note that all applications must be submitted using [grants.gov](http://grants.gov) for which you must register prior to submitting your application.

If you desire further information concerning this program or the application process, please contact Thelma Leenhouts, by writing to her at the U.S. Department of Education, Office of Innovation and Improvement, Teacher Quality Programs, 400 Maryland Avenue, SW, Room 4W302, Washington, DC, 20202-5960; via phone at 202-260-0223; or by e-mail at [Transitiontoteaching@ed.gov](mailto:Transitiontoteaching@ed.gov).

Again, thank you for your interest in the Transition to Teaching program and your commitment to helping high-need districts recruit and retain talented and qualified teachers to ensure that all of our students achieve to high standards.

Sincerely,

Peggi Zelinko  
Director  
Teacher Quality Programs

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## IMPORTANT – PLEASE READ

### U.S. Department of Education

# Grants.gov Submission Procedures and Tips for Applicants

Please note that the Grants.gov site works differently than the U.S. Department of Education's (Department) e-Application system. 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.

- 1) **REGISTER EARLY** – Grants.gov registration is a one-time process that may take five or more days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Get Started steps are complete. For detailed information on the Get Started Steps, please go to: <http://www.grants.gov/GetStarted>.
- 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 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. If you start uploading your application before 4:30 p.m. Washington, D.C. time on the application deadline date, and it does not finish uploading until after 4:30 p.m., your application will be marked late. If that happens, please see the section below on submission problems.

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

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov and the Department received your Grants.gov 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 Check Application Status link. For a successful submission, the date/time received should be earlier than 4:30 p.m. on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

If the date/time received is later than 4:30 p.m. Washington, D.C. time, on the closing 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/assets/ApplicationErrorTips.pdf> .

If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

### **Submission Problems – What should you do?**

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

Electronic submission is required. You must submit an electronic application before 4:30 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 log on to Grants.gov to upload and submit the application. (This is different from e-Application, where you are working online and saving data to the Department’s database.) You must provide the DUNS number that was used when your organization registered with the Central Contractor Registry (CCR) on your application.

Please go to <http://www.grants.gov/ForApplicants> for help with Grants.gov and click on the links in the lower right corner of the screen under Applicant Tips and Tools. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application Tips found on the Grants.gov homepage <http://www.grants.gov>.

### **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.** (Refer to the Federal Register notice for detailed instructions.)

#### **MAC Users**

If you do not have a Windows operating System, you will need to use a Windows Emulation program to submit an application using Grants.gov. For additional information, review the [PureEdge Support for Macintosh](#) white paper published by Pure Edge:

[http://www.grants.gov/GrantsGov\\_UST\\_Grantee/!SSL!/WebHelp/MacSupportforPureEdge.pdf](http://www.grants.gov/GrantsGov_UST_Grantee/!SSL!/WebHelp/MacSupportforPureEdge.pdf), and/or contact Grants.gov Customer Support (<http://www.grants.gov/CustomerSupport>) for more information.

**If you do not have a Windows emulation program and electronic submission is required, 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.** (Refer to the Federal Register notice for detailed instructions.)

## Application Transmittal Instructions

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

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

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

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

### **Applications Submitted Electronically**

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

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

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

### **Applications Delivered by Mail**

**You must receive approval at least two weeks before the closing date notice in order to submit your application by mail.**

**If you receive approval to submit by mail**, you must mail the original and two copies of your application on or before the application deadline date to:

**U.S. Department of Education  
Application Control Center  
Attention: (CFDA Numbers 84.350A; 84.350B; or 84.350C)  
400 Maryland Avenue, S.W.  
Washington, DC 20202 – 4260**



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

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

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

1. A private metered postmark, or
2. A mail receipt that is not dated by the U.S. Postal Service

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

Special Note: Due to potential disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; U. S. Postal Service Express Mail; or a courier service) to transmit your application for this competition to the Department. If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Delivered by Mail,” then follow the instructions for “Applications Delivered by Hand.”

**Applications Delivered by Commercial Carrier:**

If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Sent by Mail,” then follow the instructions under the appropriate delivery method.

You must mail the original and two copies of your application on or before the application deadline date to:

**U.S. Department of Education  
Application Control Center – Stop 4260  
Attention: (CFDA Numbers 84.350A; 84.350B; or 84.350C)  
7100 Old Landover Road  
Landover, MD 20785-1506**

**Applications Delivered by Hand**

You or your courier must hand deliver the original and two copies of the application by 4:30 p.m. (Washington, D.C. time) on or before the deadline date to the following address:

**U.S. Department of Education  
Application Control Center  
Attention: (CFDA Numbers - 84.350A; 84.350B; or 84.350C )  
550 12<sup>th</sup> Street, SW  
Potomac Center Plaza – Room 7067  
Washington, D.C. 20202 - 4260**

**Application Control Center Hours of Operation**

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, D.C. time), except Saturdays, Sundays and Federal holidays.

**Grant Application Receipt from the Application Control Center**

If you send your application by mail or if you or your courier delivers it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgment to you.

If you do not receive the notification of application receipt within 15 days from the mailing of the application, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

**Late Applications**

If your application is late, we will notify you that we will not consider the application.

## Instructions for D-U-N-S Number

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

The DUNS number used on the application must be the same number that the applicant's organization used to register with Grants.gov. If the numbers are not the same, Grants.gov will reject the application.

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](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. **For 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 Central Contractor Registry.

FR Doc E7-34

[Federal Register: January 8, 2007 (Volume 72, Number 4)]

[Notices]

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From the Federal Register Online via GPO Access

[wais.access.gpo.gov]

[DOCID:fr08ja07-37]

**Download:** 

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DEPARTMENT OF EDUCATION

Office of Innovation and Improvement; Overview Information;  
Transition to Teaching Grant Program; Notice Inviting  
Applications for New Awards for Fiscal Year (FY) 2007

Catalog of Federal Domestic Assistance (CFDA) Number:  
84.350A, 84.350B, and 84.350.

Dates: Applications Available: January 8, 2007.

Deadline for Notice of Intent to Apply: February 7,  
2007.

Pre-Application Meeting: A pre-application meeting for  
prospective applicants will be held in January 2007 in  
Washington, DC. Further information on the date, time, and  
location will be made available through a notice published  
in the Federal Register and through the Transition to  
Teaching Web site at

[http://www.ed.gov/programs/transitionteach/applicant.html#t  
a](http://www.ed.gov/programs/transitionteach/applicant.html#t<br/>a)

Deadline for Transmittal of Applications: March  
26, 2007

Deadline for Intergovernmental Review: May 23, 2007.

Eligible Applicants: A State educational agency (SEA);  
a high-need local educational agency (LEA); a for-profit or  
nonprofit organization that has a proven record of  
effectively recruiting and retaining highly qualified  
teachers, in a partnership with a high-need LEA or an SEA;  
an institution of higher education (IHE) in a partnership  
with a high-need LEA or an SEA; a regional consortium of  
SEAs; or a consortium of high-need LEAs. For further  
information on whether an LEA qualifies as a ``high-need  
LEA,' ' see section III. 1. Eligible Applicants in this  
notice.

Estimated Available Funds: The Administration has  
requested \$44,484,000 for this program for FY 2007, of

which we intend to use an estimated \$19,000,000 for this competition. The actual level of funding, if any, depends on final Congressional action. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

The Department has established separate funding categories for projects of different scope. These categories are:

- (1) National/regional projects (84.350C) that serve eligible high-need LEAs in more than one State;
- (2) Statewide projects (84.350B) that serve eligible high-need LEAs statewide or eligible high-need LEAs in more than one area of a State; and
- (3) Local projects (84.350A) that serve one eligible high-need LEA or two or more eligible high-need LEAs in a single area of a State.

Estimated Range of Awards: National/regional projects--\$350,000-\$750,000 per year; Statewide projects--\$250,000-\$650,000 per year; and Local projects--\$150,000-\$450,000 per year.

Estimated Average Size of Awards: National/regional projects--\$600,000 per year; Statewide projects--\$375,000 per year; and Local projects--\$225,000 per year.

Estimated Number of Awards: National/regional projects--5; Statewide projects--20; and Local projects--40.

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

Project Period: Up to 60 months.

## Full Text of Announcement

### I. Funding Opportunity Description

Purpose of Program: The Transition to Teaching program encourages (1) the development and expansion of alternative routes to full State teacher certification, as well as (2) the recruitment and retention of highly qualified mid-career professionals, recent college graduates who have not majored in education, and highly qualified paraprofessionals as teachers in high-need schools operated by high-need LEAs, including charter schools that operate as high-need LEAs.

Priorities: The Department has established two competitive preference priorities that are explained in the following paragraphs. In accordance with 34 CFR 75.105(b)(2)(iv), Competitive Preference Priority 1 is from

section 2313(c) of the Elementary and Secondary Education Act of 1965, as amended (ESEA) (20 U.S.C. 6683(c)). Competitive Preference Priority 2 is from the notice of final priorities and requirements for this program, published in the Federal Register on April 30, 2004 (69 FR 24002) (NFP).

Competitive Preference Priorities: For FY 2007, these priorities are competitive preference priorities. Under 34 CFR 75.105(c)(2)(i), we award an additional 5 points to an application that meets Competitive Preference Priority 1, and up to an additional 10 points to an application, depending on how well the application meets Competitive Preference Priority 2. These points are in addition to any points the application earns under the program's selection criteria.

The priorities are:

Competitive Preference Priority 1--Partnerships or Consortia that include a High-need LEA or a High-need SEA. This priority supports projects that are designed and implemented in active partnerships or consortia that include at least one high-need LEA or high-need SEA.

Competitive Preference Priority 2--District Projects to Streamline Teacher Hiring Systems, Timelines, and Processes. This priority supports projects by one or more high-need LEAs to streamline their hiring systems, timelines, and processes. The project period is up to five years. A participating high-need LEA will need to conduct both of the following activities:

(a) Examine its current hiring system, processes, and policies to identify the critical barriers to hiring highly qualified teachers. The lack of highly qualified teachers in most urban and rural LEAs has often been attributed to their difficulty in recruiting interested and qualified individuals. However, recent research indicates that the problem may not be one of recruitment but may stem from inefficient and untimely LEA hiring systems and processes. This is especially true in high-poverty LEAs and schools--the very LEAs and schools the Transition to Teaching program is targeted to serve. Accordingly, each participating LEA will need to examine its current hiring processes and policies and, based upon that examination, identify the critical barriers to hiring highly qualified teachers.

(b) Design and implement efforts to remove the identified barriers and put in place systems that streamline and revamp the hiring process. In conducting this activity, LEAs are encouraged to create an efficient

and timely applicant hiring process with a strong data tracking system and clear hiring goals. These efforts also should involve negotiating policy reforms that remove critical barriers, such as delayed notification of vacancies and seniority and retirement rules.

Participating LEAs also will carry out the requirements of the Transition to Teaching program by recruiting nontraditional candidates, using the streamlined hiring system to hire these individuals for teaching in high-need schools, working with them to achieve full State certification, and retaining them for at least three years.

Note: Applicants that choose to respond to Competitive Preference Priority 2 may do so however they choose. Those that respond to this priority may want to consider addressing such key factors as: (1) The existing barriers to early notification and hiring of new teachers; (2) the active engagement of LEA officials, teacher unions, and other stakeholders in developing a plan to remove existing barriers and implementing changes; (3) the actions each participating LEA intends to undertake to implement policies and systems for early notification and hiring of new teachers; and (4) a timeline for major action steps that each participating LEA intends to implement to develop the new hiring policies and systems.

Program Authority: 20 U.S.C. 6681-6684.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98 and 99. (b) The notice of final priorities and requirements for this program published in the Federal Register on April 30, 2004 (69 FR 24002) (NFP).

Note: The regulations in 34 CFR part 79 apply to all applicants except federally recognized Indian tribes.

Note: The regulations in 34 CFR part 86 apply to IHEs only.

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: The Administration has requested \$44,484,000 for this program for FY 2007, of which we intend to use an estimated \$19,000,000 for this

competition. The actual level of funding, if any, depends on final Congressional action. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

The Department has established separate funding categories for projects of different scope. These categories are:

- (1) National/regional projects (84.350C) that serve eligible high-need LEAs in more than one State;
- (2) Statewide projects (84.350B) that serve eligible high-need LEAs statewide or eligible high-need LEAs in more than one area of a State; and
- (3) Local projects (84.350A) that serve one eligible high-need LEA or two or more eligible high-need LEAs in a single area of a State.

Estimated Range of Awards: National/regional projects--\$350,000-\$750,000 per year; Statewide projects--\$250,000-\$650,000 per year; and Local projects--\$150,000-\$450,000 per year.

Estimated Average Size of Awards: National/regional projects--\$600,000 per year; Statewide projects--\$375,000 per year; and Local projects--\$225,000 per year.

Estimated Number of Awards: National/regional projects--5; Statewide projects--20; and Local projects--40.

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

Project Period: Up to 60 months.

### III. Eligibility Information

1. Eligible Applicants: An SEA; a high-need LEA; a for-profit or nonprofit organization that has a proven record of effectively recruiting and retaining highly qualified teachers, in a partnership with a high-need LEA or an SEA; an IHE in a partnership with a high-need LEA or an SEA; a regional consortium of SEAs; or a consortium of high-need LEAs. Each application must identify participating LEAs that meet the definition of 'high-need LEA' in section 2102(3) of the ESEA.

Note: Section 2102(3) of the ESEA defines a high-need LEA as an LEA--

(a) That serves not fewer than 10,000 children from families with incomes below the poverty line (as that term is defined in section 9101(33) of the ESEA), or for which



not less than 20 percent of the children served by the LEA are from families with incomes below the poverty line; and

(b) For which there is (1) a high percentage of teachers not teaching in the academic subjects or grade levels that the teachers were trained to teach, or (2) a high percentage of teachers with emergency, provisional, or temporary certification or licensing.

The NFP describes how applicants must demonstrate that a participating LEA meets this statutory definition of ``high-need LEA.'' (69 FR 24002, 24006). Pursuant to the NFP, we provide the following supplementary information regarding the data an applicant uses to demonstrate eligibility as a ``high-need LEA'' under this competition:

As described in the NFP, absent a showing of alternative LEA data that reliably show the number of children from families with incomes below the poverty line that are served by the LEA, the eligibility of an LEA as a ``high-need LEA'' under component (a) of the definition must be determined on the basis of the most recent U.S. Census Bureau data. The most recent U.S. Census Bureau data can be found in the charts on the Internet at:

<http://www.census.gov/hhes/www/saipe/downloads/sd04/>. The Department examines the eligibility of any LEA not listed on these charts on a case-by-case basis.

As discussed in the NFP, with respect to component (b)(1) of the definition of ``high-need LEA,'' whether an LEA has a ``high percentage of teachers not teaching in the academic subjects or grade levels that the teachers were trained to teach'' is determined on a case-by-case basis.

In addition, as noted in the NFP, with respect to component (b)(2) of the definition of ``high-need LEA,'' an LEA has a ``high percentage'' of teachers with emergency, provisional, or temporary certification or licensing if the percentage of teachers on waivers, as the LEA reported to the State for purposes of the State's latest report to the Secretary under section 207 of the Higher Education Act of 1965 (HEA), was at least the national average percentage of teachers on waivers of State certification for all LEAs. As outlined in the NFP, the Secretary determines the national average percentage of teachers on waivers based on data contained in the most currently available HEA section 207 State reports. At the time of publication of this notice, the Department has received all 2006 State HEA section 207 reports and those reports reflect a national percentage of teachers on waivers of State certification in all LEAs of 1.8 percent.

Because the Department is in the process of certifying all data received in the 2006 State HEA section 207 reports, the data in these reports, including the national average of teachers on waivers of State certification, are still provisional. However, to provide adequate time for the preparation and review of project applications and award of new grants before FY 2007 program funds lapse on September 30, 2007, the Department will use the 1.8 percent national average for purposes of this competition. Accordingly, an LEA will be considered to have met component (b)(2) of the definition if the data that it provided to the State for purposes of the State's October 2006 HEA section 207 report demonstrate that at least 1.8 percent of its teachers were on waivers of State certification requirements.

2. Cost Sharing or Matching: This program does not involve cost sharing or matching but does involve supplement-not-supplant funding provisions. In accordance with section 2313(h)(2) of the ESEA, funds made available under this section shall be used to supplement, and not supplant, State and local public funds expended for teacher recruitment and retention programs, including programs to recruit teachers through alternative routes to certification.

3. Other: The NFP describes eligibility restrictions for individuals participating in this program.

#### IV. Application and Submission Information

1. Address to Request Application Package: Education Publications Center (ED Pubs), P.O. Box 1398, Jessup, MD 20794-1398. Telephone (toll free): 1-877-433-7827. FAX: (301) 470-1244. If you use a telecommunications device for the deaf (TDD), you may call (toll free): 1-877-576-7734.

You may also contact ED Pubs at its Web site: <http://www.ed.gov/pubs/edpubs.html> or you may contact ED Pubs at its e-mail address: [edpubs@inet.ed.gov](mailto:edpubs@inet.ed.gov).

If you request an application from ED Pubs, be sure to identify this competition as follows: CFDA number 84.350A, 84.350B, or 84.350C.

Individuals with disabilities may obtain a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) by contacting the program contact person listed under FOR FURTHER INFORMATION CONTACT in section VII of this notice.

2. Content and Form of Application Submission:  
Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this competition. Additional information concerning application content requirements is in the NFP.

Notice of Intent to Apply: February 7, 2007. The Department will be able to develop a more efficient process for reviewing grant applications if it has a better understanding of the number of entities that intend to apply for funding under this competition. Therefore, the Secretary strongly encourages each potential applicant to notify the Department by sending a short e-mail message indicating the applicant's intent to submit an application for funding. The e-mail need not include information regarding the content of the proposed application, only the applicant's intent to submit it. The Secretary requests that this e-mail notification be sent to Thelma Leenhouts at: [transitiontoteaching@ed.gov](mailto:transitiontoteaching@ed.gov).

Applicants that fail to provide this e-mail notification may still apply for funding.

Page Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. Applicants must limit Part III to the equivalent of no more than 50 pages, using the following standards:

A `page' is 8.5'' x 11'', on one side only, with 1'' margins at the top, bottom, and both sides.

Double space (no more than three lines per vertical inch) all text in the application narrative, except titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures and graphs.

Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).

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

Our reviewers will not read any pages of your application that--

Exceed the page limit if you apply these standards; or  
Exceed the equivalent of the page limit if you apply other standards.

3. Submission Dates and Times:

Applications Available: January 8, 2007.

Deadline for Notice of Intent to Apply: February 7, 2007.

Pre-Application Meeting: A pre-application meeting for prospective applicants will be held in January 2007 in Washington, DC. Further information on the date, time, and location will be made available through a notice published in the Federal Register and through the Transition to Teaching Web site at <http://www.ed.gov/programs/transitioteach>.

Deadline for Transmittal of Applications: March 26, 2007.

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

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

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under FOR FURTHER INFORMATION CONTACT.

Deadline for Intergovernmental Review: May 23, 2007.

4. Intergovernmental Review: This competition is subject to Executive Order 12372 and the regulations in 34 CFR part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this competition.

5. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice and in the NFP.

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

a. Electronic Submission of Applications. Applications for grants under the Transition to Teaching Competition--CFDA Number 84.350A, 84.350B, and 84.350C must be submitted electronically using the Governmentwide Grants.gov Apply site at <http://www.Grants.gov>. Through this site, you will

be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

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

You may access the electronic grant application for Transition to Teaching at <http://www.Grants.gov>. You must search for the downloadable application package for this program or competition by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.350, not 84.350A). Please note the following:

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

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

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

You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this program to ensure that you submit your application in a

timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov at <http://e-Grants.ed.gov/help/GrantsgovSubmissionProcedures.pdf>.

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

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

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

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

Your electronic application must comply with any page-

limit requirements described in this notice.

After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. (This notification indicates receipt by Grants.gov only, not receipt by the Department.) The Department then will retrieve your application from Grants.gov and send a second notification to you by e-mail. This second notification indicates that the Department has received your application and has assigned your application a PR/Award number (an ED-specified identifying number unique to your application).

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

**Application Deadline Date Extension in Case of Technical Issues with the Grants.gov System:** If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

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

If you submit an application after 4:30 p.m., Washington, DC time, on the application deadline date, please contact the person listed elsewhere in this notice under FOR FURTHER INFORMATION CONTACT and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your application by 4:30 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

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

date and time or if the technical problem you experienced is unrelated to the Grants.gov system.

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

You do not have access to the Internet; or

You do not have the capacity to upload large documents to the Grants.gov system; and

No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application.

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

Address and mail or fax your statement to: Thelma Leenhouts, U.S. Department of Education, 400 Maryland Avenue, SW., room 4W302, Washington, DC 20202-5960. FAX: (202) 401-8466.

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

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

By mail through the U.S. Postal Service: U.S. Department of Education, Application Control Center, Attention: (CFDA Numbers: 84.350A, 84.350B, or 84.350C), 400 Maryland Avenue, SW., Washington, DC 20202-4260; or

By mail through a commercial carrier: U.S. Department of Education, Application Control Center, Stop 4260,



Attention: (CFDA Numbers: 84.350A, 84.350B, or 84.350C),  
7100 Old Landover Road, Landover, MD 20785-1506.

Regardless of which address you use, you must show proof of mailing consisting of one of the following:

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

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

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

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

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

c. Submission of Paper Applications by Hand Delivery. If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address: U.S. Department of Education, Application Control Center, Attention: (CFDA Numbers: 84.350A, 84.350B, or 84.350C), 550 12th Street, SW., Room 7041, Potomac Center Plaza, Washington, DC 20202-4260.

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

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

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

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

## V. Application Review Information

1. Selection Criteria: The selection criteria for this competition are from the statute for this program and Sec. 75.210 of EDGAR and are listed in this section. The maximum score for all the selection criteria is 100 points. The maximum score for each criterion is indicated in parentheses. Each criterion also includes the factors that the reviewers will consider in determining how well an application meets the criterion. In addressing each criterion, applicants are encouraged to make explicit connections to relevant aspects of responses to other selection criteria.

The Notes we have included after each criterion are guidance to assist applicants in understanding the criterion as they prepare their applications and are not required by statute or regulation.

A. Significance of the Project (20 points). The Secretary considers the significance of the proposed project. In determining the significance of the proposed project, the Secretary considers the following factors:

(1) The significance of the problem or issue to be addressed by the proposed project.

(2) The likelihood that the proposed project will result in system change or improvement.

(3) The extent to which the proposed project involves the development or demonstration of promising new strategies that build on, or are alternatives to, existing strategies.

(4) 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.

Note: The Secretary encourages applicants to address this criterion by identifying specific gaps and weaknesses in the services and infrastructure currently in place for the recruitment, selection, preparation, placement, and retention of teachers and by stating how the proposed project will address these gaps and weaknesses. The

Secretary encourages applicants to identify (1) current barriers that the high-need LEAs to be served by the project face in meeting their teacher recruitment needs, including, if relevant, barriers caused by existing State certification or licensure requirements, (2) why these barriers exist, and (3) how the project would significantly help those LEAs overcome these barriers.

Applicants are also encouraged to address this criterion by connecting the project design to the needs of the partner districts and identifying the specific teacher-shortage areas faced by the participating high-need LEAs on which their proposed projects would focus. These may include such high-need subject areas as mathematics, science, special education, and English as a second language, and particular grade levels, including middle and high schools. Applicants should understand that a project's strategy for helping participating high-need LEAs to identify and hire highly qualified individuals to fill teaching positions in high-need subjects may rely on existing alternative routes to certification, the expansion of alternative routes to certification into new areas, or the creation of wholly new alternative routes.

B. Quality of the Project Design (30 points). The Secretary considers the quality of the project design for the proposed project by considering how well the applicant describes a plan--

(1) To develop a program to recruit and retain highly qualified mid-career professionals (including highly qualified paraprofessionals) and recent graduates of an IHE as teachers in high-need schools operated by high-need LEAs; and

(2) To enable individuals to become eligible for teacher certification under State-approved alternative routes to certification programs within a reduced period of time, relying on such factors as experience, expertise, and academic qualifications in lieu of traditional course-work in education.

In considering the quality of the project design and the applicant's plan, the Secretary considers the following factors:

(a) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.

(b) The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice.

(c) The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs.

(d) The extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance.

Note: The Secretary encourages applicants to address this criterion by discussing the overall project model and its key components, and the degree to which the model's key components are based on sound research and practice, as well as the extent to which the proposed services address the identified needs of the participating high-need LEAs. Applicants may want to address such key components of project design as:

(1) Recruitment and selection, including identifying the target group(s) on which the program will focus and why and how the program is designed to rigorously select participants with the requisite content knowledge, skills, and commitment to teach in high-need LEAs and schools.

(2) Training and preparation, including how the project provides a route to certification that is accelerated, integrates coursework and field experience, and is adapted to participants' learning needs.

(3) Support services, including mentoring, that are designed to retain participants and meet their needs in terms of length, content, and means of delivery in order to be successful in high-needs schools and LEAs.

(4) Teacher placement, including evidence that the proposed project will meet the needs of high-need LEAs and is developed in coordination with appropriate partners, and that the project includes a system of tracking to meet statutory requirements.

(5) Certification, including consideration of how the timeline for achieving certification will meet the needs of participants, LEAs, and partners, as well as the ``Highly Qualified Teacher'' requirements established in section 9101(23) of the ESEA.

In addition, applicants are encouraged to clarify the means by which the project's specified outcomes and benefits may be sustained once Federal funding has ended.

C. Quality of Project Services (20 points). In determining the quality of the services to be provided by the proposed project, the Secretary considers the following factors:

(1) The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services.

(2) 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.

(3) The extent to which the training or professional development services to be provided by the proposed project are likely to alleviate the personnel shortages that have been identified or are the focus of the proposed project.

(4) 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.

Note: The Secretary encourages applicants to address this criterion by discussing how the proposed project services will meet the needs both of the high-need LEAs identified in the application and of the program participants they would recruit to become teachers. Applicants are encouraged to consult the list of authorized activities in section 2313(g) of the ESEA in describing the specific services to be delivered to recruit, prepare, and retain participants that will increase the number of highly qualified teachers in high-need schools in high-need LEAs. In addition, the Secretary encourages applicants to consider carefully the breadth of activities that section 2313(g) of the ESEA authorizes and then to address how the project will:

(1) Provide training that meets the learning needs of the participants and makes use of appropriate media (such as face-to-face instruction, Web-based instruction, and distance learning) to provide them with the skills needed to be highly qualified and effective teachers in the identified high-need subject areas and high-need schools and LEAs.

(2) Support project participants' success in high-need schools and LEAs, during the period of their service obligation, through individual mentoring, support of participants as a group, use of technology, or other appropriate means.

(3) Encourage the participation of all project partners, including school leaders, in providing services related to the recruitment, preparation, and retention of project participants and ensuring lasting benefits or outcomes. Applicants are encouraged to clarify the roles of partners in each phase of the project and the extent of coordination that will occur with similar efforts at the State and district levels. In addition, applicants are encouraged to consider how they might demonstrate (e.g., through narrative discussion, letters of support, or formal memoranda of understanding) the commitment of partners to the project, and the partners' understanding of responsibilities they have agreed to assume in service delivery.

D. Quality of the Management Plan (15 points). In determining the quality of the management plan for the proposed project, the Secretary considers 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.

Note: Section 75.112 of EDGAR requires an applicant for a multi-year grant to include a narrative that describes how and when, in each budget period of the project, the applicant plans to meet each project objective. The Secretary encourages applicants to address this criterion by including in this narrative a clear, well thought-out implementation plan that includes annual timelines, key project milestones, and a schedule of activities with sufficient time for developing an adequate implementation plan, as well as timelines for providing program participants the support they need in their initial years as teachers.

E. Quality of the Project Evaluation (15 points). The Secretary considers the quality of the evaluation to be conducted of the proposed project. In determining the quality of the evaluation to be conducted, the Secretary considers the following factors:

(1) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.

(2) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes.

Note: The Secretary encourages applicants to address this criterion by including benchmarks to monitor progress toward specific and measurable project objectives, as well as outcome measures to assess the impact on teaching and learning or other important outcomes for project participants. (The specific performance measures established for the overall Transition to Teaching program are discussed under Performance Measures in section VI of this notice. Section 2314 of the ESEA also requires grantees to submit both an interim evaluation of the first three years of the grant and a final evaluation at the end of the grant.)

The Secretary also encourages applicants to identify the individual or organization that has agreed to serve as evaluator for the project and describe the qualifications of that evaluator. Finally, with respect to the implementation of the program and monitoring progress toward achieving project objectives, applicants are encouraged to describe the following: (1) What types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports of results and outcomes will be available; and (7) how the applicant will use the information collected through the evaluation to monitor progress and improve implementation of the funded project and to provide accountability information about project success. Applicants are encouraged to design an evaluation that provides data for annual as well as midpoint and final reporting. Applicants are encouraged to devote an appropriate level of resources to project evaluation.

2. Review and Selection Process: Additional information concerning our review and selection of grant applications in this competition are contained in the NFP.

## VI. Award Administration Information

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

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

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

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

3. Reporting: The Secretary requires successful applicants to submit annual performance reports and, after the last year of the project, a final report. The annual performance report documents the grantee's yearly progress toward meeting expected programmatic and project specific outcomes. These outcomes must be based on measurable performance objectives including, but not limited to, the performance measures described in paragraph 4 of this section. These reports must evaluate--

(1) The grantee's progress in meeting the application's objectives;

(2) The project's effectiveness in meeting the purposes of the Transition to Teaching program; and

(3) The project's effect on the specific LEAs the project serves.

Among other things, the Department uses the annual performance reports to determine whether a grantee has demonstrated substantial progress in meeting the goals and objectives (as described in its approved application), and thereby merits a continuation award (for years 2-5). See Sec. 75.118 of EDGAR.

Grantees also will be required to submit a final performance report, due no later than 90 days after the end of the project period.

In addition, section 2314 of the ESEA requires grantees to submit to the Department and to the Congress interim and final evaluations at the end of the third and fifth years of the grant period, respectively. These evaluations must describe the extent to which high-need LEAs that received funds through the grant have met their goals relating to teacher recruitment and retention as described in the project application. Additional requirements pertaining to these reports are in the NFP.



For specific requirements on grantee reporting, please go to <http://www.ed.gov/fund/grant/apply/appforms.html>.

4. Performance Measures: The Secretary has established one performance indicator for assessing the effectiveness of the Transition to Teaching program: the percentage of new, highly qualified Transition to Teaching teachers who teach in high-need schools in high-need LEAs for at least three years. We will track this indicator through the use of the following three performance measures. We will gather the data for these measures from the grantees.

Measure One: The percentage of all Transition to Teaching participants who become teachers of record in high-need schools in high-need LEAs. For this measure we will collect data on the number of participants and the number of teachers of record in high-need schools in high-need LEAs.

Measure Two: The percentage of Transition to Teaching participants receiving certification/licensure within three years. For this measure, we will collect data on the number of participants who become certified within three years.

Measure Three: The percentage of Transition to Teaching teachers of record who teach in high-need schools in high-need LEAs for at least three years. For this measure, we will collect data on the number of participants who become teachers of record who have been teaching in high-need schools in high-need LEAs for at least three years.

## VII. Agency Contacts

For Further Information Contact: Thelma Leenhouts or Anthony Sepulveda, U.S. Department of Education, 400 Maryland Avenue, SW., room 4W320, Washington, DC 20202. Telephone: (202) 260-0223 (Thelma Leenhouts) or (202) 260-0464 (Anthony Sepulveda). By e-mail: [transitiontoteaching@ed.gov](mailto:transitiontoteaching@ed.gov).

If you use a telecommunications device for the deaf (TDD), you may call the Federal Relay Service (FRS) at 1-800-877-8339.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the program contact persons listed in this section.

## VIII. Other Information

Electronic Access to This Document: You may view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site: <http://www.ed.gov/news/fedregister>.

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498 or in the Washington, DC, area at (202) 512-1530.

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

Dated: January 3, 2007.

Morgan S. Brown, Assistant Deputy Secretary for Innovation and Improvement.

[FR Doc. E7-34 Filed 1-5-07; 8:45 am]

## Authorizing Legislation

### **Title II, Part C, Subpart 1 of the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the No Child Left Behind Act of 2001 (P. L. 107.110)**

#### **Chapter B — Transition to Teaching Program**

##### SEC. 2311. PURPOSES.

The purposes of this chapter are —

- (1) to establish a program to recruit and retain highly qualified mid-career professionals (including highly qualified paraprofessionals), and recent graduates of an institution of higher education, as teachers in high-need schools, including recruiting teachers through alternative routes to certification; and
- (2) to encourage the development and expansion of alternative routes to certification under State-approved programs that enable individuals to be eligible for teacher certification within a reduced period of time, relying on the experience, expertise, and academic qualifications of an individual, or other factors in lieu of traditional course work in the field of education.

##### SEC. 2312. DEFINITIONS.

In this chapter:

(1) **ELIGIBLE PARTICIPANT**- The term 'eligible participant' means--

(A) an individual with substantial, demonstrable career experience, including a highly qualified paraprofessional; or

(B) an individual who is a graduate of an institution of higher education who —

(i) has graduated not more than 3 years before applying to an eligible entity to teach under this chapter; and

(ii) in the case of an individual wishing to teach in a secondary school, has completed an academic major (or courses totaling an equivalent number of credit hours) in the academic subject that the individual will teach.

(2) **HIGH-NEED LOCAL EDUCATIONAL AGENCY**- The term high-need local educational agency' has the meaning given the term in section 2102.

(3) **HIGH-NEED SCHOOL**- The term high-need school' means a school that —

(A) is located in an area in which the percentage of students from families with incomes below the poverty line is 30 percent or more; or

(B)(i) is located in an area with a high percentage of out-of-field teachers, as defined in section 2102;

- (ii) is within the top quartile of elementary schools and secondary schools statewide, as ranked by the number of unfilled, available teacher positions at the schools;
- (iii) is located in an area in which there is a high teacher turnover rate; or
- (iv) is located in an area in which there is a high percentage of teachers who are not certified or licensed.

#### SEC. 2313. GRANT PROGRAM.

(a) IN GENERAL- The Secretary may establish a program to make grants on a competitive basis to eligible entities to develop State and local teacher corps or other programs to establish, expand, or enhance teacher recruitment and retention efforts.

(b) ELIGIBLE ENTITY- To be eligible to receive a grant under this section, an entity shall be —

- (1) a State educational agency;
- (2) a high-need local educational agency;
- (3) a for-profit or nonprofit organization that has a proven record of effectively recruiting and retaining highly qualified teachers, in a partnership with a high-need local educational agency or with a State educational agency;
- (4) an institution of higher education, in a partnership with a high-need local educational agency or with a State educational agency;
- (5) a regional consortium of State educational agencies; or
- (6) a consortium of high-need local educational agencies.

(c) PRIORITY- In making such a grant, the Secretary shall give priority to a partnership or consortium that includes a high-need State educational agency or local educational agency.

(d) APPLICATION-

(1) IN GENERAL- To be eligible to receive a grant under this section, an entity described in subsection (b) shall submit an application to the Secretary at such time, in such manner, and containing such information as the Secretary may require.

(2) CONTENTS- The application shall describe —

(A) one or more target recruitment groups on which the applicant will focus its recruitment efforts;

(B) the characteristics of each such target group that —

(i) show the knowledge and experience of the group's members; and

(ii) demonstrate that the members are eligible to achieve the objectives of this section;

(C) describe how the applicant will use funds received under this section to develop a teacher corps or other program to recruit and retain highly qualified mid-career professionals (which may include highly qualified paraprofessionals), recent college graduates, and recent graduate school graduates, as highly

qualified teachers in high-need schools operated by high-need local educational agencies;

(D) explain how the program carried out under the grant will meet the relevant State laws (including regulations) related to teacher certification or licensing and facilitate the certification or licensing of such teachers;

(E) describe how the grant will increase the number of highly qualified teachers, in high-need schools operated by high-need local educational agencies (in urban or rural school districts), and in high-need academic subjects, in the jurisdiction served by the applicant; and

(F) describe how the applicant will collaborate, as needed, with other institutions, agencies, or organizations to recruit (particularly through activities that have proven effective in retaining highly qualified teachers), train, place, support, and provide teacher induction programs to program participants under this chapter, including providing evidence of the commitment of the institutions, agencies, or organizations to the applicant's programs.

(e) DURATION OF GRANTS- The Secretary may make grants under this section for periods of 5 years. At the end of the 5-year period for such a grant, the grant recipient may apply for an additional grant under this section.

(f) EQUITABLE DISTRIBUTION- To the extent practicable, the Secretary shall ensure an equitable geographic distribution of grants under this section among the regions of the United States.

(g) USES OF FUNDS-

(1) IN GENERAL- An entity that receives a grant under this section shall use the funds made available through the grant to develop a teacher corps or other program in order to establish, expand, or enhance a teacher recruitment and retention program for highly qualified mid-career professionals (including highly qualified paraprofessionals), and recent graduates of an institution of higher education, who are eligible participants, including activities that provide alternative routes to teacher certification.

(2) AUTHORIZED ACTIVITIES- The entity shall use the funds to carry out a program that includes two or more of the following activities:

(A) Providing scholarships, stipends, bonuses, and other financial incentives, that are linked to participation in activities that have proven effective in retaining teachers in high-need schools operated by high-need local educational agencies, to all eligible participants, in an amount not to exceed \$5,000 per participant.

(B) Carrying out pre- and post-placement induction or support activities that have proven effective in recruiting and retaining teachers, such as —

(i) teacher mentoring;

(ii) providing internships;

(iii) providing high-quality, preservice coursework; and

(iv) providing high-quality, sustained inservice professional development.

(C) Carrying out placement and ongoing activities to ensure that teachers are placed in fields in which the teachers are highly qualified to teach and are placed in high-need schools.

(D) Making payments to pay for costs associated with accepting teachers recruited under this section from among eligible participants or provide financial incentives to prospective teachers who are eligible participants.

(E) Collaborating with institutions of higher education in developing and implementing programs to facilitate teacher recruitment (including teacher credentialing) and teacher retention programs.

(F) Carrying out other programs, projects, and activities that are designed and have proven to be effective in recruiting and retaining teachers, and that the Secretary determines to be appropriate.

(G) Developing long-term recruitment and retention strategies including developing —

(i) a statewide or regionwide clearinghouse for the recruitment and placement of teachers;

(ii) administrative structures to develop and implement programs to provide alternative routes to certification;

(iii) reciprocity agreements between or among States for the certification or licensing of teachers; or

(iv) other long-term teacher recruitment and retention strategies.

(3) EFFECTIVE PROGRAMS- The entity shall use the funds only for programs that have proven to be effective in both recruiting and retaining teachers.

(h) REQUIREMENTS-

(1) TARGETING- An entity that receives a grant under this section to carry out a program shall ensure that participants in the program recruited with funds made available under this section are placed in high-need schools operated by high-need local educational agencies. In placing the participants in the schools, the entity shall give priority to the schools that are located in areas with the highest percentages of students from families with incomes below the poverty line.

(2) SUPPLEMENT, NOT SUPPLANT- Funds made available under this section shall be used to supplement, and not supplant, State and local public funds expended for teacher recruitment and retention programs, including programs to recruit the teachers through alternative routes to certification.

(3) PARTNERSHIPS AND CONSORTIA OF LOCAL EDUCATIONAL AGENCIES- In the case of a partnership established by a local educational agency to carry out a program under this chapter, or a consortium of such agencies established to carry out a program under this

chapter, the local educational agency or consortium shall not be eligible to receive funds through a State program under this chapter.

(i) PERIOD OF SERVICE- A program participant in a program under this chapter who receives training through the program shall serve a high-need school operated by a high-need local educational agency for at least 3 years.

(j) REPAYMENT- The Secretary shall establish such requirements as the Secretary determines to be appropriate to ensure that program participants who receive a stipend or other financial incentive under subsection (g)(2)(A), but fail to complete their service obligation under subsection (i), repay all or a portion of such stipend or other incentive.

(k) ADMINISTRATIVE FUNDS- No entity that receives a grant under this section shall use more than 5 percent of the funds made available through the grant for the administration of a program under this chapter carried out under the grant.

#### SEC. 2314. EVALUATION AND ACCOUNTABILITY FOR RECRUITING AND RETAINING TEACHERS.

(a) EVALUATION- Each entity that receives a grant under this chapter shall conduct —

(1) an interim evaluation of the program funded under the grant at the end of the third year of the grant period; and

(2) a final evaluation of the program at the end of the fifth year of the grant period.

(b) CONTENTS- In conducting the evaluation, the entity shall describe the extent to which local educational agencies that received funds through the grant have met the goals relating to teacher recruitment and retention described in the application.

(c) REPORTS- The entity shall prepare and submit to the Secretary and to Congress interim and final reports containing the results of the interim and final evaluations, respectively.

(d) REVOCATION- If the Secretary determines that the recipient of a grant under this chapter has not made substantial progress in meeting such goals and the objectives of the grant by the end of the third year of the grant period, the Secretary —

(1) shall revoke the payment made for the fourth year of the grant period; and

(2) shall not make a payment for the fifth year of the grant period.

# TRANSITION TO TEACHING PROGRAM BACKGROUND

## Questions and Answers

### GENERAL APPLICATION INFORMATION

#### 1. Must applicants notify the Department of their intent to apply?

The Secretary strongly encourages each potential applicant to notify the Department with a short e-mail indicating the applicant's intent to submit an application for funding. This will give the Department a better understanding of the number of entities that intend to apply for funding under this grant, and allow for a more efficient process for reviewing grant applications. The e-mail need not include information regarding the content of the proposed application, only the applicant's intent to submit it. The Secretary requests that this e-mail notification be sent no later than February 7, 2007 to the following e-mail address: [Transitiontoteaching@ed.gov](mailto:Transitiontoteaching@ed.gov). Applicants that fail to provide this e-mail notification may still apply for funding.

#### 2. Which Catalog of Federal Domestic Assistance (CFDA) number applies to my application?

The CFDA number for the Transition to Teaching program is 84.350. In addition, each project is further identified by a letter code based on the geographic scope of the project.

**84.350A** is for local projects, i.e., those that serve one eligible high-need local educational agency (LEA) or two or more eligible high-need LEAs in a single area of a state;

**84.350B** is for statewide projects, i.e., those that serve eligible high-need LEAs statewide or eligible high-need LEAs in more than one area of a state; and

**84.350C** is for national/regional projects, i.e., those that serve eligible high-need LEAs in more than one state.

While the same requirements and selection criteria apply to all applications, it is important for applicants to indicate the pool in which they desire to have their applications reviewed.



### **3. How will the Department select applications to be funded?**

Applications will be evaluated by a three-person technical review panel and scored according to the program's selection criteria contained in the Notice Inviting Applications for New Awards for Fiscal Year (FY) 2007, as published in the Federal Register on January 8, 2007. Applicants are strongly encouraged to review these criteria carefully and to develop responses that fully and clearly address each criterion. An applicant can earn up to 100 points for responses to the selection criteria. An applicant can earn up to 15 additional points for responding to the competitive preference priorities that also are described in this Notice.

### **4. What are the competitive preference priorities for the FY 2007 competition, and how many additional points may an applicant earn by addressing them?**

The competitive preference priorities and available points for the FY 2007 competition are:

- (1) Partnerships or consortia that include a high-need LEA or a high-need State educational agency (SEA) (defined as an SEA of a State with at least one high-need LEA) (5 points); and
- (2) LEA projects to streamline teacher hiring systems, timelines, and processes (up to 10 points).

An applicant is not required to propose activities that address the competitive preference priorities. However, applicants that address these priorities can earn additional points by doing so. Only an application submitted by one or more high-need LEAs, i.e. proposals for which a high-need LEA would be the actual grantee, may receive priority points under the second competitive preference priority for projects that focus on streamlining LEA hiring practices.

### **5. Where in the application does an applicant address the competitive preference priorities?**

For Competitive Preference Priority 1, an applicant identifies the high-need LEA(s) and high-need SEA with which it has an active partnership – or that it is a high-need LEA or high-need SEA and has an active partnership with other entities – in a separate section of the project narrative entitled “Competitive Preference 1”.

For Competitive Preference Priority 2, an applicant addresses the priority in a separate section of the project narrative entitled “Competitive Preference Priority 2”. In addition, the applicant may wish to include information related to the competitive priority in responding to the selection criteria.

These sections are included in the overall application page limit.

## **ELIGIBILITY FOR GRANTS**

### **6. Who is eligible to receive a Transition to Teaching grant?**

The Department may award a Transition to Teaching grant to any of the following:

- A State educational agency;
- A high-need local educational agency (which includes a charter school that meets the definition of high-need school AND that the State considers to be an LEA)
- A for-profit or nonprofit organization that has a proven record of effectively recruiting and retaining highly qualified teachers, in a partnership with a high-need local educational agency or with a State educational agency;
- An institution of higher education, in a partnership with a high-need local educational agency or with a State educational agency;
- A regional consortium of State educational agencies; or
- A consortium of high-need local educational agencies.

### **7. May an existing grantee apply in this competition for another Transition to Teaching program grant?**

Section 2313(e) of the ESEA provides: “The Secretary may make grants under this section for periods of 5 years. At the end of the 5-year period for such a grant, the grant recipient may apply for an additional grant under this section.” The Department has not issued regulations that define or otherwise limit the scope of this provision.

At minimum, this statute prohibits a Transition to Teaching program grantee (including an eligible partnership or consortium of high-need LEAs or SEAs) from applying for a second grant until the first project has ended. Thus, the statute precludes a high-need LEA, high-need SEA, or existing partnership or consortium that already has received a Transition grant from applying for another Transition grant until its current project is over.

However where a high-need LEA, SEA, IHE, or nonprofit organization, either individually or as part of a partnership, now has a Transition grant, section 2313(e) does not preclude that entity from (1) joining with new entities to form a new partnership or consortium, and then (2) applying for a new program grant that would implement significantly different project activities. For example, a large urban high-need LEA, either as a sole grantee or that is partnering with an IHE or non-profit organization in a currently funded project, could join with other entities in a new partnership and apply for

funds to recruit Transition to Teaching participants to become teachers in new subjects or different high-need areas of the district.

## **8. What is a State Education Agency (SEA)?**

The Elementary and Secondary Education Act (ESEA), as amended by the No Child Left Behind Act of 2001, defines a State educational agency as “the agency primarily responsible for the State supervision of public elementary schools and secondary schools.”

## **9. What is a “high-need local educational agency (LEA)?**

For the Transition to Teaching program, a high-need LEA is an LEA that meets two specific requirements—one addressing poverty and the other addressing the quality of the LEAs current teacher workforce. Specifically, a “high-need” LEA is one—

(1)(a) that serves not fewer than 10,000 children from families with incomes below the poverty line; **or**

(1)(b) for which not less than 20 percent of the children served by the LEA are from families with incomes below the poverty line;

### **AND**

(2)(a) for which there is a high percentage of teachers not teaching in the subjects or grade levels that the teachers were trained to teach; **or**

(2)(b) for which there is a high percentage of teachers with emergency, provisional, or temporary certification or licensing.

Every Transition to Teaching grantee must work to ensure that all project participants are hired to work in high-need schools operated by high-need LEAs.

## **10. What data are needed to verify that an LEA meets the “high-need” requirement?**

The definition of a high-need LEA and an explanation of the data needed to confirm that the LEA meets this definition are addressed in the Federal Register on January 8, 2007. They also are addressed in the Instructions for Project Narrative provided in the application package.

Each application must confirm that all LEAs identified as participants in the project are high-need LEAs. An LEA must meet the components for both poverty (1a or 1b above) **and** quality of the current teacher workforce (2a or 2b above) of the definition of “high-need LEA.”

To determine if an LEA meets the poverty component, an applicant must use the most current Census Bureau data. The link to Census Bureau data is <http://www.census.gov/hhes/www/saipe/district.html>

The Department also has these data available on its website at: <http://www.ed.gov/programs/lsl/eligibility.html> .

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.

For the component on the quality of the LEA's current teacher workforce, applicants should obtain information from appropriate officials in each LEA regarding the LEA's percentage of teachers teaching out of field or teaching on waivers of State certification or licensure. The Department will determine whether or not a district has a high percentage of teachers teaching out of field on a case-by-case basis. For teachers on waivers of State certification or licensure, the Department considers 1.8% or higher to be a "high percentage of teachers with emergency, provisional, or temporary certification or licensing".

**11. Does the definition of "high-need LEA" include a regional service agency, intermediate educational unit, or similar agency that is established by the State to provide administrative and technical assistance and support to LEAs?**

Only in rare circumstances. These agencies may be considered LEAs under the ESEA since this law defines LEA to include any public authority "legally constituted within a State for either administrative control or direction of, or to perform a service function for, public [schools] in a city, county, township, school district, or other political subdivision of a State, or for a combination of school districts or counties that is recognized in a State as an administrative agency for its public schools".

However, these agencies will generally not be "high-need" LEAs since they rarely will employ teachers and be able to meet the statutory requirement of having "a high percentage of teachers teaching out-of-field or with emergency, provisional, or temporary certification or licensing".

**12. Which eligible applicants (see Question 6) are eligible to receive additional points under Competitive Preference Priority 2?**

Only an applicant that is a high-need LEA or consortia of high-need LEAs may receive additional points under Competitive Preference Priority 2 (LEA projects to streamline teacher hiring systems, timelines, and processes). Hence, if the project is selected for a grant, only a high-need LEA may be the grantee (fiscal agent). Any other entity may be a partner with one of these applicants.

## **PARTICIPANT ELIGIBILITY**

### **13. Who is eligible to participate in projects funded by the Transition to Teaching program?**

Eligible participants include an individual who:

- Has substantial, demonstrable career experience, including a highly qualified paraprofessional, or
- is a graduate of an institution of higher education who—
  - (i) has graduated not more than three years before applying to participate in a Transition to Teaching project; and
  - (ii) in the case of an individual wishing to teach in a secondary school, has completed an academic major (or courses totaling an equivalent number of credit hours) in the core academic subject that the individual will teach.
- is teaching on a provisional, temporary, or emergency license *prior* to recruitment into a Transition to Teaching project, and who qualifies either as a mid-career professional or a recent college graduate.

### **14. Are individuals who are fully certified or licensed as teachers eligible to participate in the Transition to Teaching Program?**

No. The program is designed to facilitate the certification or licensing of teachers, thereby *increasing* the number of highly qualified teachers who can teach in high-need schools in high-need LEAs.

### **15. Who is considered to be a highly qualified paraprofessional?**

A highly qualified paraprofessional means a paraprofessional who has not less than two (2) years of —

- (a) Experience in a classroom; and
- (b) Postsecondary education or demonstrated competence in a field or academic subject for which there is a significant shortage of qualified teachers.

### **16. Are there any requirements that program participants must agree to meet?**

Yes. The Transition to Teaching program statute requires all program participants to teach for at least three (3) years in a high-need school operated by a high-need LEA.

**17. May projects place teachers in high-need schools that are not operated by high-need LEAs?**

No, both the school and the LEA must meet their respective definitions of “high-need”.

**18. Can participants in the Transition to Teaching Program who are not fully certified meet the “highly qualified teacher” requirement of NCLB and be placed in teaching positions?**

Yes, the Department’s guidance on meeting the highly qualified teacher requirements of NCLB permits teachers who are not yet fully certified to be considered to meet the certification requirements in the NCLB definition of a highly qualified teacher if they are participating in an alternative route to certification program. A teacher in an alternate route to certification program may be considered highly qualified if the teacher holds at least a bachelor’s degree, has already demonstrated subject-matter competency in the core academic subject(s) the teacher will be teaching, and is participating in an alternate route to certification program in which the teacher:

- receives, before and while teaching, high-quality professional development that is sustained, intensive, and classroom-focused in order to have a positive and lasting impact on classroom instruction;
- participates in a program of intensive supervision that consists of structured guidance and regular ongoing support for teachers or in a teacher mentoring program;
- assumes functions as a teacher for a period not to exceed three years; and
- demonstrates satisfactory progress toward full certification as prescribed by the State.

The State must ensure, through its certification and licensure process, that these provisions are met [Section 200.56(a)(2) of the *Title I* regulations, December 2, 2002]. If the teacher does not complete the alternative certification program within the three-year period, the teacher is no longer considered to be highly qualified.

**19. Are participants required to teach certain high-need subjects? If so, what are they?**

Yes. For purposes of the Transition to Teaching program, a high-need subject at all grade levels (elementary, middle and high school) means English, reading or language arts, mathematics, science, foreign languages, civics and government, economics, arts, history, geography, special education, and English as a second language (ESL). These subjects include the “core academic subjects” specified in section 9101(11) of the ESEA in addition to special education and ESL.

## **PROGRAM ACTIVITIES**

### **20. What activities are authorized under the Transition to Teaching Program?**

Applicants are required to carry out a program that includes two or more of the program's authorized activities. These activities include: recruitment and retention activities, including developing long term strategies to recruit and retain teachers; payment of recruitment costs or financial incentives; assistance to ensure participants are placed in high-need schools and teaching subjects which they are qualified to teach; pre- and post-induction or support activities; and collaborating with institutions of higher education to facilitate teacher recruitment, credentialing, and retention.

An applicant has tremendous flexibility to use these authorized activities to design a project that meets the needs of the particular high-need LEAs to be served. Applicants should note, however, that program funds must be used to supplement, and not supplant, State and local funds spent to support teacher recruitment and retention programs, including programs to recruit teachers through alternative routes to certification.

### **21. Is there a limit on the number of years during which an applicant can recruit participants?**

No. However, the program statute clearly intends that funded projects work to ensure the certification or licensing of participants that are recruited into the projects. Therefore, consistent with the program statute, an applicant must ensure that its recruitment activities are designed to provide adequate time for participants to receive the training and support needed for participants to achieve this outcome.

## **FINANCIAL INCENTIVES AND REPAYMENT**

### **22. Are projects allowed to provide financial incentives to program participants?**

Yes. Section 2313(g)(2)(A) of the ESEA permits a grant recipient to use program funds to provide scholarships, stipends, bonuses, and other financial incentives to all eligible participants in an amount not to exceed \$5,000 per participant. These financial incentives must be linked to participation in activities that have proven effective in retaining teachers in high-need schools operated by high-need LEAs.

### **23. What responsibility does the receipt of a financial incentive place on a participant?**

Under this program, participants who receive a scholarship, stipend, bonus, or other financial incentive but fail to teach for at least three years in a high-need school operated by a high-need LEA (the participant's "service obligation") are responsible for repaying all or a portion of the amount they received.

The Department has not yet published rules on what common requirements and repayment agreement should govern the scholarship, stipend, bonus, or other financial incentives that project participants receive out of Transition to Teaching program funds. Until it announces these requirements, the Department is having grantees develop their own agreements with project participants under which participants would repay the grantees for any scholarship, stipend, bonus, or other financial incentives they had received should they not meet the program's service obligation. The Department has announced its intent that any common requirements it establishes would apply only to participants who had not yet received these financial incentives.

## **BUDGET**

### **24. Must applicants describe their proposed multiyear project activities and provide a multiyear budget?**

Yes. Section 75.112(b) of the Education Department General Administrative Regulations (EDGAR) requires that applications include “a narrative that describes how and when, in each budget period of the project, the applicant plans to meet each objective of the project.” For funded projects, the Department will use this information both for purposes of monitoring and providing assistance, and for determining if a grantee has made substantial progress toward meeting the approved application and thereby, under section 75.253 of EDGAR, deserve a continuation award.

Applicants for new awards also must provide a detailed proposed budget and budget narrative using ED form SF 524 for all budget years of the proposed project, not just the first year. Before awarding a grant for the initial budget year, the Department will determine the size of award a grant recipient will receive for each year of the project (assuming availability of appropriations and that the grantee's receipt of a continuation award for future years is warranted). See sections 75.117, 75.232, and 75.253 of EDGAR.

In their proposed budget, applicants should include costs for the project director and evaluator to attend the annual project directors' meeting in Washington, DC. In addition, in their annual performance reports, grantees will need to report on the number of project participants who have fulfilled their three-year service obligation. Applicants are encouraged to include costs for tracking participants—whether or not they receive financial incentives—to determine whether they have met the three-year obligation. For those projects that would provide financial incentives to participants, we also encourage applicants to include costs they anticipate to use for recovering stipends where participants have not fulfilled the service obligation.

### **25. What information should applicants consider in planning their use of Transition to Teaching program funds?**

Program funds may be used for any of the authorized activities described in section 2313(g) of the statute that would be needed to conduct an effective project. However, as



applicants build their proposed budgets, they should be aware that all costs must conform to requirements in EDGAR and the applicable cost principles in Office of Management and Budget Circulars: A-21 for institutions of higher education, A-87 for State and local agencies, and A-122 for non-profit organizations. Among other things, these cost principles contain basic rules that all costs charged to federal grants must be “necessary and reasonable” for the purposes of carrying out authorized grant activities.

In addition, section 2313(h)(2) contains a requirement that program funds “shall be used to supplement, and not supplant, State and local public funds expended for teacher recruitment and retention programs, including programs to recruit teachers through alternative routes to certification.”

## **26. Must projects provide participants with a stipend?**

No. Projects do not need to provide participants with a training stipend. If projects choose to provide participants with a stipend, the maximum amount is \$5000 per participant over the life of the project. (Please refer to the repayment requirement in the statute.) A stipend is any amount that is paid directly to a participant or provided to another entity in the name of the participant. Therefore, if the project pays tuition for a participant, that payment is considered a stipend and is charged against the \$5000 per participant.

Any amounts that are provided as stipends need to be identified in the project budget in the training stipends line item (524 Budget Form). They may not be included in the indirect cost percentage calculation.

## **27. Is there a maximum that a grantee may charge for administrative costs?**

The statute imposes a five percent (5%) limitation on the amount of administrative costs that a grantee (or any other entity) may charge to program funds. The Department does not have a standard definition of “administrative costs.” Therefore, applicants should use their own agency’s fiscal rules and procedures to determine what proposed costs are attributable to this category of costs and to adhere to the cost limitation.

## **28. Is there a restriction on the amount of indirect costs that may be charged to a Transition to Teaching program grant?**

Yes. By rule, the Department requires that the maximum indirect cost rate that may be applied to grants under this program is eight percent (8%) **or** the recipient’s negotiated restricted indirect cost rate, whichever is less. See sections 75.563 and 75.564 of EDGAR for information on the restricted indirect cost rate.

## **29. How do applicants obtain an indirect cost rate?**

If your organization has not established a restricted rate, you may request to negotiate one with the Department. Contact the Department’s Indirect Cost Group to begin the process.

Its website <http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html> contains contact information as well as specific information on indirect cost rates.

Since it may take several months before an indirect cost rate is negotiated, an applicant should use an indirect cost rate of no more than eight percent (8%) in the proposed budget. Be sure to note in the budget narrative that you are using a temporary indirect cost rate while you are negotiating a rate with the Department.

## **EVALUATION AND REPORTING**

### **30. What are the program's evaluation and reporting requirements?**

Section 2314 of the ESEA requires grantees to submit to the Secretary and to the Congress an interim and a final report at the end of the third and fifth years of the grant period, respectively. These reports must contain the results of the grantee's interim and final evaluations, which describe the extent to which LEAs that either receive program funds or otherwise participate in funded projects have met their teacher recruitment and retention goals.

The statute also requires that should the Department determine that a recipient of a grant has not made substantial progress in meeting project goals and objectives by the end of the third year of the grant period, it must revoke any payment made for the fourth year of the grant period and not make a payment for the fifth.

In addition, applicants are reminded that EDGAR requires grantees to submit an annual performance report that the Department will review to determine if a grantee is making substantial progress toward achievement of its approved objectives and thereby should receive a continuation award (see Question 24).

In addition to their progress in meeting individual project objectives, all grantees must report on their progress in meeting the Transition to Teaching program's overall performance indicators [see section on Government Performance and Results Act (GPRA)]. Data must be reported for the following three indicators:

- The number of Transition to Teaching (TTT) participants who become teachers of record in high-need schools in high-need LEAs
- The number of Transition to Teaching (TTT) participants receiving certification/licensure within three years
- The number of Transition to Teaching (TTT) teachers of record who teach in high-need schools in high-need LEAs for three years

The Department will provide further guidance to successful applicants to assist them in meeting these reporting requirements.

## Instructions for Completing the TTT Application Package

Applicants applying for the TTT program will use the following Grants.gov narrative forms:

[ED Abstract Narrative Attachment Form](#)

[Project Narrative Attachment Form](#)

[Budget Narrative Attachment Form](#)

[Other Attachments Form](#)

The [ED Abstract Narrative Attachment Form](#) is where you will attach your one-page program abstract.

The [Project Narrative Attachment Form](#) is where you will attach the narrative sections addressing the program selection criteria that will be used to evaluate applications submitted for this competition. This form will also include a separate narrative used to address the competitive preference priorities.

The [Budget Narrative Attachment Form](#) is where you will attach a detailed line item budget and any supplemental budget information.

The [Other Attachments Form](#) is where you will attach proposal appendices. This is where you will include the data justifying high-need LEA eligibility and the high-need subject and LEA commitments. Other information may include curriculum vitas of key personnel, examples of evaluation materials, etc. The Grants.gov system will allow applicants to attach as many as ten separate appendices in this section.

Applicants must use their own word-processing software to complete the TTT application.

Please complete the SF 424 first. Grants.gov will automatically insert the correct CFDA and program name wherever needed thereafter.

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 attachment forms listed above.

## **Instructions for ED Abstract Narrative**

Each applicant should submit a one page abstract. This abstract should be attached to the Grants.gov ED Abstract Narrative Attachment Form.

Applicants are encouraged to include the following items:

- Project title, if applicable
- School district(s) (LEAs) to be served.
- Summary of goals and expected outcomes for the project
- Participant goal (annual and total for the entire project)
- Type of participant (mid-career professional; recent college graduate; and/or paraprofessional)
- High-need subjects for which recruiting participants
- Project activities
- Any special features

## **Instructions for Project Narrative**

Applicants will attach the Project Narrative to the Project Narrative Attachment Form.

Applicants must limit the Project Narrative to the equivalent of no more than 50 pages using the following standards:

- A “page” is 8.5” x 11”, on one side only, with 1” margins at top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the project narrative, except titles, headings, footnotes, quotations, references, captions, and all text in charts, tables, and graphs.
- Use a 12 point font or larger.

Before preparing the project narrative, applicants should review --

- Notice Inviting Applications for FY 2007 and
- Transition to Teaching Program statute.

The *Notice Inviting Applications* provides applicants with instructions for preparing and submitting the application, information describing the competitive priorities that have been established for this competition, the selection criteria that will be used to evaluate the application, and other pertinent information concerning the competition for awards. Should an applicant choose to apply and meet eligibility requirements for one or both of the competitive priorities, the application can earn up to 115 points. In order to be considered for competitive priority points, the applicant must be sure to identify that the priority is addressed in the application and include the section as part of the project narrative.

It is expected that applicants will use the selection criteria to frame their project narratives. However, it is important that, when addressing the selection criteria, applicants describe how they will implement the statutorily required program components and authorized activities listed below.

### **Program Requirements and Authorized Activities**

Applicants must at a minimum demonstrate how they will:

- Use project funds to develop a teacher corps or other program for recruiting and retaining new teachers from among, and only among, eligible project participants (Sections 2313(d)(2)(A)-(C), 2313(g)(1));
- Work in collaboration, as needed, with other institutions, organizations, or agencies, to (1) recruit, (2) train, (3) place, (4) support, and (5) provide teacher induction programs to program participants (Section 2313(d)(2)(F));
- Help newly recruited individuals become certified or licensed teachers under provisions of State law (Section 2313(d)(2)(D)); and

- Increase the number of highly qualified teachers teaching high-need academic subjects in high-need urban or rural LEAs (Section 2313(d)(2)(E)).

To address the four components listed above the statute requires each applicant to conduct at least two of the following activities:

- Providing scholarships, stipends, bonuses, and other financial incentives to eligible participants that are linked to participation in activities that have proven effective in retaining teachers in high-need schools operated by high-need local educational agencies. These incentives may not exceed \$5000 per participant and may be provided only in exchange for a commitment to teach in high need schools for at least three years or repay all or a portion of these funds as the Secretary shall require.
- Carrying out pre-and post-placement induction or support activities that have proven effective in recruiting and retaining teachers, such as:
  - teacher mentoring;
  - providing internships;
  - providing high-quality preservice coursework; and
  - providing high-quality, sustained, in-service professional development.
- Carrying out placement and ongoing activities to ensure that teachers are placed in fields in which they are highly qualified to teach and placed in high-need schools.
- Paying costs associated with LEAs' recruitment, or providing financial incentives to prospective teachers.
- Collaborating with institutions of higher education in developing and implementing programs to facilitate teacher recruitment including teacher credentialing and teacher retention programs.
- Developing long-term recruitment and retention strategies, such as:
  - a statewide or region wide clearinghouse for the recruitment and placement of teachers;
  - administrative structures to develop and implement State-approved programs to provide alternative routes to certification;
  - reciprocity agreements between two or more States for the certification of licensing of teachers; or
  - other long-term teacher recruitment and retention strategies.

How applicants address the above listed program requirements and authorized activities is left to their own judgment, ingenuity, and imagination. **However, applicants must address how they will meet these requirements within their responses to the selection criteria.**

### **Competitive Priorities**

(Clearly identify responses to the priorities in the project narrative. An applicant's response to the competitive preference priority(ies) **will** be counted against the page limit requirement for the project narrative.)

For the purpose of this application, the Department has established two competitive priorities under the Transition to Teaching program for the FY2007 competition for grants. One competitive priority is from the statute for this program and the other competitive priority is from the notice of final priorities and requirements for this program published in the Federal Register on April 30, 2004 (69 FR 24002, 24005). Please note that only an eligible entity may apply to conduct these priority activities.

Applicants that address these priorities can earn additional points by doing so. The priorities and available points for the FY 2007 competition are –

(1) Partnerships or consortia that include a high-need LEA or a high-need SEA.

**(5 points)**

(2) District projects to streamline teacher hiring systems, timelines, and processes.

**(up to 10 points)**

An applicant that chooses to respond to competitive preference priority 1 need only to identify the high-need LEA or high-need SEA that will participate in the project.

An applicant that chooses to respond to competitive preference priority 2 must provide a clear description of the specific activities it will conduct to implement this priority. An applicant that responds to a competitive preference priority **must** also address each of the selection criteria. As appropriate, the applicant may describe a single, unified set of activities to address the factors both for the competitive priority and the related selection criteria. For example, the project's management plan may describe the activities that will be undertaken to assure that all project objectives (including the objectives specific to the priority activities) are achieved on time and within budget, noting the specific timelines and milestones for the priority activities and other major activities.

Note: Applications that address the priority to streamline district hiring systems may receive priority points under competitive preference priority 2 only if they are submitted by one or more high-need LEAs (i.e., a high-need LEA would be the grantee).

### **Selection Criteria**

**(Applicants must address each selection criterion in a clearly identified section in their project narrative.** An applicant's response to the selection criteria **will** be counted against the page limit requirement for the project narrative.)

The selection criteria outlined below will be used to evaluate the quality of applications submitted for funding. The full description of the selection criteria is contained in the Notice Inviting Applications. Within each criterion, there are specific factors that will be used in evaluating that criterion. Notes provided for each criterion offer additional information that may be helpful in responding to the selection criteria. In addition, the applicant should note the earlier discussion regarding addressing the required program components and authorized activities when responding to the selection criteria.

The maximum score that an applicant can earn for the selection criteria is 100 points. The maximum score for each criterion is indicated in parentheses following that criterion.

<b>Significance of the Project</b>	<b>(20)</b>
<b>Project Design</b>	<b>(30)</b>
<b>Quality of Project Services</b>	<b>(20)</b>
<b>Management Plan</b>	<b>(15)</b>
<b>Project Evaluation</b>	<b>(15)</b>

### **Significance of the Project (up to 20 points)**

In determining the significance of the proposed project, the Secretary considers the following factors:

- (1) The significance of the problem or issue to be addressed by the proposed project.
- (2) The likelihood that the proposed project will result in system change or improvement.
- (3) The extent to which the proposed project involves the development or demonstration of promising new strategies that build on, or are alternatives to, existing strategies.
- (4) 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.

### **Quality of the Project Design (up to 30 points)**

The Secretary considers the quality of the project design for the proposed project by considering how well the applicant describes a plan—

- A. To develop a program to recruit and retain highly qualified mid-career professions (including highly qualified paraprofessionals) and recent graduates of an IHE as teachers in high-need schools operated by high-need LEAs; and
- B. To enable individuals to become eligible for teacher certification under State-approved alternative routes to certification programs within a reduced period of time, relying on such factors as experience, expertise, and academic qualifications in lieu of traditional course-work in education.

In determining the quality of the project design and the applicant's plan, the Secretary considers the following factors:

- (1) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.
- (2) The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice.



- (3) The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs.
- (4) The extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance.

### **Quality of Project Services (up to 20 points)**

In determining the quality of the services to be provided by the proposed project, the Secretary considers the following factors:

- (1) The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services.
- (2) 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.
- (3) The extent to which the training or professional development services to be provided by the proposed project are likely to alleviate the personnel shortages that have been identified or are the focus of the proposed project.
- (4) 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.

### **Quality of the Management Plan (up to 15 points)**

In determining the quality of the management plan for the proposed project, the Secretary considers 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.

### **Quality of the Project Evaluation (up to 15 points)**

In determining the quality of the evaluation to be conducted, the Secretary considers the following factors:

- (1) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.
- (2) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes.

## **Performance Reports & Evaluations**

All TTT grantees must submit annual and final project performance reports using the ED 524B form. The ED 524B form may be accessed at <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

The ED 524B form contains four sections. *Section A* is for project objectives and performance measures, *Section B* is for budget information, *Section C* is for additional information and/or changes to the grant, and the *Executive Summary* will provide an overview of your grant.

These performance reports will assist TTT staff in determining whether or not the TTT project is making substantial progress toward meeting the approved project objectives. Project Directors will be responsible for submitting annual and final project performance reports. Project Directors are reminded to report on the following each year on the ED 524B form:

- Program (GPRA) Indicators
  - The number of Transition to Teaching (TTT) participants who become teachers of record in high-need schools in high-need LEAs
  - The number of Transition to Teaching (TTT) participants receiving certification/licensure within three years
  - The number of Transition to Teaching (TTT) teachers of record who teach in high-need schools in high-need LEAs for three years
- Specific project objectives and measures
  - It is expected that the overall project goals, specific project objectives, and the measures to determine whether or not the objectives have been met will be clearly outlined in the application and directly linked to the project design.

In addition, all Transition to Teaching (TTT) grantees are required to conduct and submit to the Department and to Congress and interim and final evaluation. These evaluations must describe the extent to which high-need LEAs that received funds through the grant have met their goals relating to teacher recruitment and retention as described in the project application. Additional requirements pertaining to these reports are in the application notice.

## Instructions for Budget Narrative

**Attach both the detailed line item budget (SF 524) AND the accompanying budget narrative justification** in the Budget Narrative Attachment Form

Applicants must describe their proposed multiyear project activities and present a multiyear budget. Section 75.112(b) of EDGAR 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.” In addition, projects must complete form SF524 for all budget years of the proposed project. Applicants should include costs for the project director and evaluator to attend the annual project directors’ meeting in Washington, DC. Further instructions are available in the budget form found in this package and in the Program Q&As.

The budget should include only costs that are allowable, reasonable and necessary for carrying out the objectives of the TTT project.

For each line item, provide detailed costs (in dollars) and narrative justification to support your request. Please check all figures and combined totals and compare the line item budget figures to those used on the ED Form 524 for both Sections A & B.

## **Instructions for Other Attachments**

Applicants will attach any appendices they may have to the Grants.gov Other Attachments Form. Please provide a special Table of Contents for the appendices. This is where you will include the data justifying high-need LEA eligibility and the high-need subject and LEA commitments. Other information may include curriculum vitas of key personnel, examples of evaluation materials, etc. 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.

## High-Need LEA Eligibility, High-Need Subject, and LEA Commitment

**Attach the data justifying high-need LEA eligibility and the high-need subject and LEA commitments for each LEA included in the application in the Other Narrative Attachment Form.**

### **High-Need LEA Eligibility**

Each application must contain data confirming that the applicant (if the applicant is an LEA) and/or each LEA with which the applicant will work, is a high-need LEA. The definition of fully described in the Notice Inviting Applications for New Awards published in the *Federal Register* on January 8, 2007.

Each LEA must meet **both** the poverty and teacher quality components of the definition of “high-need.” An optional table is provided below for submitting the required data. Applicants must either complete this table or use any other format that provides the required data. Note that for component B, the data source must be provided.

*Example:*

Name of the LEA	Percent of poverty				Percent of teachers				
	A1	#	A2	%	AND	B1	%	B2	%
<i>District XYZ</i>	X	24,543						X	6.20
<i>District ABC</i>			X	25.88				X	12.43
<b>Data Source for B1:</b> (identify separately for each LEA)									
<b>Data Source for B2:</b>	Waiver data submitted to State for State HEA Report (2006)								

### **Instructions for Providing Required Data for High-need LEA Eligibility**

#### **Component A**

**A1:** Provide data that demonstrate that the LEA (s) serves not fewer than 10,000 children from families with incomes below the poverty line; **OR**

**A2:** Provide data that demonstrate that the LEA (s) is one for which not less than 20 percent of the children served by the LEA are from families with incomes below the poverty line.

**Data Source for A1 or A2:**

The only consistent available data for all LEAs that reflect the statutory requirement for use of the total number or percentage of individuals age 5-17 from families below the poverty line are data from the U.S. Census Bureau. Therefore, unless an LEA is not included in the Census Bureau tables, the eligibility of an LEA as a “high-need LEA” under component A must be determined on the basis of the 2004 data from the U.S. Census Bureau.

**Census Bureau Data:** <http://www.census.gov/hhes/www/saipe/downloads/sd04/>  
Applicants should review the README file at this link.

This link provides the data needed for both components A1 and A2 for all listed LEAs. The fourth column for each LEA provides the *Estimated Number of Relevant Children 5 to 17 years old in Poverty Related to the Householder*; these are the data needed to find that the LEA meets the poverty criterion for A1. To determine the poverty percentage for A2, the number in column 4 must be divided by the number in column 3, *Population of Relevant Children 5 to 17 years of Age*. (For the example below, 1,282 would be divided by 4,954 and multiplied by 100, giving a percentage of 25.88. 25.88% would be reported as the data for component A2.

Example:

02 00050 ABC SCHOOL DISTRICT 17243 4954 1282 sd04\_ABC.txt

An additional link to Census data that provide the percent of children served by the LEA from families with incomes below the poverty line already calculated is available on the Department’s website at <http://www.ed.gov/programs/lsl/eligibility.html>.

**Component B**

Provide data that demonstrate that each participating LEA has a “high percentage” of teachers--

**B1:** Teaching out of field; **OR**

**B2:** With emergency, provisional, or temporary certification or licensing.

**Data Source for B1 or B2:**

**B1:** The Department does not have suitable data available with which to define a “high percentage” of teachers who are teaching “out-of-field.” Therefore, the Department will determine whether a district meets this aspect of the eligibility requirement on a case-by-case basis.

**B2:** For the FY 2007 competition, an LEA will be considered to have a “high percentage” of teachers with emergency, provisional, or temporary certification or licensing if the percentage of teachers on waivers of State certification or licensure (i.e., with an emergency, provisional, or temporary certification or license) that it reported to the State for the purposes of the State’s October 2006 Higher Education Act (HEA) report on the quality of teacher preparation in the State was at least 1.8 percent.

**Data Confirming High-Need LEA Eligibility**

*(Applicants may use the optional form or create their own to document LEA high-need eligibility, LEA commitment, and high-need subjects. The form should follow the application narrative. See application checklist. This optional table does not count against the page limit requirement for the project narrative.)*

Name of the LEA LEA	Percent of poverty				Percent of Teachers				
	A1	#	A2	%	AND	B1	%	B2	%
<b>Data Source for B1:</b> (identify separately for each LEA)									
<b>Data Source for B2:</b>									

**High-Need Subject and LEA Commitment**

Each applicant must confirm that it will meet the program requirements to recruit project participants to meet the need for teachers of high-need subjects in the LEAs participating in the project. Further, each applicant must confirm that the participating LEAs have indicated they will hire project participants if they have vacancies and are satisfied that the participants are qualified.

To confirm that it will meet these requirements, an applicant may use the checklist below and complete and submit it with the application or may provide other documentation such as a letter of commitment from an authorizing official for each LEA.

\_\_\_\_ (check) The applicant confirms that all LEAs listed in the application with which the applicant will partner have identified the **high-need subjects** they need individuals recruited through this program to teach, and that the applicant will recruit eligible participants to teach only these high-need subjects.

\_\_\_\_ (check) The applicant confirms that each LEA listed in the application with which the applicant will partner will hire individuals recruited through this program to meet the LEA’s teaching needs, assuming that the LEA still has positions to fill and is satisfied that the individuals are qualified to teach the high-need subjects for which the LEA needs teachers.



# General Education Provisions Act (GEPA) Section 427

**\*ALL APPLICANTS FOR NEW AWARDS 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 may prevent your students, teachers, etc. from such access or participation in the federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable 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.*

**\*Note: Applicants are required to address this provision by attaching a statement to the ED GEPA 427 Form that must be downloaded from Grants.gov.**



# Government Performance and Results Act (GPRA)

## What is GPRA?

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

## How has the Department of Education Responded to the GPRA Requirements?

As required by GPRA, the Department of Education has prepared a strategic plan for 2002-2007. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

- Goal 1: Create a Culture of Achievement.*
- Goal 2: Improve Student Achievement*
- Goal 3: Develop Safe Schools and Strong Character*
- Goal 4: Transform Education into an Evidence-based Field*
- Goal 5: Enhance the Quality of and Access to Postsecondary and Adult Education*
- Goal 6: Establish Management Excellence*

The performance indicators for the Teacher Quality Programs are part of the Department's plan for meeting Goal 5: Improve Student Achievement.

## What are the Performance Indicators for the Transition to Teaching Program?

The goal of the Transition to Teaching program is to increase the number of mid-career professionals, qualified paraprofessionals, and recent college graduates who become highly qualified teachers in high-need schools in high-need LEAs and teach for three years. The specific objective is to recruit, prepare, and retain highly qualified teachers in high-need schools in high-need LEAs.

Under the Government Performance and Results Act, the Department will use the following measures to evaluate the success of the program in meeting this objective.

- **Performance Measure 1:** The percentage of Transition to Teaching (TTT) participants who become teachers of record in high-need schools in high-need LEAs.
- **Performance Measure 2:** The percentage of Transition to Teaching (TTT) participants receiving certification/licensure within three years.
- **Performance Measure 3:** The percentage of Transition to Teaching (TTT) teachers of record who teach in high-need schools in high-need LEAs for three years.

## **Standard Forms and Instructions**

- **Application for Federal Assistance (SF 424)**
- **Department of Education Supplemental Information Form for the SF 424**
- **Assurances—Non-Construction Programs (SF 424B)**
- **Department of Education Budget Summary Form (ED 524)**
- **Grants.gov Lobbying Form**
- **Disclosure of Lobbying Activities (SF-LLL)**
- **Survey Instructions on Ensuring Equal Opportunity for Applicants**

**Application for Federal Assistance SF-424**

Version 02

\*1. Type of Submission:

- Preapplication
- Application
- Changed/Corrected Application

\*2. Type of Application

- New
- Continuation
- Revision

\* If Revision, select appropriate letter(s)

\*Other (Specify)

\_\_\_\_\_

3. Date Received:

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: \_\_\_\_\_

\*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:

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**Application for Federal Assistance SF-424**

Version 02

**\*9. Type of Applicant 1: Select Applicant Type:**

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\*Other (Specify)

**\*10 Name of Federal Agency:**

**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:**

**Application for Federal Assistance SF-424**

Version 02

**16. Congressional Districts Of:**

\*a. Applicant: \_\_\_\_\_

\*b. Program/Project: \_\_\_\_\_

**17. Proposed Project:**

\*a. Start Date: \_\_\_\_\_

\*b. End Date: \_\_\_\_\_

**18. Estimated Funding (\$):**

\*a. Federal \_\_\_\_\_  
\*b. Applicant \_\_\_\_\_  
\*c. State \_\_\_\_\_  
\*d. Local \_\_\_\_\_  
\*e. Other \_\_\_\_\_  
\*f. Program Income \_\_\_\_\_  
\*g. TOTAL \_\_\_\_\_

**\*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.)**

Yes       No

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: \_\_\_\_\_  
Middle Name: \_\_\_\_\_  
\*Last Name: \_\_\_\_\_  
Suffix: \_\_\_\_\_

\*Title: \_\_\_\_\_

\*Telephone Number: \_\_\_\_\_

Fax Number: \_\_\_\_\_

\* Email: \_\_\_\_\_

\*Signature of Authorized Representative: \_\_\_\_\_

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

**Application for Federal Assistance SF-424**  
Version 02

**\*Applicant Federal Debt Delinquency Explanation**

The following should contain an explanation if the Applicant organization is delinquent of any Federal Debt.



## INSTRUCTIONS FOR THE SF-424

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

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

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

Item	Entry:	Item	Entry:
1.	<b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Preapplication</li> <li>• Application</li> <li>• Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.</li> </ul>	10.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	<b>Type of Application: (Required) Select one type of application in accordance with agency instructions.</b> <ul style="list-style-type: none"> <li>• <b>New – An application that is being submitted to an agency for the first time.</b></li> <li>• <b>Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</b></li> <li>• <b>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.</b>                              A. Increase Award      B. Decrease Award                              C. Increase Duration      D. Decrease Duration                              E. Other (specify)                         </li> </ul>	12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	<b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	<b>Areas Affected By Project:</b> List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.	16.	<b>Congressional Districts Of:</b> (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 2-3 characters District Number, e.g., CA-12 for California 12 <sup>th</sup> district, NC-103 for North Carolina's 103 <sup>rd</sup> district. <ul style="list-style-type: none"> <li>• <b>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.</b></li> <li>• If nationwide, i.e. all districts within all states are affected, enter US-all.</li> <li>• If the program/project is outside the US, enter 00-000.</li> </ul>
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.		
5b.	<b>Federal Award Identifier:</b> For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
	<b>a. Legal Name:</b> (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.	18.	<b>Estimated Funding:</b> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount
	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.		
	<b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.		

	<p><b>d. Address:</b> Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p> <p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p> <p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>		<p>of the change. For decreases, enclose the amounts in parentheses.</p>		
		19.	<p><b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p>		
		20.	<p><b>Is the Applicant Delinquent on any Federal Debt? (Required)</b> Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>		
9.	<p><b>Type of Applicant: (Required)</b>  <b>Select up to three applicant type(s) in accordance with agency instructions.</b></p> <table border="0"> <tr> <td data-bbox="152 596 505 1255"> <p>A. State Government  B. County Government  C. City or Township Government  D. Special District Government  E. Regional Organization  F. U.S. Territory or Possession  G. Independent School District  H. Public/State Controlled Institution of Higher Education  I. Indian/Native American Tribal Government (Federally Recognized)  J. Indian/Native American Tribal Government (Other than Federally Recognized)  K. Indian/Native American Tribally Designated Organization  L. Public/Indian Housing Authority</p> </td> <td data-bbox="505 596 834 1255"> <p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)  N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)  O. Private Institution of Higher Education  P. Individual  Q. For-Profit Organization (Other than Small Business)  R. Small Business  S. Hispanic-serving Institution  T. Historically Black Colleges and Universities (HBCUs)  U. Tribally Controlled Colleges and Universities (TCCUs)  V. Alaska Native and Native Hawaiian Serving Institutions  W. Non-domestic (non-US) Entity  X. Other (specify)</p> </td> </tr> </table>	<p>A. State Government  B. County Government  C. City or Township Government  D. Special District Government  E. Regional Organization  F. U.S. Territory or Possession  G. Independent School District  H. Public/State Controlled Institution of Higher Education  I. Indian/Native American Tribal Government (Federally Recognized)  J. Indian/Native American Tribal Government (Other than Federally Recognized)  K. Indian/Native American Tribally Designated Organization  L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)  N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)  O. Private Institution of Higher Education  P. Individual  Q. For-Profit Organization (Other than Small Business)  R. Small Business  S. Hispanic-serving Institution  T. Historically Black Colleges and Universities (HBCUs)  U. Tribally Controlled Colleges and Universities (TCCUs)  V. Alaska Native and Native Hawaiian Serving Institutions  W. Non-domestic (non-US) Entity  X. Other (specify)</p>	21.	<p><b>Authorized Representative:</b> (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p>
<p>A. State Government  B. County Government  C. City or Township Government  D. Special District Government  E. Regional Organization  F. U.S. Territory or Possession  G. Independent School District  H. Public/State Controlled Institution of Higher Education  I. Indian/Native American Tribal Government (Federally Recognized)  J. Indian/Native American Tribal Government (Other than Federally Recognized)  K. Indian/Native American Tribally Designated Organization  L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)  N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)  O. Private Institution of Higher Education  P. Individual  Q. For-Profit Organization (Other than Small Business)  R. Small Business  S. Hispanic-serving Institution  T. Historically Black Colleges and Universities (HBCUs)  U. Tribally Controlled Colleges and Universities (TCCUs)  V. Alaska Native and Native Hawaiian Serving Institutions  W. Non-domestic (non-US) Entity  X. Other (specify)</p>				

**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                                                                    
this program                              Yes                      No                      Not applicable to

**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                      Provide Exemption(s) #:

                       
No                      Provide Assurance #, if available:

**Please attach an explanation Narrative:**

**INSTRUCTIONS FOR  
DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION  
FOR SF 424**

**a. 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 12<sup>th</sup> Street, S.W. Room 7076, Washington, D.C. 20202-4260.*

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

## Definitions:

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

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

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

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

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

##### —Research

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

##### —Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with

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

#### B. Exemptions.

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

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

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

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

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

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

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

## II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

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

### A. Exempt Research Narrative.

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

### B. Nonexempt Research Narrative.

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

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

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

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

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

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

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

(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).

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**ASSURANCES - NON-CONSTRUCTION PROGRAMS**


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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.**

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**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 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





**U.S. DEPARTMENT OF EDUCATION  
BUDGET INFORMATION  
NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1890-0004  
Expiration Date: 10-31-2007

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)**

## CERTIFICATION REGARDING LOBBYING

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

### Disclosure of Lobbying Activities

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>_____ a. contract _____ b. grant _____ c. cooperative agreement _____ d. loan _____ e. loan guarantee _____ f. loan insurance</p>	<p>2. Status of Federal Action:</p> <p>_____ a. bid/offer/application _____ b. initial award _____ c. post-award</p>	<p>3. Report Type:</p> <p>_____ 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>_____ Prime _____ Subawardee Tier _____, if Known:</p> <p>Congressional District, if known:</p>	<p>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</p> <p>Congressional District, if known:</p>	
<p>6. Federal Department/Agency:</p>	<p>7. Federal Program Name/Description:</p> <p>CFDA Number, if applicable: _____</p>	
<p>7. Federal Action Number, if known:</p>	<p>9. Award Amount, if known:</p> <p>\$ _____</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><b>Federal Use Only</b></p>	<p><b>Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)</b></p>	

# Survey on Ensuring Equal Opportunity for Applicants

OMB No. 1890-0014 Exp. 02/28/09

**Purpose:** The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information provided on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

**Instructions for Submitting the Survey:** **If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.**

**Applicant's (Organization) Name:**

\_\_\_\_\_

**Applicant's DUNS Number:**

\_\_\_\_\_

**Federal Program:** \_\_\_\_\_

**CFDA Number:** \_\_\_\_\_

1. Has the applicant ever received a grant or contract from the Federal government?

Yes       No

2. Is the applicant a faith-based organization?

Yes       No

3. Is the applicant a secular organization?

Yes       No

4. Does the applicant have 501(c)(3) status?

Yes       No

5. Is the applicant a local affiliate of a national organization?

Yes       No

6. How many full-time equivalent employees does the applicant have? *(Check only one box).*

3 or Fewer       15-50  
 4-5       51-100  
 6-14       over 100

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