

# **Archived Information**

## **Teacher Quality Enhancement (TQE) Grants for Recruitment**

### **A Guide to States and Partnerships for the Preparation of Applications for:**

#### **TQE Recruitment Grants**

**TQE-R**

**FY 2005**

**Teacher Quality Enhancement Grants Program  
Title II, Part A, Higher Education Act of 1965,  
as amended  
(CFDA No. 84.336C)**

**Form Approved:  
OMB No. 1840-0767: Exp. Date 06/30/2005**

**Closing Date: May 2, 2005**

## **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1840-0767. The time required to complete this information collection is estimated to average 160 hours, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Teacher Quality Enhancement Grants Program, U.S. Department of Education, 1990 K Street, NW, Room 7097, Washington, D.C. 20202-8526.

## PLEASE NOTE – NEW ELECTRONIC SUBMISSION POLICY

**Electronic Submission is Required** - As outlined in the Federal Register notice for this grant competition, applications must be submitted electronically. You must submit your application using the electronic application system designated in the Federal Register notice. (The notice will designate whether you will use e-Application or Grants.gov). You may not e-mail an electronic copy to us. We will reject your application if you submit it in paper format unless you qualify for one of the exceptions to the electronic submission requirement described below 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.

Under mandatory submission, electronic applications must be received by 4:30 pm Washington, DC time on the application deadline date. **Under this new policy, Education does not allow for any last minute waiver requests from applicants, which is a change from the previous policy for mandatory electronic submission. Consequently, we strongly encourage you to review the registration and submission procedures for the designated electronic application system right away. In addition, we strongly suggest that you do not wait until the deadline date to submit your application.**

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, by mail or hand delivery, if you are unable to submit an application through the electronic application system designated in the Federal Register notice because—

- You do not have access to the Internet; or
  - You do not have the capacity to upload large documents to the 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. (Please follow the fax instructions found in the Federal Register notice for this competition. Also, your paper application must be submitted in accordance with the mail or hand delivery instructions also described in the Federal Register notice for this grant competition.)

For detailed information on the electronic submission requirement for this competition, please refer to the Federal Register notice.

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March 2005

Dear Applicant:

Thank you for your interest in the Teacher Quality Enhancement Grants Program's (TQE) Teacher Recruitment Grants. Many of America's communities face daunting challenges as they seek to provide a high-quality education for all children that will prepare them for the 21<sup>st</sup> century. The Department of Education is committed to assisting you in preparing tomorrow's teachers to be highly qualified and well prepared educators. Our children are this country's most valuable assets. We must ensure that they receive the best education possible. The TQE Teacher Recruitment Program is one step to ensure that "no child is left behind" for want of an opportunity to learn from highly qualified teachers.

This application package is designed for use by both partnerships and states in applying for Fiscal Year (FY) 2005 TQE Recruitment grants (CFDA No. 84.336C), and it includes the requirements, forms and instructions you will need to complete an application to complete this process. Please pay special attention to the selection criteria discussed here, as these are the standards for evaluating applications. Also carefully review the eligibility, page limit, and submission requirements contained in the *Federal Register* Notice Inviting Applications, a copy of which is included in the package.

For further information concerning this program or the application process, please use our web site at: <http://www.ed.gov/programs/heatqp/index.html>

If you have a specific question, please contact Luretha Kelley in the TQE program office. She may be reached by phone at (202) 502-7645 or by email at [luretha.kelley@ed.gov](mailto:luretha.kelley@ed.gov). You may also send questions to the program email at [teacherquality@ed.gov](mailto:teacherquality@ed.gov).

Your interest and your commitment to improving the quality of teacher preparation in America are appreciated.

Sincerely,

Wilbert Bryant  
Deputy Assistant Secretary  
for Higher Education Programs

**Insert**  
**Federal Register**  
**Notice**



## **THE CHALLENGE: ENSURING A HIGH-QUALITY TEACHING FORCE FOR OUR NATION'S CLASSROOMS**

Teaching is the essential profession, the one that makes all other professions possible. Although higher standards for student performance, improved curricula and assessments, and safe schools have a vital place on the nation's school reform agenda, without well-prepared, caring, and committed teachers, not even the highest standards in the world will ensure that our children are prepared for the challenges and opportunities of the 21<sup>st</sup> century.

Accordingly, what teachers know and are able to do is of critical importance. Yet we face numerous challenges to ensure a high-quality teaching force throughout our nation. The increasing enrollments and accelerating teacher retirements that are expected in the coming years will lead to unprecedented hiring demands in the profession. America's schools may need to hire 2.2 million teachers over the next decade, more than half of whom could be first-time teachers. As classrooms grow more challenging and diverse, these teachers will need to be well prepared to teach all students to the highest standards. Schools in high-poverty areas have a particularly pressing need for greater numbers of well-prepared teachers.

Despite this recognized need, new teachers often begin their teaching careers with too little academic background in the subjects they will teach, limited technological skills, and an insufficient amount of school-based teaching experience prior to graduation and licensure. Furthermore, they generally have minimal support in their first few years of teaching from veteran teachers, school administrators, and the teacher preparation schools from which they graduated.

Contemporary classrooms and social conditions confront teachers with a range of complex challenges previously unknown in the profession. New education goals and tougher standards, more rigorous assessments, site-based management, greater interest in parental involvement, the continuing importance of safety and discipline, and expanded use of technology increase the knowledge and skills that teaching demands. These challenges are often made more difficult due to little or no collaboration between teacher preparation institutions, their colleges of arts and sciences, and the school districts they serve.

State licensure and certification systems often compound these problems. Some are built upon low expectations, limited accountability, and a lack of system-wide responsibility for the quality of teacher preparation, or for the results of existing licensure and certification

policies. Consequently, states quite frequently do little to ensure that new teachers are well prepared to help all children succeed.

Although challenges such as these can be daunting, they provide an opportunity for making dramatic improvements in the ways we recruit, prepare, license, and provide ongoing support for teachers. It has been over 30 years since the Federal government last made a major investment in teacher recruitment and preparation. The three TQE grant programs offered in Title II, Part A of the Higher Education Act of 1965, as amended (HEA), give us another historic chance to effect positive change in the quality of teaching in America.

## **FACING THE CHALLENGE: THE TEACHER QUALITY ENHANCEMENT GRANTS PROGRAM (TQE)**

The TQE grants program includes three types of discretionary grant awards. They are TQE awards for states, partnerships, and recruitment. Each grant type brings a unique approach to improving teacher preparation throughout our nation. A brief description of how each grant program faces the challenge follows:

This application is for **TQE Recruitment Grants**, which seek to assist in reforms at the state and higher education levels by:

- Being vital catalysts that stimulate successful efforts to recruit highly competent teachers who agree to work in high-need local educational agencies (LEAs);
- Supporting the efforts of the states and partnerships to reduce the shortages of *qualified* teachers so that all students, especially those in *high-need* school districts, have the teachers necessary to ensure that they can achieve to challenging content and performance standards; and
- Offering alternative routes into teaching for those coming to the profession from other careers or educational backgrounds and resulting in high quality teachers entering the classroom from these nontraditional backgrounds.

**TQE State Grants** seek to promote statewide teacher education reform activities through the linkage of K-12 and higher education institutions in areas such as:

- Teacher licensing and certification;
- State and higher education accountability for high quality teacher preparation;
- Improved content knowledge for subject area preparation;
- Improved teaching skills;
- Infusion of technology into curriculum and teaching;
- Enhanced school-based clinical experiences;
- Extended mentoring of new teachers;
- Teacher recruitment for high-need schools;
- Meaningful accountability for teacher performance; and
- High-quality professional development opportunities for new and existing teachers.

**TQE Partnership Grants** for reforming teacher education seek to promote reforms in teacher preparation by:

- Strengthening the vital role of K-12 educators in the design and implementation of effective teacher education programs;

- Increasing collaboration among the administrators and faculty of higher education institutions' schools of arts and sciences and education;
- Developing programs that involve university- and partnership-wide commitment to improving K-12 student learning and achievement;
- Producing teachers with a greater command of academic subjects, and the skills to teach them;
- Immersing student teachers in intensive clinical experiences, preparing them to work with diverse student populations; and
- Providing induction period support and professional development opportunities.

## **TQE RECRUITMENT: AN OVERVIEW**

The TQE-R program will afford an opportunity for states and partnerships receiving grants to address the challenge of America's teacher shortage by making significant and lasting systemic changes to the ways that teachers are recruited, prepared and supported to teach in high-need schools. The U.S. Department of Education's goal is that these systemic changes lead to important improvements to the supply of well-trained and highly-qualified teachers. In order to meet the Title II challenge effectively, states and partnerships will want to focus on several key elements as they design their projects.

***First, states and partnerships should identify, with strong input from the LEAs, the critical needs of the participating high-need LEAs for recruiting and preparing highly competent teachers, and provide specific details about the high-need districts that will be served.*** These details should include such information as teacher turnover rates; shortages in specific disciplines and geographic areas; mismatches between student demographic distribution and demographics of the teaching force in a school, district or state; and numbers of teachers who hold emergency certificates or who teach out of field.

Applicants should also be aware of the following guidelines:

- The LEAs should be in the same geographic area or the same state as the partner higher education institutions, and there should be evidence of real partnerships between the organizations involved in the proposed project: between the higher education institutions and the schools, or between state higher education and education systems.
- There should be evidence of the LEA commitment to hire qualified scholarship recipients. The proposal should document the need for teachers in shortage areas in the participating districts, and

explain why project activities are expected to **increase** the number of students at participating institutions preparing to teach in high-need school districts.

- Applicants should include a description of how teacher recruitment activities will enhance or supplement any existing efforts the applicant has in place to recruit competent teachers to teach and remain in high-need LEAs and schools.
- If applicable to the project design, the proposal should also discuss commitments by partner school districts, and school districts participating in a state project, to hire qualified scholarship recipients for positions at their high-need schools.

The Secretary is particularly interested in receiving applications from states and partnerships that focus their efforts on recruiting members of minority or historically disadvantaged groups to become teachers in high-need LEAs and schools. Interest in applications that present this focus is due to the growing gap between the diversity of the student population and the composition of the teaching force.

High-quality proposals are also expected to provide **specific details** about how they will build capacity to achieve lasting changes.

***Second, states and partnerships are expected to identify pools of potential teachers who can meet the LEAs' needs.*** Examples of successful efforts will include projects that focus on: the recruitment of teachers from minority or other disadvantaged backgrounds, paraprofessionals, second-career professionals, Peace Corps volunteers, and/or retired military personnel, and teachers hired under emergency certifications or currently teaching without full certification.

***Third, new teachers should be recruited from these pools through organized, well-designed outreach efforts.*** The proposal should describe recruitment and outreach efforts that will be used to publicize the availability of scholarships and other assistance that enable students to enroll in and complete the program. These efforts should demonstrate the use of promising existing strategies or new strategies for teacher recruitment and should include the publicizing of TQE-R scholarships and other assistance that enable students to enroll in and complete the program. These scholarships can be flexible for full- or part-time students. They can be funded through Title II, Part A or through one or more of the partners, and should be targeted to traditionally underserved populations.

Because the availability of scholarship assistance will be a very useful tool in attracting well-qualified individuals to become teachers in these

high-need schools, the Secretary is particularly interested in receiving proposals that would provide scholarship support for prospective teachers.

Recruitment efforts should also publicize the program's academic and student support services such as mentoring, tutoring, quality faculty advising, cohort groups, work-study or summer internships, and other needed services. The proposal should discuss the criteria to be used in selecting the students, including how the partnership or state will determine whether individuals have the capacity to benefit from the program, complete teacher certification requirements, and become effective teachers. Strong proposals will offer evidence of commitment to disseminate effective teacher recruitment practices to others and to provide technical assistance to other educational entities.

***Fourth, states and partnerships are expected to design high-quality teacher preparation and induction programs that set high standards for teaching and reflect the best research and practice known across the country.*** The proposal submitted to the TQE-R program should explain how the applicant will ensure that students enrolled in teacher preparation programs, whether receiving scholarships or not, will receive high-quality instruction in participating teacher preparation programs. These programs should include improved subject matter content knowledge and teaching skills so that teachers are well prepared to teach the subjects they will be hired to teach. Such preparation will require collaboration on the college campus between the school of arts and science and the school of education. The project should also address technology in the training of teachers to enable them to integrate technology into curriculum and instruction, as this is so essential to meeting the needs and demands of the 21<sup>st</sup> century.

Given the rapidly changing demographics of our country and the belief that all children can achieve to high state and local content and performance standards, funded projects are expected to prepare teachers to work with diverse student populations. Furthermore, strong teacher preparation programs will immerse student teachers in intensive, well-designed and extensive clinical experiences so that the issues and challenges of effective teaching are not surprises to them when they enter the profession as new teachers.

TQE-R projects must provide carefully structured supportive experiences for new teachers once they enter the classroom. Proposals should be specific in describing how the project will facilitate the successful transition of the students from their teacher preparation experience into the experience of teaching in high-need schools. Examples of allowable activities include induction period support mentoring, organized professional development activities, program "guarantees" of graduate

readiness, university faculty working in the schools with new teachers, and customized assistance to help new teachers overcome challenges.

These activities, among others, should all be used as tools to produce effective, successful teachers who can meet the needs of every student, and thus improve student achievement in the K-12 schools. Projects that propose to develop and implement alternative routes into teaching by those coming to the profession from other careers or educational backgrounds must address the issues outlined above in order to ensure high-quality teachers are produced by alternative route programs.

***Fifth, the Department of Education seeks to fund projects that have credible institutionalization plans so that when TQE-R funding phases out, the work we have helped to start will continue and will be sustained.*** Project activities are expected to improve the capacity of the participating LEA(s) to hire and retain qualified teachers. Strong proposals will demonstrate sustainability by describing in clear terms the steps that states or partnerships will take to continue to fund project activities past the end of the grant period. Such proposals will identify ongoing funding sources that are specifically committed to the project after the grant period, or they will discuss specific steps that will be taken to seek these funds. It should be quite clear to reviewers that there will be successive cohorts of prospective teachers recruited into the program during and after the grant period, and that each cohort will be provided with the same high-quality program and support services. The applicant's matching share will be a strong indicator of the program's commitment to successfully implement the project, and to continue proposed activities after federal funding ends.

In designing projects, states and partnerships are encouraged to develop innovative, high-quality routes to teaching and to coordinate their activities with state governors, boards of education, higher education, including community colleges and professional standards boards, state education and higher education agencies and institutions of higher education. All projects should have an effective, inclusive, and responsive governance and decision-making structure that will permit all members of the project, including K-12 teachers and administrators, to plan, implement, and assess the adequacy of projects activities. Projects should also draw upon a wide array of community resources. Examples of these resources include, but are not limited to, teacher organizations, businesses, and community groups in order to enhance project success.

Finally, states and partnerships should provide a management plan that includes a carefully designed set of project goals and objectives that can be achieved within the proposed budget, as well as clearly defined responsibilities, timelines, and milestones for accomplishing project tasks. Applicants should describe the evaluative procedures that would

ensure feedback and continuous improvements in the operations of the proposed project. It will also be necessary to show that the budget costs are justifiable, allowable and reasonable in relation to the design and potential significance of the program activities.

## **TQE RECRUITMENT: STATUTE REQUIREMENTS**

In addition to the five key elements mentioned above that states and partnerships should address in designing their applications for TQE-R grants, the HEA also sets out specific principles that each project is required to consider when developing its proposal. The key elements discussed above are drawn from the statute and from the experience of soliciting and selecting awardees in the first round of the TQE-R grant competition. The statute specifically states that any state or partnership that receives a TQE-R grant **must** provide descriptions of the following:

1. How the partnership or state, and any others with whom they will carry out grant activities, have determined the most critical teaching needs of the participating high-need LEA(s).
2. What activities will be carried out to meet these critical needs.

**When addressing the project activities that must be implemented by law, every state or partnership that receives a TQE-R grant must either provide the three items in (a-c) or ensure that they meet the requirements of (d).**

These are:

- **a.** To award scholarships to help students pay the costs of tuition, room, board, and other expenses of completing a teacher preparation program;

**Note:** Where states or partnerships provide scholarship assistance, they determine the funding level and number of scholarships according to project goals and student needs. Moreover, program regulations require that students receiving scholarships under the program must teach in a high-need school of a high-need LEA for a period of time equivalent to the period for which they received aid. Regulations governing TQE-R scholarships may be found in this application under “Additional Reference Information” (see pages 114-121).

- **b.** To provide support services (which may include academic advice and counseling, tutorial services, mentoring, child care, and transportation) that scholarship recipients need to complete postsecondary education programs; and



- **c.** To provide follow-up services to former scholarship recipients during their first three years of teaching.

**or**

- **d.** To develop and implement effective mechanisms with the high-need LEAs that participate in the project to ensure that those districts and their high-need schools are able to effectively recruit highly-qualified teachers. (For example, grant recipients could provide funds to high-need LEAs for the costs of “release time” needed for paraprofessional staff to participate in teacher preparation programs.)
3. Which institutions, organizations, and LEAs will be responsible for implementing these grant-supported and other project activities;
  4. How the applicant and participating school district(s) meet the definitions of eligible states and eligible partnerships. (These eligibility requirements can be found in the next section of this application); and
  5. The plan for institutionalizing grant activities once TQE-R funding ceases.

**Note:** As the law requires that every funded application must include this information, we urge you to identify in a table of contents where you have addressed these items in your application.

## **TQE Recruitment: Eligibility Requirements**

### **1. Who may apply?**

Either eligible states or eligible partnerships may apply for TQE-R grants. Past recipients of TQE state grants and TQE partnership grants are eligible to apply for the teacher recruitment grant.

**Past recipients of TQE-R grants are not eligible for this competition, since section 205(a)(2) of the HEA states: “An eligible state and an eligible partnership may receive a grant under each of sections 202, 203, and 204 only once.”** However, an applicant could reasonably interpret the statute to allow one or more of the entities in an existing partnership to join with new entities to form a new partnership that would constitute a new “eligible recipient,” assuming that the new partnership will also implement a significantly changed project. For example, an applicant could reasonably interpret the statute to allow a large urban LEA that previously has been a partner in a funded project

to join with other entities in a new partnership and apply for funds to operate a project in a different high-need area of the city.

## **2. What is an eligible state?**

- a) According to section 103(16) of the HEA, which defines the term “state,” any of the following entities may apply for a TQE-R grant: the several states of the United States, the Commonwealth of Puerto Rico, the District of Columbia, Guam, American Samoa, the United States Virgin Islands, the Commonwealth of the Northern Mariana Islands, and the Freely Associated States (the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau).
- b) A state that applies for a TQE-R grant must design a project around assisting one or more participating “high-need LEAs” to address its teacher shortage. (The definition of a high-need LEA can be found in item number six below.)

## **3. What is an eligible partnership?**

An “eligible partnership” includes, at a minimum:

- A. A partner institution”
  - A school of arts and sciences; and
  - A high-need local educational agency

The definition for each of these can be found below.

Because many entities contribute to the success of teacher education programs, partnerships may also include other school districts and postsecondary institutions (including community colleges), governors, state boards of education, state educational agencies and agencies for higher education, public or private nonprofit educational organizations, pre-kindergarten programs, public or private elementary or secondary schools, public charter schools, teacher organizations, and businesses.

## **4. What Is a Partner Institution?**

A **partner institution** is a private, independent or state-supported public institution of higher education whose teacher preparation program **either** meets one of the requirements under A below, or meets all of the requirements in B.

- A. Produces graduates who exhibit strong performance on state-determined qualifying assessments for new teachers **either** by–

Demonstrating that 80% or more of the program graduates who intend to enter teaching have passed all applicable state qualifying assessments for new teachers (including an assessment of each prospective teacher's subject matter knowledge in the content area(s) in which the teacher intends to teach);

**or** by

Ranking among the highest-performing teacher preparation programs in the state, as determined by the state using criteria consistent with the state report card (see section 207[b]);

**or**

B. Requires all students in the program to participate in intensive clinical experiences, to meet high academic standards, **and** --

1. In the case of secondary school candidates, to complete an academic major in the subject area in which the candidate intends to teach or to demonstrate competence through a high-level of performance in relevant content areas; **and**
2. In the case of elementary school candidates, to complete an academic major in the arts and sciences or to demonstrate competence through a high level of performance in core academic subject areas.

## **5. What is a School of Arts and Sciences?**

A ***school of arts and sciences*** is an academic unit of an institution of higher education that offers one or more academic majors in disciplines or content areas corresponding to the academic subject areas in which teachers provide instruction. This definition applies regardless of how the institution refers to the unit or whether, as in the case of some liberal arts colleges, the institution comprises a single unit. For some colleges and universities, a college of liberal arts and sciences does not exist at the same institution as the college of education. In these cases, the Department will accept a partnership between the college of education and a college of arts and sciences that are not parts of the same institution. Universities that prepare teachers only at the graduate level are eligible if one or more partners meet this arts and sciences definition.

## 6. What is a High-Need Local Educational Agency (LEA)?

A high-need LEA is a public school district that meets **one or more** of the following criteria:

- A. It has at least one school in which 50 percent or more of the enrolled students are eligible for free or reduced lunch subsidies.
- B. It has at least one school in which:
  - More than 34 percent of academic classroom teachers overall at the secondary level (across all academic subjects) do not have a major, minor, or significant course work in their main assignment field, **or**
  - More than 34 percent of the main assignment faculty in two of the academic departments do not have a major, minor, or significant course work in their main assignment field.

### **Important Definitions**

“Main assignment field” means the academic field in which teachers have the largest percentage of their classes.

“Significant course work” means four or more college- or graduate-level courses in the content area.

- C. It has at least one elementary or secondary school whose teacher attrition rate has been 15 percent or more over the last three school years.

## **Other Vital Program Information**

### **1. Requirements to be the lead applicant:**

#### **A State**

A TQE-R application that is submitted by a state must come from the governor or from that individual, entity, or agency that is designated by the state constitution or by law to be responsible for teacher certification and preparation activity. If there is more than one individual or entity responsible for these two activities, the proposal must be submitted jointly by the individuals or entities. In these cases, however, the governor's support may be pivotal to assuring the necessary leadership for the reform efforts. When the governor is not the lead applicant, it is the applicant's responsibility to provide the information that clearly states who is the lawfully designated individual, entity or agency responsible for these areas. See Sections 202(b) and (d) of the HEA.

#### **A Partnership**

A partnership that submits a TQE-R grant application must comprise, at a minimum, the following: a partner institution having a teacher preparation program; a school of arts and sciences; and a high-need LEA. The lead applicant is required to provide information documenting how the partnership meets the eligibility requirements.

(State and Partnership Eligibility Certification forms may be found in "Instructions and Forms" in the Appendices (See pages 49 and 51)

### **2. Participation in more than one TQE grant or proposal:**

Applicants must inform the Department of any TQE grant in which they are currently participating as a partner as well as any application in which they propose to participate as a partner. The Department is requiring this information for the following reasons:

- The TQE program expects that an applicant who is a partner in more than one proposal may not have the capacity to successfully complete the project outcomes set forth in each proposal.
- Successful completion of project goals is an important component of the selection criteria. Therefore, readers may question the feasibility of an applicant's involvement in more than one proposal and could find none of the applications involving the same partner strong enough to recommend for funding.

Applicants need to make certain that all partners are capable of fulfilling their responsibilities and commitments to the partnership. This needs to be clearly defined for the reviewers.

Please complete the “Partner Participation in Teacher Quality Title II, Part A (HEA) Applications” form, which is located in the Instructions and Forms section of the appendices. This form must be submitted with the application. (See page 47)

### **3. Maximum project period and amount of funding for which states and partnerships may apply:**

#### **States and Partnerships**

Both states and partnerships applying for a TQE-R grant may propose activities for a project period of up to three years. The Department anticipates that for the fiscal year (FY) 2005 competition, approximately \$16.6 million will be available for TQE-R grant awards and that the maximum amount available for any single award will be \$1.1 million per year. The Department also anticipates that it will award 20 TQE-R program grants, in amounts ranging from \$650,000 to \$1.1 million. The average award is estimated at \$828,966 per year.

**One Time Award:** By law (Section 205(a)(2) of the HEA), states and partnerships may receive only one TQE-R grant award.

### **4. Teacher Recruitment Program matching requirements:**

#### **A State**

By law (section 205(c)(1)) of the HEA), any state receiving a TQE-R grant must provide, from non-federal sources, an amount equal to 50% for each year of the grant award to carry out project activities. This contribution may be in cash or in kind.

#### **A Partnership**

Any partnership receiving a grant award must contribute, from non-federal sources, an amount that is at least 25% of the award for the first year; 35% for the second year; and 50% for the third year to carry out project activities. This contribution may be in cash or in kind.

Information that explains how the state or partnership will meet these matching requirements must be included in the budgetary information that applicants must provide with their applications.

**Note:** Applicants who propose a match that exceeds the minimum percentage requirements described above will be required to meet that higher percentage match for each year in which it is proposed. If a funded applicant is unable to meet the higher cost share in any year of the project, the Department may reduce the award to a level where the proposed cost share percentage is satisfied.

## **5. Requirements to describe annual project activities:**

### **States and Partnerships**

When considering the TQE-R selection criteria, section 75.112 of the Education Department's General Administrative Regulations (EDGAR) requires states and partnerships to include both the time period for each year of the project and, "a project narrative that describes how and when, in each budget period of the project, the applicant plans to meet each objective of the project" (emphasis added). **This timeline should be incorporated in the work plan.** It should be in chart form, and is subject to the 12-point font-type and double-space guidelines of the full proposal. (See page 27 for instructions on project work plan preparation.)

## **6. Administrative cost percentage requirements for TQE-R grant applicants:**

### **States and Partnerships**

Section 205(d) of the HEA limits the amount of grant funds that a state or partnership receiving any TQE Program grant award may use to administer the grant to two percent of the award. Moreover, this two-percent limitation applies to the total of funds charged for administration, whether as direct or indirect costs. Each grantee determines what are "administrative costs" consistent with its own system of fiscal record keeping.

## **7. The effect of the two percent administrative cost requirement on the costs of data collection and preparation of public reporting and evaluations:**

### **States and Partnerships**

The two percent administrative cost cap does not include the costs of data collection and preparation of public reporting and evaluation. The costs for reporting and evaluation can come out of the 98 percent of funds reserved for program activities, rather than out of the 2 percent of the grant award that is reserved for administrative activities. Where these responsibilities are imposed by either the HEA or EDGAR, these reports and evaluations are not considered "administrative" activities.

## **8. The allowable indirect cost rate for the TQE-R Grant Program:**

### **States and Partnerships**

Consistent with CFR 611.61, the indirect cost rate for a TQE-R grant recipient is limited to eight percent or the amount permitted by its negotiated indirect cost rate agreement, *whichever is less*. Recipients should include an estimate of the annual amount of indirect costs to be charged to grant funds on the multiyear budget forms they submit as

part of their applications. Unrecovered indirect costs **cannot** be used to match grant funds.

**9. Funding projects at different states of development, what is allowable:**

**States and Partnerships**

The Department anticipates funding TQE-R projects at different stages of development. Some projects may be completely new, with states or partnerships in need of start-up costs in the first year and more substantial support in subsequent years. Other projects may reflect a continuation of activities, with expanded or enhanced goals and activities that fit well with Title II, Part A program objectives. To accommodate this range of projects, the Department expects that some projects will request funding that increases over time, from start-up expenses in the first year to a higher level of support in the following years. At the same time, the Department expects that proposals reflecting more mature projects might request substantial funding in the first year with a gradual decrease in later years as the state or partnership institutionalizes its activities and resource base.

**10. Promoting awareness of project success:**

**States and Partnerships:**

Both states and partnerships should budget for two, three-day meetings per year with the Department.

The Secretary expects that all those awarded grants will maintain a sustained and substantive dialogue with the Department, interested organizations across the education spectrum, and the public about the progress they are making. Therefore, along with other means of maintaining dialogue, the Department asks all recipients of TQE-R grant awards to plan and budget for annual meetings with Department staff and other grantees to discuss the progress of their projects.

**11. Requests for funding in the second and third years of grant recipients' projects, and the information recipients will need to provide the Department to be eligible for subsequent year funding:**

**States and Partnerships**

Sections 75.112 and 75.117 of EDGAR contain certain general requirements for all applications to the Department for multiyear awards, including those that may be submitted under the TQE grant programs. In particular, applicants should note that section 75.112(b) requires the project application to include a narrative that describes how and when, in each budget period of the project, the applicant plans to meet each



objective. In addition, section 75.117(b) requires submission of a budget narrative and form.

Sections 75.118 and 75.253 of EDGAR contain requirements for receipt of a continuation award. Among other things, these provisions state that, to receive an award for a succeeding year of the project, a recipient must submit an adequate report on project performance to date. This performance report contains performance and financial expenditure information that enables the Secretary to determine whether the state or partnership is making substantial progress toward meeting the year-to-year objectives contained in its approved application.

Those receiving TQE-R grants will receive more information on the desired content and submission dates of these performance reports.

**Note to state applicants:**

Section 206(c)(2) of the HEA provides that a state program grantee's failure to make substantial progress in meeting its purposes, goals, objectives, and measures may result in discontinuation of its grant after the second year. Nonetheless, the annual performance report must be submitted (and must include data relating to the project's purposes, goals, objectives, and measures) prior to the Department's making a second year continuation award.

**12. Regulations for administering scholarships supported by TQE grants:**

*“Teach or Pay” Rule:* On January 12, 2000, the Department issued regulations that apply to all scholarship recipients under the TQE grants program. (See 34 CFR sections 611.41-611.52.) The regulations require scholarship recipients to repay scholarships provided with federal program funds, if they do not teach in a high-need school in a high-need local educational agency for the period of time for which they received scholarship assistance. The regulations also spell out the grantee's responsibilities in the administration of these scholarships.

The regulations governing scholarship administration and the responsibilities of both scholarship recipients and grantees are included under “Additional Reference Information” (see pages 114-121).

# **Application Process**

## **Teacher Quality Enhancement Program Intent to Submit Application**

### **Type of Grant: TQE Recruitment (TQE-R)**

The Department will use an outside peer review process to evaluate applications for its TQE-R Program and to identify applications to be recommended for award. The quality of that process will depend, in part, on the Department's ability to secure an appropriate number of reviewers. The Department's ability to do this will depend, in turn, upon advance knowledge of the approximate number of applications it will receive.

For this reason, if your state or partnership intends to apply for funding under the TQE-R Program, we ask that you provide the Department with the following information:

Name of (Primary) Applicant Institution: \_\_\_\_\_

Contact Name, Title, and Office: \_\_\_\_\_

Address: \_\_\_\_\_

City, State, Zip Code: \_\_\_\_\_

Telephone: \_\_\_\_\_

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

E-mail: \_\_\_\_\_

**Please return this form on or before April 15, 2005 to:**

Luretha Kelley  
Teacher Quality Enhancement Grant Programs  
U.S. Department of Education  
1990 K Street, N.W.  
Room 7096  
Washington, DC 20006-8525  
Fax: 202/502-7699  
E-mail: [teacherquality@ed.gov](mailto:teacherquality@ed.gov).

The Department will use this information for planning purposes only. It will not be used in the review of your application. If you inform the Department of your intent to apply but subsequently decide not to do so, please notify the Department accordingly. Note: Failure to submit this form will not affect your ability to apply for funding in this competition.

**APPLICATION SELECTION CRITERIA  
FOR  
TQE-R GRANTS**

Peer reviewers will recommend for award those applications that demonstrate the greatest potential for recruiting and preparing high-quality teachers to teach in high-need LEAs. In determining which applications to recommend for funding, reviewers will assign each application up to 100 points using the following selection criteria. The applicant should prepare the narrative to respond to these criteria in the order in which they are listed.

- |  |                          |
|--|--------------------------|
| <i>1. Quality of Project Design</i>          | <i>(40 total points)</i> |
| <i>2. Significance of Project Activities</i> | <i>(30 total points)</i> |
| <i>3. Quality of Resources</i>               | <i>(15 total points)</i> |
| <i>4. Quality of Management Plan</i>         | <i>(15 total points)</i> |
| <i>Preference for Empowerment Zones</i>      | <i>(tie breaker)</i>     |
- 

***THE SELECTION CRITERIA IN DETAIL:***

**1. QUALITY OF PROJECT DESIGN 40 total points**

The Secretary considers the quality of the project design for ensuring that activities to recruit and prepare new teachers are a central mission of the project. In considering the quality of the project design for ensuring that activities to recruit and prepare new teachers are a central mission of the project, the Secretary considers the extent to which the project design--

A. Shows evidence of institutional or (in the case of a state applicant) state-level commitment both to recruitment of additional new teachers, and to high-quality teacher preparation that includes significant policy and practice changes supported by key leaders and that result in permanent changes to current institutional practices.

**5 points**

B. Creates and sustains collaborative mechanisms to integrate professional teaching skills, including skills in the use of technology in the classroom, with academic content provided by the school of arts and sciences.

**6 points**

C. Includes well-designed academic and student support services as well as carefully planned and extensive preservice clinical experiences for students, including mentoring and other forms of support, that are implemented through collaboration between the K-12 and higher education partners.

**6 points**

D. Includes establishment of a well-planned, systematic induction program for new teachers that increases their chances of being successful in high-need schools.

**6 points**

E. Includes strong linkages among the partner institutions of higher education and high-need schools and school districts (or, in the case of a state applicant, between the state and these entities in its project), so that all those who would implement the project have important roles in project design, implementation, governance, and evaluation.

**4 points**

F. Responds to the shortages of well-qualified and well-trained teachers in high-need school districts, especially from disadvantaged and other underrepresented backgrounds.

**6 points**

G. Is based on up-to-date knowledge from research and effective practice.

**7 points**

## 2. SIGNIFICANCE OF THE PROJECT

**30 total points**

The Secretary considers the significance of the project. In determining the significance of the project, the Secretary considers the extent to which—

A. The project involves promising new strategies or exceptional approaches in the way new teachers are recruited, prepared, and inducted into the teaching profession.

**6 points**

B. Project outcomes include measurable improvements in teacher quality and in the number of well prepared new teachers, that are likely to result in better K-12 student achievement.

**12 points**

C. The project will be institutionalized after federal funding ends, including recruitment, scholarship assistance, preparation, and support of additional cohorts of new teachers.

**4 points**

D. The project will disseminate effective practices to others, and provide technical assistance about ways to improve teacher recruitment and preparation.

**4 points**

E. The project will integrate its activities with other education reform activities underway in the state or communities in which the project is based, and will coordinate its work with local, state and federal teacher recruitment, training, and professional development programs.

**4 points**

### 3. QUALITY OF RESOURCES

**15 total points**

The Secretary considers the quality of the project's resources. In determining the quality of the project's resources, the Secretary considers the extent to which--

A. The amount of support available to the project, including personnel, equipment, supplies, student scholarship assistance, and other resources is sufficient to ensure a successful project.

**5 points**

B. Budgeted costs are reasonable and justified in relation to the design, outcomes, and potential significance of the project.

**5 points**

C. The applicant's matching share of budgeted costs demonstrates a significant commitment to successful completion of the project, and to project continuation after federal funding ends.

**5 points**

#### 4. QUALITY OF MANAGEMENT PLAN

**15 total points**

The Secretary considers the quality of the project's management plan. In determining the quality of the management plan, the Secretary considers the following factors--

A. The extent to which the management plan, including the work plan, is designed to achieve goals and objectives of the project, and includes clearly defined activities, responsibilities, timelines, milestones, and measurable outcomes for accomplishing project tasks.

**8 points**

B. The extent to which the project has an effective, inclusive, and responsive governance and decision-making structure that will permit all partners to participate in and benefit from project activities, and to use evaluation results to continuously improve project operations.

**4 points**

C. The qualifications, including training and experience, of key personnel charged with implementing the project successfully.

**3 points**

#### Preference for Empowerment Zones and Enterprise Communities

(Tie Breaker)

In the event that the peer reviewers' use of the above selection criteria results in an equal ranking among two or more applicants **for the last available award**, the Department will select the applicant whose activities will focus (or have the most impact) on LEAs and schools located in one or more of the Nation's Empowerment Zones and Enterprise Communities. Therefore, applicants that propose specific activities to benefit LEAs and schools in these designated areas should identify this fact in the appendices to their applications.

## **INSTRUCTIONS FOR PREPARING PROJECT WORK PLANS**

The TQE-R proposal should include a work plan in the appendix that outlines objectives, activities, benchmarks, responsible parties, time lines, outcomes, and measures.

The work plan must be limited to the equivalent of no more than 10 pages in length and double-spaced, and all information—including tables—must be presented in a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch).

Activities should include specific steps to develop and implement a strong project. Details should also be provided regarding which partner will be responsible for which activities. Outcomes should be specific and measurable.

Proposals should provide clear descriptions of these items so that reviewers can easily determine what activities will take place, the evidence that will show whether the project has met its objectives successfully, and by when each key objective will be achieved. There should be no doubt about where the project is going, how it will get there, and what will be done along the way to achieve project objectives. Vague descriptions or general statements without details may be an indication that the project will have difficulty producing tangible, important accomplishments during the funding period. Proposals that include clear objectives, benchmarks, responsible parties, time lines, measures, and outcomes are more likely to be successful.

The TQE program defines an outcome as something important that occurs as a result of the work that takes place. Outcomes should be more than process-type activities or events. They should be the result of a set of project activities and project expenditures, which means that the work plan and the budget are tools used to produce a set of important outcomes. In addition, each outcome must be measurable in one or more ways, so the proposal should describe what evidence will be used to determine and measure success.

The number of objectives in each work plan should be tied to the number of project goals. Every activity and benchmark does not need its own outcome, but each project objective should have an outcome.

For TQE-R proposals, for example, outcomes should include, but are not limited to: the number of students recruited and retained; the knowledge levels and teaching skills of the preservice students; and how many teachers are hired and retained by the high-need local school district partner(s).



The key outcome for the Title II, Part A program itself is production of well-qualified and successful new teachers equipped with the knowledge and skills to improve K-12 student achievement in the United States. Funded projects must have measurable outcomes compatible with this overall program outcome. Items such as number of courses redesigned are benchmarks on the way to this outcome. Items such as meetings, conferences, etc., are not outcomes and are not even benchmarks, they are activities toward meeting a benchmark such as redesigning the math curriculum or toward reaching an outcome like graduating new math teachers fully prepared to be successful.

In every case of an outcome, the proposal should describe what evidence will be used to measure progress or success.

**Note:** The Department may require that successful applicants develop a work plan and provide it to the program office for approval at the start of each project year.

***DEFINITIONS:***

Objective—A specific aim, the achievement of which contributes to the attainment of the program’s goal. Examples include: to assure that low-income students are aware of financial aid programs for which they are eligible.

Activities—The work performed by the applicant that directly produces the core products and services. Examples include: training given, counseling provided, conferences held, reports published, class hours conducted.

Benchmarks—Comparative standards for evaluating accomplishments against known exemplars of excellence. A benchmark is a targeted goal that is beyond current capabilities, but for which the applicant is striving. Examples include: all participants will have received a minimum of four academic advising contacts per semester, increase in internship opportunities for student teachers.

Timeline—The dates when benchmarks will be accomplished. For example: March 2006.

Responsible Party—The entity responsible for accomplishing the benchmark. For example: project director, arts & sciences faculty, LEA liaison.

Outcomes—Outcomes are accomplishments of program objectives attributable to program outputs. Both intermediate and long-term

outcomes can be identified, measured and evaluated. Intermediate outcomes are useful to assess early results when key goals will not be achieved for several years. The outcome should answer the following questions: What will the impact be? What will happen that can be measured? Examples of outcomes include: academic performance improvement, students accepted at the next level of education, (as an outcome of the previous level), graduates certified as teachers, job performance or employer satisfaction.

Sometimes, outputs are mistaken for outcomes. In order to draw a distinction between the two, outputs are defined as follows:

Outputs—The direct results of program activities. Outputs are useful in defining what a program produces, but an output is not an outcome. Outputs are limited because they do not indicate whether program or project goals have been accomplished, and they do not provide information on the quality and efficiency of the service provided. Examples include: the number of courses redesigned, targeted students completing training, students applying to next level of education.

***FURTHER EXAMPLES OF POSSIBLE OUTCOMES:***

- Producing teachers with stronger content knowledge in the subject they teach;
- New teachers with strong teaching skills;
- Producing teachers able to use technology effectively in curriculum and instructional practices; and
- Reduced teacher turnover or improved retention of new teachers.

Outcome Measures—An assessment of the results, effects or impact of a program activity compared to its intended purpose. Measures are characteristics or metrics that can be used to assess performance aspects of a program or project. Outcome measures address the results achieved by an organization and the extent to which objectives have been achieved. Program managers, policy makers and customers are interested in outcome measures because they are indicative of the success of an organization or a program in meeting the needs of customers. Examples include: results of a test that measures skills and knowledge; grade point average; number of teachers placed successfully; and percentage of new teachers retained.

Below is an example format of how to organize and display the information in your work plan. The objective in this example was chosen only to illustrate the presentation format. Applicants may use this format, or one of their own design, but please note that these are the kinds of details and measurable outcomes that peer readers and the program office expect to see.

**EXAMPLE OF WORK PLAN FORMAT:**

**Objective:** Teachers and students will become more computer literate.

Activities	Benchmarks	Timeline	Responsible Party
Buying new computers for each classroom.	Teacher and student computer ratios school wide will be 4:1 and 6:1.	November 2005	Head of Audio-Visual Services
Computer classes for teachers.	50% of teachers will have had technology training.	February 2006	Vice Principal
Teachers will redesign curricula to include technology lessons.	All trained teachers will have at least 25 percent of lessons incorporating technology.	April 2006	Classroom teachers

**Outcome:** After Year 1, at least 75% of teachers and students will display at least an intermediate level of computer literacy.

**Measure:** Student and teacher results from a skills test requiring performance of various tasks on a computer.

## **APPLICATION CHECKLIST FOR TQE-R GRANTS**

### **The Application (in this order):**

#### **Part I: Preliminary documents and the Narrative**

Application for Federal Assistance ED Form 424 (Face Sheet)

Eligibility Checklist

If applicable, a list of all cooperating entities for the project, contact persons, postal mail and email addresses, telephone and fax numbers

Partner Participation in Teacher Quality (Title II, Part A HEA) Applications

Title Page

Table of Contents

Assurances

- Certification Regarding Lobbying
- Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions
- Non-Construction Programs
- Disclosure of Lobbying Activities
- Guidance on Section 427 of GEPA for new discretionary grant Awards

Abstract (1 page only, not numbered, double-spaced)

Program Narrative (the equivalent of no more than 50 double-spaced pages, 12 point font)

#### **Part II: The Budget**

ED Budget Form 524 Section A (federal funds requested)

ED Budget Form 524 Section B (matching funds provided)

Budget Narrative (detailed explanation and justification of costs in narrative form - this is in addition to the above required budget information - the equivalent of no more than 10 double-spaced pages, 12 point font)

#### **Part III: The Appendices**

Work Plan that includes project objectives, activities, benchmarks, timelines, responsible parties, outcomes and measures (the equivalent of no more than 10 double-spaced pages, 12 point font)

Evaluation Plan (the equivalent of no more than 5 double-spaced pages, 12 point font)

Job descriptions of key personnel (if available, also include names and resumes)

Letters of support from the state governor and, if applicable, the state-governing agency and/or cooperative entities.  
Identifying material for cooperating LEAs and schools located in Empowerment Zones and Enterprise Communities.

**Please check to make sure you have done the following:**

The Application for Federal Assistance ED Form 424 has been signed and dated by an **authorized** official and the signed original has been faxed to the Application Control Center or has been included with your hard copy submission, if you have received a waiver from the requirement for an electronic submission.

The budget amounts on ED Form 424, items 13(a-g) are for Year 1 only.

If you have received a waiver to submit your application by mail, you have included the original and two copies of the application, appendices, and forms.

**Note:** If any conflict exists between the Notice and the application booklet regarding page limitations, parity guidelines, closing date information or any other aspect of this competition, the Notice shall supercede any information provided in this book.

## TQE-R APPLICATION PROCEDURES

### Application Deadline and Procedures

The deadline for submission of applications for the TQE-R Program is **May 2, 2005**. All applications must be electronically submitted, postmarked, or hand-delivered on or before the deadline date. This closing date and the following procedures for preparing your submission will be strictly observed.

Applicants will submit an abstract to the equivalent of no more than one page and an application narrative to the equivalent of no more than 50 pages. Place the name of the applicant at the top or bottom of each page of the narrative. Each page should be numbered consecutively with the first page of the narrative listed as page 1.

Applicants must also submit a budget narrative, work plan, and evaluation plan to the equivalent of no more than 10 pages, 10 pages, and 5 pages respectively.

For the abstract, application narrative, budget narrative, work plan, and the evaluation plan the following standards apply:

- 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, including titles, headings, quotations, references, and captions.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- For tables, charts or graphs, also double space and use a font that is either 12 point or larger or no smaller than 10 pitch.

We will reject your application if:

- You apply these standards and exceed the page limit; or
- You apply other standards and exceed the equivalent of the page limit.

The page limit does not apply to the Part I, the cover sheet; Part II, the budget forms, the assurances and certifications; the resumes, the bibliography, or the letters of support.

**Note:** If any conflict exists between the Notice and the application booklet regarding page limitations, parity guidelines, closing date information or any other aspect of this competition, the Notice shall supercede any information provided in this book.

## **INSTRUCTIONS FOR TRANSMITTAL OF APPLICATIONS**

Note: Some of the procedures in these instructions for transmitting applications differ from those in the Education Department General Administrative Regulations (EDGAR) (34 CFR 75.102). Under the Administrative Procedure Act (5 U.S.C. 553) the Department generally offers interested parties the opportunity to comment on proposed regulations. However, these amendments make procedural changes only and do not establish new substantive policy. Therefore, under 5 U.S.C. 553(b)(A), the Secretary has determined that proposed rulemaking is not required.

### **Electronic Submission of Applications**

We are requiring that applications for grants under this program be submitted electronically using the Electronic Grant Application system (e-application) available through the Department's e-Grants system, accessible through the e-Grants portal page at <http://e-grants.ed.gov>.

If you are unable to submit an application through the e-Grants system, you may submit a written request for a waiver of the electronic submission requirement. In your request, you should explain the reason or reasons that prevent you from using the Internet to submit your application. Address your request to: Luretha Kelley, U.S. Department of Education, 1990 K Street, NW, room 7096, Washington, DC 20006-8526. To be considered, your request must be submitted no later than two weeks before the application deadline date. Your paper application must be submitted in accordance with the mail or hand delivery instructions described elsewhere in this package.

Please note the following:

- You must complete the electronic submission of your grant application by 4:30 p.m., Washington, DC time, on the application deadline date. The e-Application system will not accept an application for this competition after 4:30 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process;
- The regular hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until midnight Saturday, Washington, DC time. Please note that the system is unavailable on Sundays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time, for maintenance. Any modifications to these hours are posted on the e-Grants Web site;



- You must submit all documents electronically, including the Application for Federal Education Assistance (ED 424) and all necessary assurances and certifications;
- You will not receive additional point value because you submit the application in electronic format, nor will we penalize you if you request a waiver and submit the application in paper format because you were prevented from submitting the application electronically as required;
- Prior to submitting your electronic application, you may wish to download it and print a copy of it for your records;
- After you electronically submit your application to the Department, you will receive an automatic acknowledgement that will include a PR/Award number (an identifying number unique to your application); and
- Within three working days after submitting your electronic application, fax a signed copy of the ED 424 to the Application Control Center after following these steps:
  1. Print the ED 424 from the e-application system;
  2. Make sure that the state's or institution's authorizing representative signs this form;
  3. Place the PR/Award number in the upper right hand corner of the ED 424;
  4. Fax the ED 424 to the Application Control Center within three working days of submitting your electronic application. We will indicate a fax number in e-application at the time of your submission.
- We may request that you give us original signatures on all other forms at a later date.

Application Deadline Date Extension in Case of System Unavailability: If you are prevented from electronically submitting your application on the application deadline date because the e-Application system is unavailable, we will grant you an extension of one business day in order to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if—

1. You are a registered user of e-Application and have initiated an e-Application for this competition; and
2. The e-Application system is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or

3. The e-Application system is unavailable for any period of time between 3:30 p.m. and 4:30 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgement of any system unavailability, you may contact the e-Grants help desk at 1-888-336-8930. If the system is down and therefore the application deadline is extended, an email is sent to all registered users who have initiated an application.

### **Applications Sent by Mail**

If you submit your application in paper format by mail (through the U.S. Postal Service or a commercial carrier), you must send 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 # 84.336C  
400 Maryland Ave. S.W.  
Washington, DC 20202-4260

or

#### **By mail through a commercial carrier:**

U.S. Department of Education  
Application Control Center—Stop 4260  
Attention: CFDA # 84.336C  
7100 Old Landover Road  
Landover, MD 20785-1506

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 business days from the mailing of your application, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

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; or

4. Any other proof of mailing acceptable to the U.S. Secretary 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, or
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.

### **Hand Delivery of Applications**

If you submit your application in paper format by hand (either personally or by a commercial courier service), you must deliver the original and two copies of your application on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: CFDA # 84.336C  
550 12th Street, S.W.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

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

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 business days from the mailing of your application, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

**Note:** If any conflict exists between the Notice and the application booklet regarding page limitations, parity guidelines, closing date information or any other aspect of this competition, the Notice shall supercede any information provided in this booklet.

## **DUNS NUMBER INSTRUCTIONS**

You will need to provide your D-U-N-S (Data Universal Numbering System) number on ED Form 424 as part of your application package. If your organization does not have a D-U-N-S number, you may obtain one at no charge by contacting Dun & Bradstreet at 1-800-333-0505 to request a D-U-N-S Number Request Form. Forms are also available on their website at:

<http://www.dnb.com>

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S Numbers to over 43 million organizations worldwide.

# Application for Federal

## Education Assistance (ED 424)



U.S. Department of Education

Form Approved  
OMB No. 1890-0017  
Exp. OMB Approved

### Applicant Information

**1. Name and Address**

Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_

Organizational Unit

City \_\_\_\_\_

State \_\_\_\_\_

County \_\_\_\_\_

ZIP Code + 4 \_\_\_\_\_

2. Applicant's D-U-N-S Number |\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|

6. Novice Applicant  Yes  No

3. Applicant's T-I-N |\_|\_|\_| - |\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|

7. Is the applicant delinquent on any Federal debt?  Yes  No  
(If "Yes," attach an explanation.)

4. Catalog of Federal Domestic Assistance #: **84. 3 | 3 | 6 | C |**

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

8. Type of Applicant (Enter appropriate letter in the box.) |\_\_\_\_|

- A - State
- B - Local
- C - Special District
- D - Indian Tribe
- E - Individual
- F - Independent School District
- G - Public College or University
- H - Private, Non-profit College or University
- I - Non-profit Organization
- J - Private, Profit-Making Organization

5. Project Director: \_\_\_\_\_

Address: \_\_\_\_\_

K - Other (Specify): \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip code + 4 \_\_\_\_\_

Tel. #: ( ) \_\_\_\_\_ - \_\_\_\_\_ Fax #: ( ) \_\_\_\_\_ - \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

9. State Application Identifier \_\_\_\_\_

### Application Information

**10. Type of Submission:**

- |   |   |
|---|---|
| <input type="checkbox"/> -PreApplication  | <input type="checkbox"/> -Application     |
| <input type="checkbox"/> Construction     | <input type="checkbox"/> Construction     |
| <input type="checkbox"/> Non-Construction | <input type="checkbox"/> Non-Construction |

13. Are any research activities involving human subjects planned at any time during the proposed project period?  
 Yes (Go to 13a.)  No (Go to item 14.)

11. Is application subject to review by Executive Order 12372 process?

Yes (Date made available to the Executive Order 12372 process for review): \_\_\_\_/\_\_\_\_/\_\_\_\_

No (If "No," check appropriate box below.)  
 Program is not covered by E.O. 12372.  
 Program has not been selected by State for review.

13a. Are all the research activities proposed designated to be exempt from the regulations?

Yes (Provide Exemption(s) #): \_\_\_\_\_

No (Provide Assurance #): \_\_\_\_\_

12. Proposed Project Dates: \_\_\_\_/\_\_\_\_/\_\_\_\_ - \_\_\_\_/\_\_\_\_/\_\_\_\_

**Start Date:**

**End Date:**

14. Descriptive Title of Applicant's Project: \_\_\_\_\_

### Estimated Funding

- 15a. Federal \$ \_\_\_\_\_ .00
- b. Applicant \$ \_\_\_\_\_ .00
- c. State \$ \_\_\_\_\_ .00
- d. Local \$ \_\_\_\_\_ .00
- e. Other \$ \_\_\_\_\_ .00
- f. Program Income \$ \_\_\_\_\_ .00
- g. TOTAL \$ \_\_\_\_\_ .00

### Authorized Representative Information

16. To the best of my knowledge and belief, all data in this preapplication/application are true and correct. The document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (Please type or print name clearly.) \_\_\_\_\_

b. Title: \_\_\_\_\_

c. Tel. #: ( ) \_\_\_\_\_ - \_\_\_\_\_ Fax #: ( ) \_\_\_\_\_ - \_\_\_\_\_

d. E-Mail Address: \_\_\_\_\_

e. Signature of Authorized Representative \_\_\_\_\_

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

## Instructions for Form ED 424

1. **Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
2. **D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number 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>.
3. **Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
4. **Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
5. **Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
6. **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 Form ED 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.
7. **Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
8. **Type of Applicant.** Enter the appropriate letter in the box provided.
9. **State Application Identifier.** State use only (if applicable).
10. **Type of Submission.** See "Definitions for Form ED 424" attached.
11. **Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (mm/dd/yyyy). Otherwise, check "No."
12. **Proposed Project Dates.** Please enter the month, day, and four (4) digit year (mm/dd/yyyy).
13. **Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 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 12 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 Form ED 424.")  
  
**13a. 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 Form ED 424." Insert this narrative immediately following the ED 424 face page.  
  
**13a. 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 Form ED 424." Insert this narrative immediately following the ED 424 face page.  
  
**13a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) 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 face page, 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.
14. **Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing

project location. For preapplications, use a separate sheet to provide a summary description of this project.

- 15. Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
- 16. Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item

15e, please enter the month, day, and four (4) digit year (mm/dd/yyyy) in the date signed field.

**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 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4700. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street SW, Room 7076, Washington, DC 20202-4260.

## Definitions for Form ED 424

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

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

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

**Type of Submission.** "Construction" includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). "Construction" also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term "equipment" includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

**Executive Order 12372.** The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to [http://12.46.245.173/pls/portal30/catalog.REQ\\_FOR\\_12372.show](http://12.46.245.173/pls/portal30/catalog.REQ_FOR_12372.show)

## 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 which 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 13 on the ED 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative and insert it immediately following the ED 424 face page.

### **A. Exempt Research Narrative.**

If you marked “Yes” for item 13 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 13 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 at <http://www.ed.gov/about/offices/list/ocfo/humansub.html>*

**Partner Participation in TQE Title II, Part A  
(HEA) Applications**

Applicants must inform the Department of all Teacher Quality Title II, Part A (HEA) grants in which they are currently participating, or any proposed applications for funding in which they agreed to participate, as a partner. Therefore, we ask that each applicant complete the form and submit it with the application.

**A.** Please state the name(s) of any **currently funded (FY 1999, FY 2000, FY 2002, FY 2003 or FY 2004)** Title II, Part A grant(s) in which you are a partnership member.

**1.** Project Title \_\_\_\_\_  
PR Award # \_\_\_\_\_  
Name of the Lead Organization (fiscal agent) \_\_\_\_\_  
\_\_\_\_\_  
Number of Partnership Members \_\_\_\_ IHEs \_\_\_\_ LEAs \_\_\_\_  
Businesses \_\_\_\_ Additional Partners \_\_\_\_  
Total Award Amount \$ \_\_\_\_\_

**2.** Project Title \_\_\_\_\_  
PR Award # \_\_\_\_\_  
Name of the Lead Organization (fiscal agent) \_\_\_\_\_  
\_\_\_\_\_  
Number of Partnership Members \_\_\_\_ IHEs \_\_\_\_ LEAs \_\_\_\_  
Businesses \_\_\_\_ Additional Partners \_\_\_\_  
Total Award Amount \$ \_\_\_\_\_

**3.** Project Title \_\_\_\_\_  
PR Award # \_\_\_\_\_  
Name of the Lead Organization (fiscal agent) \_\_\_\_\_  
\_\_\_\_\_  
Number of Partnership Members \_\_\_\_ IHEs \_\_\_\_ LEAs \_\_\_\_  
Businesses \_\_\_\_ Additional Partners \_\_\_\_  
Total Award Amount \$ \_\_\_\_\_

**B.** Please state the name(s) of any other proposed Title II, Part A grant application(s) for this year (FY 2005) in which you have committed to be a participating partner.

**1.** Project Title \_\_\_\_\_  
Name of the Lead Organization (fiscal agent) \_\_\_\_\_  
\_\_\_\_\_  
Number of Partnership Members \_\_\_ IHEs \_\_\_ LEAs \_\_\_  
Businesses \_\_\_\_\_ Additional Partners \_\_\_\_\_  
Total Request \$ \_\_\_\_\_

**2.** Project Title \_\_\_\_\_  
Name of the Lead Organization (fiscal agent) \_\_\_\_\_  
\_\_\_\_\_  
Number of Partnership Members \_\_\_ IHEs \_\_\_ LEAs \_\_\_  
Businesses \_\_\_\_\_ Additional Partners \_\_\_\_\_  
Total Request \$ \_\_\_\_\_

**3.** Project Title \_\_\_\_\_  
Name of the Lead Organization (fiscal agent) \_\_\_\_\_  
\_\_\_\_\_  
Number of Partnership Members \_\_\_ IHEs \_\_\_ LEAs \_\_\_  
Businesses \_\_\_\_\_ Additional Partners \_\_\_\_\_  
Total Request \$ \_\_\_\_\_

**STATE APPLICANTS  
TQE-R  
Eligibility Certification**

**1. STATE APPLICANT(S): Check ONE OR MORE of the following**

- Office of Governor \_\_\_\_\_,  
State of \_\_\_\_\_
- Individual, entity, or agency designated by law to be responsible for teacher preparation and certification for the State of \_\_\_\_\_.  
Please state the individual, entity, or agency's name:  
\_\_\_\_\_

**2. REQUIRED ACTIVITIES:** Applicants must implement all required activities under "A" or activities that they identify under "B". Please check to indicate which activities will be provided.

**A. Project activities will:**

- Provide scholarships to help students pay the costs of tuition, room, board, and other expenses of completing a teacher preparation program;
- Provide services (which may include academic advice and counseling, tutorial services, mentoring, child care and transportation) that scholarship recipients need to complete postsecondary education programs; and
- Provide follow-up services to former scholarship recipients during their first three years of teaching.

**OR**

**B. Project activities will:**

- Develop and implement effective mechanisms with the high-need LEAs that participate in the project to ensure that those districts and their high-need schools are able to effectively recruit highly qualified teachers.

**Please indicate whether scholarship assistance is to be offered:**

\_\_\_\_\_ **yes**      \_\_\_\_\_ **no**

**NOTE:** Where partnerships or states provide scholarship assistance, they determine the funding level and number of scholarships according to project goals and student needs. (For purposes of eligibility for federal financial assistance, this scholarship assistance must be taken into account along with other assistance provided under the HEA.)

**3. CERTIFICATION:**

I attest that the above eligibility criteria have been met by our state and we will provide, upon request, further documentation to support this.

---

(Signature)

(Date)

**PARTNERSHIP APPLICANTS**  
**TQE-R**  
**Eligibility Certification**

**I. APPLICANT ELIGIBILITY REQUIREMENTS:**

**A. Partner Institution with Teacher Preparation Program:**

1. Please list the name and address of your eligible partner institution. If there is more than one teacher training program in the partnership that meets the eligibility requirements, please choose one to list here:

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2. In order to be eligible to receive a TQE-R grant, the abovementioned partner institution must meet the following standards, which must be documented upon request. Please check *ONE OR MORE* of the following:

\_\_\_\_\_ Produces graduates who exhibit strong performance on state-determined qualifying assessments for new teachers by—  
Demonstrating that 80% or more of the program graduates who intend to enter teaching have passed all applicable state qualifying assessments for new teachers (including an assessment of each prospective teacher’s subject matter knowledge in the content area(s) in which the teacher intends to teach); or

\_\_\_\_\_ Produces graduates who exhibit strong performance on state-determined qualifying assessments for new teachers by—  
Ranking among the highest-performing teacher preparation programs in the state, as determined by the state using criteria consistent with the state report card (see section 207(b) of the HEA), and using the state report card on teacher preparation after its first publication and for every year thereafter; or

\_\_\_\_\_ Requires all students in the program to participate in intensive clinical experience, to meet high academic standards,

AND

In the case of secondary school candidates,

- \_\_\_\_\_ Requires all students to complete an academic major in the subject area in which the candidate intends to teach or
- \_\_\_\_\_ Demonstrate competence through a high level of performance in relevant content areas,

AND

- \_\_\_\_\_ In the case of elementary school candidates, Requires all students complete an academic major in the arts and sciences or
- \_\_\_\_\_ Requires all students to demonstrate competence through a high level of performance in core academic subject areas.

Please indicate what evidence you can provide to document your eligibility in this area:

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**B. School of Arts and Sciences:**

List the name of the partner school of arts and sciences (A&S). In the event that an A&S does not exist at the above named partner institution, please list the name and address below of the partner IHE, which will provide the A&S partner:

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**C. High-Need Local Educational Agency (LEA) (an eligible partnership must include a minimum of one high-need LEA):**

1. Please list the name and address of your eligible high-need LEA. If there is more than one high-need LEA in the partnership that meets the eligibility requirements, please choose one to list here:

---



---



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2. In order to be eligible to receive this grant, the above listed high-need LEA must meet the following standards. Please check **ONE OR MORE** of the following and be prepared to provide documentation upon request:

- \_\_\_\_\_ The LEA has at least one school in which 50 percent or more of the enrolled students are eligible for free or reduced lunch subsidies; or that otherwise is eligible,

without receipt of a waiver, to operate as a school wide program under Title I of the Elementary and Secondary Education Act.

\_\_\_\_\_ The LEA has at least one school in which more than 34 percent of academic classroom teachers at the secondary level (across all academic subjects) do not have a major, minor, or significant course work (four or more college- or graduate-level courses in the content area) in their main assignment field.

\_\_\_\_\_ The LEA has at least one school in which more than 34 percent of the faculty assigned to teach in any two academic departments do not have a major, minor, or significant course work in their main assignment field (the academic field in which teachers have the largest percentage of their classes).

\_\_\_\_\_ The LEA has at least one elementary or secondary school whose teacher attrition rate has been 15 percent or more over the last three school years.

## II. REQUIRED ACTIVITIES:

Applicants must implement all required activities under “A” or activities that they identify under “B”. Please check to indicate which activities will be provided.

### \_\_\_\_\_ A. Project Activities will:

- **Provide scholarships** to help students pay the costs of tuition, room, board, and other expenses of completing a teacher preparation program;
- **Provide support services** (which may include academic advice and counseling, tutorial services, mentoring, child care, and transportation) that scholarship recipients need to complete postsecondary education programs; and
- **Provide follow-up services** to former scholarship recipients during their first three years of teaching.

OR

### \_\_\_\_\_ B. Project Activities will:

- **Develop and implement effective mechanisms** with the high-need LEAs that participate in the project to ensure



that those districts and their high-need schools are able to effectively recruit highly qualified teachers.

**Please be sure to indicate whether scholarship assistance is to be offered:** \_\_\_\_\_ **yes** \_\_\_\_\_ **no**

**Note: Where partnerships or states provide scholarship assistance they determine the funding level and number of scholarships according to project goals and student needs. (For purposes of eligibility for federal financial assistance, this scholarship assistance must be taken into account along with other assistance provided under the HEA.)**

**III. CERTIFICATION:**

I attest that the above eligibility criteria have been met by our partnership and will provide, upon request, further documentation to support this.

---

(Signature)

(Date)

**Budget Forms**  
**And**  
**Instructions**



**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)



# Instructions for ED 524

## General Instructions

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

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

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

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

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

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

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

### Indirect Cost Information:

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. (2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check "Other," specify the name of the Federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR

76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

## Section B - Budget Summary Non-Federal Funds

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

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

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

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

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

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

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base

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

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

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

4. Provide other explanations or comments you deem necessary.

### Paperwork Burden Statement

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

## **BUDGET INFORMATION: HOW TO COMPLETE THE BUDGET PORTION OF YOUR GRANT APPLICATION**

In order to be considered for federal funding each applicant must provide the following:

- ED Form 524 Section A
- ED Form 524 Section B
- A descriptive budget narrative explaining the requested federal amounts for individual cost categories (double-spaced, 12 point font).
- A descriptive budget narrative outlining cash and/or in-kind match contributions for individual cost categories (double-spaced, 12 point font).

### **ED FORM 524**

ED Form 524 Section A is used to apply to individual U.S. Department of Education discretionary grant programs. All applicants must complete Section A.

ED Form 524 Section B is used to show matching funds from other non-federal resources or their in-kind equivalent to the project. All applicants must complete Section B.

### **INSTRUCTIONS TO COMPLETE ED FORM 524**

**Name:** Enter the Name of the organization or institution in the blank space provided.

**Personnel (line 1):** Enter project personnel salaries and wages only. Fees and expenses for consultants should be included on line 6. **Note:** Administrative costs should not exceed two percent of the total cost of the project.

**Fringe Benefits (line 2):** The applicant's normal fringe benefit contribution may be charged to the program. If the benefits exceed twenty-eight percent (28%), an explanation and justification must be provided. Leave this line blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect cost.

**Travel (line 3):** Indicate the travel costs of employees and participants only. Travel of consultants, trainees, etc. should be included on line 6. **Note:** Include travel funds for two project staff personnel to attend two (3 day) conferences in Washington DC.

**Equipment (line 4):** Indicate the cost of non-expendable personal property, which has a usefulness of greater than one year and acquisition cost of \$5,000 or more per unit. Lower limits may be established to maintain consistency with the applicant's policy.

**Supplies (line 5):** Show all tangible personal property except that which is included on line 4.

**Contractual (line 6):** Include consultant travel costs and fees.

**Construction (line 7):** Not applicable

**Other (line 8):** Indicate all direct costs not covered on lines 1-6. Examples are equipment rental, required fees, communication costs, utilities, or printing costs.

**Total Direct Costs (line 9):** The sum of lines 1-8.

**Indirect Costs (line 10):** Indirect costs are limited to no more than eight percent (8%) of the total direct cost base (line 9).

**Training Stipends (line 11):** Indicate the level of awards given to participants either in the form of stipends (non-repayable) or in the form of scholarships (repayable).

**Total Cost (line 12):** This should equal the sum of lines 9-11 (total direct costs + indirect + stipends). The sum for column one, labeled *Project Year 1 (a)*, should also be equal to item 14a on the application face sheet (ED Form 424).

## **DETAILED BUDGET NARRATIVE**

Each applicant must provide a budget narrative for requested federal funds and match contributions **for each program year**. You must limit your budget narrative to the equivalent of no more than 10 double-spaced pages, using a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch).

The budget narrative for requested federal funds should provide the justification of how money requested per budget category is intended to be spent.

A narrative must also be provided to describe cash or in-kind match contributions per budget category. The narrative must be more than a spreadsheet. It must explain the source and expected use of federal and matching funds by budget category.

The budget narrative provides an opportunity for the applicant to identify the proposed expenditure and the amount of the proposed expenditure. There should be enough detail to enable proposal readers and project staff to understand what funds will be used for, how much will be expended, the source of funds to be expended, and the relationship between expended funds and project activities and outcomes. Applicants' narratives should contain the following information:

### **Personnel**

- Provide the title of each position.
- Provide the salary for each position.
- Provide the amount of time each person will devote to the project.
- Explain the importance of each position to the success of the project.

### **Fringe Benefits**

- Give the fringe benefit percentages of all personnel in the project.

### **Travel**

- Provide the name of the personnel position(s) who will be traveling.
- Explain the purpose of the travel and how it relates to project success.
- Identify the travel destination.
- Give the individual costs related to the travel (per diem, hotel, airfare, ground transportation, mileage).



**Equipment**

- Identify each type of equipment.
- Provide the cost per equipment item.
- Explain the purpose of the equipment, and how it relates to project success.

**Supplies**

- Identify the type of supplies by general category (e.g. office supplies, instructional booklets, etc.).
- Provide the purpose for the purchasing of the supplies.

**Contractual**

- Identify the name(s) of the contracting party.
- Provide the cost per contractor(s).
- Provide the amount of time that the project will be working with the contractor(s).
- Provide the purpose and relation to project success.

**Construction**

No costs allowed.

**Other Direct Costs**

- Identify each type of cost in the *Other* category (e.g. communications, printing, postage, equipment rental).
- Provide the cost per item (printing=\$500, postage=\$750).
- Provide the purpose for the expenditures and relation to project success.

**Total Direct Costs**

The amount that is the sum of expenditures per lines 1-8 budget categories.

**Indirect Costs**

No more than 8% of the total direct cost amount.

**Training Stipends (Scholarships)**

- Identify the person(s) who will benefit from a scholarship/stipend.
- Provide the purpose of the stipend/scholarship award.
- Identify the cost per scholarship/stipend.
- Explain the importance of the scholarship/stipend to the success of the project.

**Matching Funds Budget Narrative**

The same detailed information must be provided for your project's cash and/or in kind contributions. The level of match your project must provide is outlined below

<b>Grant Type/Applicant</b>	<b>Year One</b>	<b>Year Two</b>	<b>Year Three</b>
TQE-R -- States	50% match	50% match	50% match
TQE-R -- Partnerships	25% match	35% match	50% match

An applicant can provide more than the minimum match required by the law; however, if an applicant exceeds the minimum match percent and is awarded federal funds, the

applicant will be required to match federal funds awarded by the original match percentage.

**Note:** If any conflict exists between the Notice and the application booklet regarding page limitations, parity guidelines, closing date information or any other aspect of this competition, the Notice shall supercede any information provided in this booklet.

# **Assurances: Required to Receive Federal Funding**

## CERTIFICATION REGARDING LOBBYING

Applicants must review the requirements for certification regarding lobbying included in the regulations cited below before completing this form. Applicants must sign this form to comply with the certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying." This certification is a material representation of fact upon which the Department of Education relies when it makes a grant or enters into a cooperative agreement.

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a Federal contract, grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

- (a) 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 making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
  
- (b) If any funds other than 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 grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;
  
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants and contracts under grants and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certification.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

**Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transactions**

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

**Instructions for Certification**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

**Certification**

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0014, 9/90 (Replaces GCS-009 (REV.12/88), which is obsolete)



**Disclosure of Lobbying Activities**

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

<b>1. Type of Federal Action:</b> a. contract _____ b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	<b>2. Status of Federal Action:</b> a. bid/offer/application _____ b. initial award c. post-award	<b>3. Report Type:</b> a. initial filing _____ b. material change  <b>For material change only:</b> Year _____ quarter _____ Date of last report _____
<b>1. Name and Address of Reporting Entity:</b> _____ Prime        _____ Subawardee Tier _____, if Known:  <b>Congressional District, if known:</b>		<b>2. If Reporting Entity in No. 4 is Subawardee,</b> Enter Name and Address of Prime:   <b>Congressional District, if known:</b>
<b>3. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____	
<b>4. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b>  \$ _____	
<b>10. a. Name and Address of Lobbying Registrant</b> (if individual, last name, first name, MI):	<b>b. Individuals Performing Services</b> (including address if different from No. 10a) (last name, first name, MI):	
<b>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.</b>	<b>Signature:</b> _____  <b>Print Name:</b> _____  <b>Title:</b> _____  <b>Telephone No.:</b> _____ <b>Date:</b> _____	
<b>Federal Use Only</b>	<b>Authorized for Local Reproduction          Standard Form - LLL (Rev. 7-97)</b>	

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

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

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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



## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

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

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

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

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

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

**Standard Form 424B (Rev. 7-97) Back**

**NOTICE TO ALL APPLICANTS**

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

**To Whom Does This Provision Apply?**

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

**What Does This Provision Require?**

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for

Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

**What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?**

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in Braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

### **Estimated Burden Statement for GEPA Requirements**

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 **1890-0007**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue SW, Washington, DC 20202-4250.



# Survey on Ensuring Equal Opportunity

*Do not enter information below unless instructed to do so.*

OMB No. 1890-0014 Exp. 1/31/2006

**Purpose:** This form is for applicants that are nonprofit private organizations (not including private universities). Please complete it to assist the Federal government in ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. Information provided on this form will not be considered in any way in making funding decisions and will not be included in the Federal grants database.

## Instructions for Submitting Survey

**If submitting hard copy,** please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it with your application package.

**If submitting electronically,** please include the PR Award Number assigned to your e-application in the box above entitled "*Do not enter information below unless instructed to do so.*" Place and seal the completed survey in an envelope and mail it to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7<sup>th</sup> and D Streets, SW, ROB-3, Room 3671, Washington, DC 20202-4725.

1. Does the applicant have 501(c)(3) status?  
 Yes                       No
2. 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
3. What is the size of the applicant's annual budget? (*Check only one box.*)  
 Less Than \$150,000  
 \$150,000 - \$299,999  
 \$300,000 - \$499,999  
 \$500,000 - \$999,999  
 \$1,000,000 - \$4,999,999  
 \$5,000,000 or more
4. Is the applicant a faith-based/religious organization?  
 Yes                       No
5. Is the applicant a non-religious community-based organization?  
 Yes                       No
6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?  
 Yes                       No
7. Has the applicant ever received a government grant or contract (Federal, State, or local )?  
 Yes                       No
8. Is the applicant a local affiliate of a national organization?  
 Yes                       No

## Survey Instructions on Ensuring Equal Opportunity for Applicants

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1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money your organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An “intermediary” is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory
8. Self-explanatory

### 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 1890-0014. The time required to complete this information collection is estimated to average five (5) 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 time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7<sup>th</sup> and D Streets, SW, ROB-3, Room 3671, Washington, DC 20202-4725.

# **Additional Reference Information**

## **SUPPLEMENTAL INFORMATION**

### **Who should be contacted for further information?**

If you have specific questions, and would like to speak with program staff, you may contact us at:

Teacher Quality Enhancement Grant Programs  
U.S. Department of Education  
Office of Postsecondary Education  
Telephone: 202/502/7878  
Fax: 202/502/7699  
Email: [teacherquality@ed.gov](mailto:teacherquality@ed.gov)

Individuals who use a telecommunications device for the deaf (TDD) may call the Federal Information Relay Service (FIRS) at 1-800-877-8339 between 8:00a.m. and 8:00 p.m., East Coast Time, Monday through Friday.

### **Where should I look for information about other funding opportunities from the Department of Education?**

Information about the Department's funding opportunities, including copies of the notice inviting applications for other discretionary grant competitions, can be viewed on the Department's home page at: <http://www.ed.gov/fund/landing.jhtml?src=rt>



## **Appendix**

### Intergovernmental Review of Federal Programs

This appendix applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on state and local processes for state and local government coordination and review of proposed federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the state's process under Executive Order 12372. Applicants proposing to perform activities in more than one state should immediately contact the Single Point of Contact for each of those states and follow the procedure established in each of those states under the Executive Order. A listing containing the Single Point of Contact for each state is included in this appendix.

In states that have not established a process or chosen a program for review, state, area wide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from state, area wide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the

following address: The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], U.S. Department of Education, Room 7W301, 400 Maryland Avenue, S.W., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS.

## STATE SINGLE POINTS OF CONTACT (SPOCs)

It is estimated that in 2004 the Federal Government will outlay \$400 billion in grants to state and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on state and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each state to designate an entity to perform this function. Below is the official list of those entities. For those states that have a home page for their designated entity, a direct link has been provided on the official version: <http://www.whitehouse.gov/omb/grants/spoc.html>.

States that are not listed on this page have chosen not to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within one of these States, you may still send application materials directly to a Federal awarding agency.

Contact information for Federal agencies that award grants can be found in Appendix IV of the Catalog of Federal Domestic Assistance.  
[http://12.46.245.173/pls/portal30/CATALOG.BROWSE\\_CATALOG\\_DYN.show](http://12.46.245.173/pls/portal30/CATALOG.BROWSE_CATALOG_DYN.show)

<p><b>ARKANSAS</b>  Tracy L. Copeland  Manager, State Clearinghouse  Office of Intergovernmental Services  Department of Finance and Administration  1515 W. 7<sup>th</sup> Street, Room 412  Little Rock, Arkansas 72203  Telephone: (501) 682-1074  FAX: (501) 682-5206  <a href="mailto:TlCopeland@dfa.state.ar.us">TlCopeland@dfa.state.ar.us</a></p>	<p><b>CALIFORNIA</b>  Grants Coordination  State Clearinghouse  Office of Planning and Research  P.O. Box 3044, Room 222  Sacramento, California 95812-3044  Telephone: (916) 445-0613  FAX: (916) 323-3018  <a href="mailto:State.clearinghouse@opr.ca.gov">State.clearinghouse@opr.ca.gov</a></p>
<p><b>DELAWARE</b>  Sandra R. Stump  Executive Department  Office of the Budget  540 S. Dupont Highway , 3<sup>rd</sup> Floor  Dover, Delaware 19901  Telephone: (302) 739-3323  FAX: (302) 739-5661  <a href="mailto:Sandy.stump@state.de.us">Sandy.stump@state.de.us</a></p>	<p><b>DISTRICT OF COLUMBIA</b>  Luisa Montero-Diaz  Office of Partnerships and Grants Development  Executive Office of the Mayor  District of Columbia Government  414 4<sup>th</sup> Street, NW, Suite 530 South  Washington, DC 20001  Telephone: (202) 727-8900  FAX: (202) 727-1652  <a href="mailto:opgd.eom@dc.gov">opgd.eom@dc.gov</a></p>
<p><b>FLORIDA</b>  Lauren P. Milligan  Florida State Clearinghouse  Florida Dept. of Environmental Protection  3900 Commonwealth Blvd., Mall Station 47  Tallahassee, Florida 32399-3000  Telephone: (850) 245-2161  FAX: (850) 245-2190  <a href="mailto:Lauren.Milligan@dep.state.fl.us">Lauren.Milligan@dep.state.fl.us</a></p>	<p><b>GEORGIA</b>  Barbara Jackson  Georgia State Clearinghouse  270 Washington Street, SW  Atlanta, Georgia 30334  Telephone: (404) 656-3855  FAX: (404) 656-7901  <a href="mailto:gach@mail.opb.state.ga.us">gach@mail.opb.state.ga.us</a></p>

<p><b>ILLINOIS</b>  Roukaya McCaffrey  Department of Commerce and  Economic Opportunities  620 East Adams, 6<sup>th</sup> Floor  Springfield, Illinois, 62701  Telephone: (217) 524-0188  FAX: (217) 558-0473  <a href="mailto:roukaya_mccaffrey@illinoisbiz.biz">roukaya_mccaffrey@illinoisbiz.biz</a></p>	<p><b>IOWA</b>  Steven R. McCann  Division of Community and Rural Development  Iowa Department of Economic Development  200 East Grand Avenue  Des Moines, Iowa 50309  Telephone: (515) 242-4719  FAX: (515) 242-4809  <a href="mailto:Steve.mccann@ided.state.ia.us">Steve.mccann@ided.state.ia.us</a></p>
<p><b>KENTUCKY</b>  Ron Cook  Department for Local Government  1024 Capital Center Drive, Suite 340  Frankfort, Kentucky 40601  Telephone: (502) 573-2382  FAX: (502) 573-2512  <a href="mailto:ron.cook@mail.state.ky.us">ron.cook@mail.state.ky.us</a></p>	<p><b>MAINE</b>  Joyce Benson  State Planning Office  184 State Street  38 State House Station  Augusta, Maine 04333  Telephone: (207) 287-3261  Telephone: (207) 1461  FAX: (207) 287-6489  <a href="mailto:joyce.benson@state.me.us">joyce.benson@state.me.us</a></p>
<p><b>MARYLAND</b>  Linda C. Janey, J.D.  Director, Capital Plng. &amp; Devel. Review  Maryland Department of Planning  301 West Preston Street – Room 1104  Baltimore, Maryland 21201-2305  Telephone: (410) 767-4490  FAX: (410) 767-4480  <a href="mailto:ljaney@mdp.state.md.us">ljaney@mdp.state.md.us</a></p>	
<p><b>MICHIGAN</b>  Richard Pfaff  Southeast Michigan Council of Governments  535 Griswold, Suite 300  Detroit, Michigan 48226  Telephone: (313) 961-4266  FAX: (313) 961-4869  <a href="mailto:pfaff@semcog.org">pfaff@semcog.org</a></p>	<p><b>MISSISSIPPI</b>  Cathy Mallette  Clearinghouse Officer  Department of Finance and Administration  1301 Woolfolk Building, Suite E  501 North West Street  Jackson, Mississippi 39201  Telephone: (601) 359-6762  Fax: (601) 359-6758</p>
<p><b>MISSOURI</b>  Angela Boessen  Federal Assistance Clearinghouse  Office of Administration  P.O. Box 809  Truman Building, Room 840  Jefferson City, Missouri 65102  Telephone: (573) 751-4834  FAX: (573) 522-4395  <a href="mailto:igr@mail.oa.state.mo.us">igr@mail.oa.state.mo.us</a></p>	<p><b>NEVADA</b>  Heather Elliott  Department of Administration  State Clearinghouse  209 E. Musser Street, Room 200  Carson City, Nevada 89701  Telephone: (775) 684-0209  FAX: (775) 684-0260  <a href="mailto:helliott@govmail.state.nv.us">helliott@govmail.state.nv.us</a></p>

<p><b>NEW HAMPSHIRE</b>  Jeffrey H. Taylor  Director, New Hampshire Office of State Planning  Attn: Intergovernmental Review Process  Mike Blake  2½ Beacon Street  Concord, New Hampshire 03301  Telephone: (603) 271-2155  FAX: (603) 271-1728  <a href="mailto:jtaylor@osp.state.nh.us">jtaylor@osp.state.nh.us</a></p>	<p><b>NEW MEXICO</b>  Ken Hughes  Local Government Division  Room 201, Bataan Memorial Building  Santa Fe, New Mexico 87503  Telephone: (505) 827-4370  FAX: (505) 827-4948  <a href="mailto:khughes@dfa.state.nm.us">khughes@dfa.state.nm.us</a></p>
<p><b>NEW YORK</b>  Linda Shkrell  Office of Public Security  Homeland Security Grants Coordination  633 3<sup>rd</sup> Avenue  New York, NY 10017  Telephone: (212) 867-1289  FAX: (212) 867-1725</p>	<p><b>NORTH DAKOTA</b>  Jim Boyd  Division of Community Services  600 East Boulevard Ave, Dept 105  Bismarck, North Dakota 58505-0170  Telephone: (701) 328-2094  FAX: (701) 328-2308  <a href="mailto:jboyd@state.nd.us">jboyd@state.nd.us</a></p>
<p><b>RHODE ISLAND</b>  Kevin Nelson  Department of Administration  Statewide Planning Program  One Capitol Hill  Providence Rhode Island 02908-5870  Telephone: (401) 222-2093  FAX: (401) 222-2083  <a href="mailto:knelson@doa.state.ri.us">knelson@doa.state.ri.us</a></p>	<p><b>SOUTH CAROLINA</b>  SC Clearinghouse  Budget and Control Board  Office of State Budget  1201 Main Street, Suite 950  Columbia, South Carolina 29201  Telephone: (803) 734-0494  FAX: (803) 734-0645  <a href="mailto:clearinghouse@budget.state.sc.us">clearinghouse@budget.state.sc.us</a></p>
<p><b>TEXAS</b>  Denise S. Francis  Director, State Grants Team  Governor's Office of Budget and Planning  P.O. Box 12428  Austin, Texas 78711  Telephone: (512) 305-9415  FAX: (512) 936-2681  <a href="mailto:dfrancis@governor.state.tx.us">dfrancis@governor.state.tx.us</a></p>	<p><b>UTAH</b>  Clare Walters  Utah State Clearinghouse  Governor's Office of Planning and Budget  State Capitol, Room 116  Salt Lake City, Utah 84114  Telephone: (801) 538-1555  FAX: (801) 538-1547  <a href="mailto:cwalters@gov.state.ut.us">cwalters@gov.state.ut.us</a></p>

<p><b>WEST VIRGINIA</b>  Fred Cutlip, Director  Community Development Division  West Virginia Development Office  Building #6, Room 553  Charleston, West Virginia 25305  Telephone: (304) 558-4010  FAX: (304) 558-3248  <a href="mailto:fcutlip@wvdo.org">fcutlip@wvdo.org</a></p>	<p><b>WISCONSIN</b>  Jeff Smith  Section Chief, Federal/State Relations  Wisconsin Department of Administration  101 East Wilson Street – 6<sup>th</sup> Floor  P.O. Box 7868  Madison, Wisconsin 53707  Telephone: (608) 266-0267  FAX: (608) 267-6931  <a href="mailto:jeffrey.smith@doa.state.wi.us">jeffrey.smith@doa.state.wi.us</a></p>
<p><b>AMERICAN SAMOA</b>  Pat M. Galea'i  Federal Grants/Programs Coordinator  Office of Federal Programs/Office of the Governor  Department of Commerce  American Samoa Government  Pago Pago, American Samoa 96799  Telephone: (684) 633-5155  Fax: (684) 633-4195  <a href="mailto:pmgaleai@samoatelco.com">pmgaleai@samoatelco.com</a></p>	<p><b>GUAM</b>  Director  Bureau of Budget and Mgmt. Research  Office of the Governor  P.O. Box 2950  Agana, Guam 96910  Telephone: 011-671-472-2285  FAX: 011-671-472-2825  <a href="mailto:jer@ns.gov.gu">jer@ns.gov.gu</a></p>
<p><b>PUERTO RICO</b>  Jose Caballero / Mayra Silva  Puerto Rico Planning Board  Federal Proposals Review Office  Minillas Government Center  P.O. Box 41119  San Juan, Puerto Rico 00940-1119  Telephone: (787) 723-6190  FAX: (787) 722-6783</p>	<p><b>NORTH MARIANA ISLANDS</b>  Ms. Jacoba T. Seman  Federal Programs Coordinator  Office of Management and Budget  Office of the Governor  Saipan, MP 96950  Telephone: (670) 664-2289  FAX: (670) 664-2272  <a href="mailto:omb.jseman@saipan.com">omb.jseman@saipan.com</a></p>
<p><b>VIRGIN ISLANDS</b>  Ira Mills  Director, Office of Management and Budget  # 41 Norre Gade Emancipation Garden  Station,  Second Floor  Saint Thomas, Virgin Islands 00802  Telephone: (340) 774-0750  FAX: (787) 776-0069  <a href="mailto:irmills@usvi.org">irmills@usvi.org</a></p>	

Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to [grants@omb.eop.gov](mailto:grants@omb.eop.gov). If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management  
Office of Management and Budget  
New Executive Office Building, Suite 6025  
725 17<sup>th</sup> Street, NW  
Washington, DC 20503

Please note: **Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the CFDA.**

**Important Notice to Prospective Participants in  
U.S. Department of Education  
Contract and Grant Programs**

**GRANTS**

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds. Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste. For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that:

**Failure to meet a deadline will mean that an applicant will be rejected without any consideration.**

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$555.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.) In addition, the Federal Register is available on-line for free on Government Printing Office (GPO) Access: <http://www.gpoaccess.gov/nara/index.html>. Depository Library location and Federal Register services: [http://www.archives.gov/federal\\_register/index.html](http://www.archives.gov/federal_register/index.html).

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register. Questions regarding submission of applications may be addressed to:

U.S. Department of Education  
Application Control Center  
Washington, D.C. 20202-4725

**CONTRACTS**

Competitive procurement actions undertaken by the ED are governed by the Federal Acquisition Regulations and implementing Department of Education Acquisition Regulations.

Generally, prospective competitive procurement actions are synopsisized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP). All of ED's RFP's are now available on-line for downloading at the following url: <http://www.ed.gov/fund/contract/apply/currfrp.html>.

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracts Specialist identified on the face page of the RFP. Offers are judged in competition with others, and failure to conform with any substantive

requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP. A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents  
U.S. Government Printing Office  
Washington, D.C. 20402-9371

In addition, the Commerce Business Daily is available on-line for free at the following url: <http://cbdnet.access.gpo.gov/>. The Federal Acquisition Regulations are available on-line at the following url: <http://www.arnet.gov/far/>. In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

ED FORM 5348, 7/01



**35 Sec. 202 HIGHER EDUCATION ACT OF 1965**  
**TITLE II—TEACHER QUALITY ENHANCEMENT**  
**PART A—TEACHER QUALITY ENHANCEMENT GRANTS FOR STATES AND PARTNERSHIPS**

**SEC. 201. [20 U.S.C. 1021] PURPOSES; DEFINITIONS.**

(a) PURPOSES.—The purposes of this part are to—

- (1) improve student achievement;
- (2) improve the quality of the current and future teaching force by improving the preparation of prospective teachers and enhancing professional development activities;
- (3) hold institutions of higher education accountable for preparing teachers who have the necessary teaching skills and are highly competent in the academic content areas in which the teachers plan to teach, such as mathematics, science, English, foreign languages, history, economics, art, civics, Government, and geography, including training in the effective uses of technology in the classroom; and
- (4) recruit highly qualified individuals, including individuals from other occupations, into the teaching force.

(b) DEFINITIONS.—In this part:

(1) ARTS AND SCIENCES.—The term “arts and sciences” means—

(A) when referring to an organizational unit of an

institution of higher education, any academic unit that offers 1 or more academic majors in disciplines or content areas corresponding to the academic subject matter areas in which teachers provide instruction; and

(B) when referring to a specific academic subject matter area, the disciplines or content areas in which academic majors are offered by the arts and science organizational unit.

(2) HIGH NEED LOCAL EDUCATIONAL AGENCY.—The term

“high need local educational agency” means a local educational agency that serves an elementary school or secondary school located in an area in which there is—

(A) a high percentage of individuals from families with incomes below the poverty line;

(B) a high percentage of secondary school teachers not teaching in the content area in which the teachers were trained to teach; or

(C) a high teacher turnover rate.

(3) POVERTY LINE.—The term “poverty line”

means the poverty line (as defined by the Office of Management and Budget, and revised annually in accordance with section 673(2) of the Community Services Block Grant Act (42 U.S.C. 9902(2))) applicable to a family of the size involved.

**SEC. 202. [20 U.S.C. 1022] STATE GRANTS.**

(a) IN GENERAL.—From amounts made available under section 210(1) for a fiscal year, the Secretary is authorized to award grants under this section, on a competitive basis, to eligible States to enable the eligible States to carry out the activities described in subsection (d).

(b) ELIGIBLE STATE.—

(1) DEFINITION.—In this part, the term “eligible State” means—

(A) the Governor of a State; or

(B) in the case of a State for which the constitution or law of such State designates another individual, entity, or agency in the State to be responsible for teacher certification and preparation activity, such individual, entity, or agency.

(2) CONSULTATION.—The Governor and the individual, entity, or agency designated under paragraph (1) shall consult with the Governor, State board of

education, State educational agency, or State agency for higher education, as appropriate, with respect to the activities assisted under this section.

(3) CONSTRUCTION.— Nothing in this subsection shall be construed to negate or supersede the legal authority under State law of any State agency, State entity, or State public official over programs that are under the jurisdiction of the agency, entity, or official.

(c) APPLICATION.— To be eligible to receive a grant under this section, an eligible State shall, at the time of the initial grant application, submit an application to the Secretary that—

(1) meets the requirement of this section;

(2) includes a description of how the eligible State intends to use funds provided under this section; and

(3) contains such other information and assurances as the Secretary may require.

(d) USES OF FUNDS.— An eligible State that receives a grant under this section shall use the grant funds to reform teacher preparation requirements, and to ensure that current and future teachers possess the necessary teaching skills and academic content knowledge in

the subject areas in which the teachers are assigned to teach, by carrying out 1 or more of the following activities:

(1) REFORMS.— Implementing reforms that hold institutions of higher education with teacher preparation programs accountable for preparing teachers who are highly competent in the academic content areas in which the teachers plan to teach, and possess strong teaching skills, which may include the use of rigorous subject matter competency tests and the requirement that a teacher have an academic major in the subject area, or related discipline, in which the teacher plans to teach.

(2) CERTIFICATION OR LICENSURE REQUIREMENTS.— Reforming teacher certification or licensure requirements to ensure that teachers have the necessary teaching skills and academic content knowledge in the subject areas in which teachers are assigned to teach.

(3) ALTERNATIVES TO TRADITIONAL PREPARATION FOR TEACHING.— Providing prospective teachers with alternatives to traditional preparation for teaching through programs at colleges of arts and sciences or at nonprofit educational organizations.

(4) ALTERNATIVE ROUTES TO STATE CERTIFICATION.— Carrying out programs that—

(A) include support during the initial teaching experience; and

(B) establish, expand, or improve alternative routes to State certification of teachers for highly qualified individuals, including mid-career professionals from other occupations, paraprofessionals, former military personnel and recent college graduates with records of academic distinction.

(5) RECRUITMENT; PAY; REMOVAL.— Developing and implementing effective mechanisms to ensure that local educational agencies and schools are able to effectively recruit highly qualified teachers, to financially reward those teachers and principals whose students have made significant progress toward high academic performance, such as through performance-based compensation systems and access to ongoing professional development opportunities for teachers and administrators, and to expeditiously remove incompetent or unqualified teachers consistent with procedures to ensure due process for the teachers.

(6) SOCIAL PROMOTION.— Development and implementation of efforts to address the problem of social promotion and to prepare teachers to effectively address the to enable the eligible partnerships to carry out the activities described in subsections (d) and (e).

(b) DEFINITIONS.—

(1) ELIGIBLE PARTNERSHIPS.—In this part, the term “eligible partnerships” means an entity that—

(A) shall include—

(i) a partner institution;

(ii) a school of arts and sciences; and

(iii) a high need local educational agency; and

(B) may include a Governor, State educational agency, the State board of education, the State agency for higher education, an institution of higher education not described in subparagraph (A), a public charter school, a public or private elementary school or secondary school, a public or private nonprofit educational organization, a business, a teacher organization, or a prekindergarten program.

(2) PARTNER INSTITUTION.—In this section, the term “partner institution” means a private independent or State-supported public institution of higher

issues raised by ending the practice of social promotion.

(7) RECRUITMENT.— Activities described in section 204(d).

**SEC. 203. [20 U.S.C. 1023] PARTNERSHIP GRANTS.**

education, the teacher training program of which demonstrates that—

(A) graduates from the teacher training program exhibit strong performance on State-determined qualifying assessments for new teachers through—

(i) demonstrating that 80 percent or more of the graduates of the program who intend to enter the field of teaching have passed all of the applicable State qualification assessments for new teachers, which shall include an assessment of each prospective teacher’s subject matter knowledge in the content area or areas in which the teacher intends to teach; or

(ii) being ranked among the highest-performing teacher preparation programs in the State as determined by the State—

(I) using criteria consistent with the requirements for the State report card under section 207(b); and

(II) using the State report card on teacher preparation required under section 207(b), after the first publication of such

(a) GRANTS.—From amounts made available under section 210(2) for a fiscal year, the Secretary is authorized to award grants under this section, on a competitive basis, to eligible partnerships report card and for every year thereafter; or

(B) the teacher training program requires all the students of the program to participate in intensive clinical experience, to meet high academic standards, and—

(i) in the case of secondary school candidates, to successfully complete an academic major in the subject area in which the candidate intends to teach or to demonstrate competence through a high level of performance in relevant content areas; and

(ii) in the case of elementary school candidates, to successfully complete an academic major in the arts and sciences or to demonstrate competence through a high level of performance in core academic subject areas.

(c) APPLICATION.— Each eligible partnership desiring a grant under this section shall submit an application to the Secretary at such time, in such manner, and accompanied by such information as the Secretary may require.

Each such application shall—

- (1) contain a needs assessment of all the partners with respect to teaching and learning and a description of how the partnership will coordinate with other teacher training or professional development programs, and how the activities of the partnership will be consistent with State, local, and other education reform activities that promote student achievement;
- (2) contain a resource assessment that describes the resources available to the partnership, the intended use of the grant funds, including a description of how the grant funds will be fairly distributed in accordance with subsection (f), and the commitment of the resources of the partnership to the activities assisted under this part, including financial support, faculty participation, time commitments, and continuation of the activities when the grant ends; and
- (3) contain a description of—
  - (A) how the partnership will meet the purposes of this part;
  - (B) how the partnership will carry out the activities required under subsection (d) and any permissible activities under subsection (e); and

(C) the partnership's evaluation plan pursuant to section 206(b).

(d) **REQUIRED USES OF FUNDS.**—An eligible partnership that receives a grant under this section shall use the grant funds to carry out the following activities:

(1) **REFORMS.**—Implementing reforms within teacher preparation programs to hold the programs accountable for preparing teachers who are highly competent in the academic content areas in which the teachers plan to teach, and for promoting strong teaching skills, including working with a school of arts and sciences and integrating reliable research-based teaching methods into the curriculum, which curriculum shall include programs designed to successfully integrate technology into teaching and learning.

(2) **CLINICAL EXPERIENCE AND INTERACTION.**—Providing sustained and high quality preservice clinical experience including the mentoring of prospective teachers by veteran teachers, and substantially increasing interaction between faculty at institutions of higher education and new and experienced teachers, principals, and other administrators at elementary schools or

secondary schools, and providing support, including preparation time, for such interaction.

(3) **PROFESSIONAL DEVELOPMENT.**—Creating opportunities for enhanced and ongoing professional development that improves the academic content knowledge of teachers in the subject areas in which the teachers are certified to teach or in which the teachers are working toward certification to teach, and that promotes strong teaching skills.

(e) **ALLOWABLE USES OF FUNDS.**—An eligible partnership that receives a grant under this section may use such funds to carry out the following activities:

(1) **TEACHER PREPARATION AND PARENT INVOLVEMENT.**—Preparing teachers to work with diverse student populations, including individuals with disabilities and limited English proficient individuals, and involving parents in the teacher preparation program reform process.

(2) **DISSEMINATION AND COORDINATION.**—Broadly disseminating information on effective practices used by the partnership, and coordinating with the activities of the Governor, State board of education, State higher education agency, and

State educational agency, as appropriate.

(3) **MANAGERIAL AND LEADERSHIP SKILLS.**—Developing and implementing proven mechanisms to provide principals and superintendents with effective managerial and leadership skills that result in increased student achievement.

(4) **TEACHER RECRUITMENT.**—Activities described in section 204(d).

(f) **SPECIAL RULE.**—No individual member of an eligible partnership shall retain more than 50 percent of the funds made available to the partnership under this section.

(g) **CONSTRUCTION.**—Nothing in this section shall be construed to prohibit an eligible partnership from using grant funds to coordinate with the activities of more than one Governor, State board of education, State educational agency, local educational agency, or State agency for higher education.

**SEC. 204. [20 U.S.C. 1024] TEACHER RECRUITMENT GRANTS.**

(a) **PROGRAM AUTHORIZED.**—From amounts made available under section 210(3) for a fiscal year, the Secretary is authorized to award grants, on a competitive basis, to eligible applicants to enable the eligible applicants to carry out

activities described in subsection (d).

(b) **ELIGIBLE APPLICANT**

**DEFINED.**—In this part, the term “eligible applicant” means—

(1) an eligible State described in section 202(b); or

(2) an eligible partnership described in section 203(b).

(c) **APPLICATION.**—Any eligible applicant desiring to receive a grant under this section shall submit an application to the Secretary at such time, in such form, and containing such information as the Secretary may require, including—

(1) a description of the assessment that the eligible applicant, and the other entities with whom the eligible applicant will carry out the grant activities, have undertaken to determine the most critical needs of the participating high-need local educational agencies;

(2) a description of the activities the eligible applicant will carry out with the grant; and

(3) a description of the eligible applicant’s plan for continuing the activities carried out with the grant, once Federal funding ceases.

(d) **USES OF FUNDS.**—Each eligible applicant receiving a grant under this section shall use the grant funds—

(1)(A) to award scholarships to help

students pay the costs of tuition, room, board, and other expenses of completing a teacher preparation program;

(B) to provide support services, if needed to enable scholarship recipients to complete postsecondary education programs; and

(C) for followup services provided to former scholarship recipients during the recipients first 3 years of teaching; or

(2) to develop and implement effective mechanisms to ensure that high need local educational agencies and schools are able to effectively recruit highly qualified teachers.

(e) **SERVICE REQUIREMENTS.**—The Secretary shall establish such requirements as the Secretary finds necessary to ensure that recipients of scholarships under this section who complete teacher education programs subsequently teach in a high-need local educational agency, for a period of time equivalent to the period for which the recipients receive scholarship assistance, or repay the amount of the scholarship. The Secretary shall use any such repayments to carry out additional activities under this section.

**SEC. 205. [20 U.S.C. 1025] ADMINISTRATIVE PROVISIONS.**

(a) DURATION; ONE-TIME AWARDS; PAYMENTS.—  
(1) DURATION.—  
(A) ELIGIBLE STATES AND ELIGIBLE APPLICANTS.— Grants awarded to eligible States and eligible applicants under this part shall be awarded for a period not to exceed 3 years.  
(B) ELIGIBLE PARTNERSHIPS.— Grants awarded to eligible partnerships under this part shall be awarded for a period of 5 years.  
(2) ONE-TIME AWARD.—An eligible State and an eligible partnership may receive a grant under each of sections 202, 203, and 204 only once.  
(3) PAYMENTS.—The Secretary shall make annual payments of grant funds awarded under this part.  
(b) PEER REVIEW.—  
(1) PANEL.—The Secretary shall provide the applications submitted under this part to a peer review panel for evaluation. With respect to each application, the peer review panel shall initially recommend the application for funding or for disapproval.  
(2) PRIORITY.—In recommending applications to the Secretary for funding under this part, the panel shall—  
(A) with respect to grants under section 202, give priority to

eligible States serving States that—  
(i) have initiatives to reform State teacher certification requirements that are designed to ensure that current and future teachers possess the necessary teaching skills and academic content knowledge in the subject areas in which the teachers are certified or licensed to teach;  
(ii) include innovative reforms to hold institutions of higher education with teacher preparation programs accountable for preparing teachers who are highly competent in the academic content area in which the teachers plan to teach and have strong teaching skills; or  
(iii) involve the development of innovative efforts aimed at reducing the shortage of highly qualified teachers in high poverty urban and rural areas;  
(B) with respect to grants under section 203—  
(i) give priority to applications from eligible partnerships that involve businesses; and  
(ii) take into consideration—  
(I) providing an equitable geographic distribution of the grants throughout the United States; and  
(II) the potential of the proposed activities for

creating improvement and positive change.  
(3) SECRETARIAL SELECTION.—The Secretary shall determine, based on the peer review process, which application shall receive funding and the amounts of the grants. In determining grant amounts, the Secretary shall take into account the total amount of funds available for all grants under this part and the types of activities proposed to be carried out.  
(c) MATCHING REQUIREMENTS.—  
(1) STATE GRANTS.— Each eligible State receiving a grant under section 202 or 204 shall provide, from non-Federal sources, an amount equal to 50 percent of the amount of the grant (in cash or in kind) to carry out the activities supported by the grant.  
(2) PARTNERSHIP GRANTS.—Each eligible partnership receiving a grant under section 203 or 204 shall provide, from non-Federal sources (in cash or in kind), an amount equal to 25 percent of the grant for the first year of the grant, 35 percent of the grant for the second year of the grant, and 50 percent of the grant for each succeeding year of the grant.  
(d) LIMITATION ON ADMINISTRATIVE EXPENSES.—An eligible State or eligible partnership that receives a grant under

this part may not use more than 2 percent of the grant funds for purposes of administering the grant.

**(e) TEACHER QUALIFICATIONS PROVIDED TO PARENTS UPON REQUEST.**

—Any local educational agency or school that benefits from the activities assisted under this part shall make available, upon request and in an understandable and uniform format, to any parent of a student attending any school served by the local educational agency, information regarding the qualification of the student’s classroom teacher with regard to the subject matter in which the teacher provides instruction. The local educational agency shall inform parents that the parents are entitled to receive the information upon request.

**SEC. 206. [20 U.S.C. 1026]**

**ACCOUNTABILITY AND EVALUATION.**

**(a) STATE GRANT ACCOUNTABILITY REPORT.**—An eligible State that receives a grant under section 202 shall submit an annual accountability report to the Secretary, the Committee on Labor and Human Resources of the Senate, and the Committee on Education and the Workforce of the House of Representatives.

Such report shall include a description of the degree to which the eligible State, in using funds provided under such section, has made substantial progress in meeting the following goals:

**(1) STUDENT ACHIEVEMENT.**—Increasing student achievement for all students as defined by the eligible State.

**(2) RAISING STANDARDS.**—Raising the State academic standards required to enter the teaching profession, including, where appropriate, through the use of incentives to incorporate the requirement of an academic major in the subject, or related discipline, in which the teacher plans to teach.

**(3) INITIAL CERTIFICATION OR LICENSURE.**—Increasing success in the pass rate for initial State teacher certification or licensure, or increasing the numbers of highly qualified individuals being certified or licensed as teachers through alternative programs.

**(4) CORE ACADEMIC SUBJECTS.**—**(A) SECONDARY SCHOOL CLASSES.**—Increasing the percentage of secondary school classes taught in core academic subject areas by teachers—

(i) with academic majors in those areas or in a related field;

(ii) who can demonstrate a high level of competence through rigorous academic subject area tests;

or

(iii) who can demonstrate competence through a high level of performance in relevant content areas.

**(B) ELEMENTARY SCHOOL CLASSES.**—Increasing the percentage of elementary school classes taught by teachers—

(i) with academic majors in the arts and sciences;

or

(ii) who can demonstrate competence through a high level of performance in core academic subjects.

**(5) DECREASING TEACHER SHORTAGES.**—Decreasing shortages of qualified teachers in poor urban and rural areas.

**(6) INCREASING OPPORTUNITIES FOR PROFESSIONAL DEVELOPMENT.**

—Increasing opportunities for enhanced and ongoing professional development that improves the academic content knowledge of teachers in the subject areas in which the teachers are certified or licensed to teach or in which the teachers are

working toward certification or licensure to teach, and that promotes strong teaching skills.

**(7) TECHNOLOGY INTEGRATION.—**

Increasing the number of teachers prepared to integrate technology in the classroom.

**(b) ELIGIBLE PARTNERSHIP EVALUATION.—**

Each eligible partnership receiving a grant under section 203 shall establish and include in the application submitted under section 203(c), an evaluation plan that includes strong performance objectives. The plan shall include objectives and measures for—

- (1) increased student achievement for all students as measured by the partnership;
- (2) increased teacher retention in the first 3 years of a teacher's career;
- (3) increased success in the pass rate for initial State certification or licensure of teachers; and
- (4) increased percentage of secondary school classes taught in core academic subject areas by teachers—
  - (A) with academic majors in the areas or in a related field; and
  - (B) who can demonstrate a high level of competence through rigorous academic subject area tests or who can demonstrate competence through a

high level of performance in relevant content areas;

(5) increasing the percentage of elementary school classes taught by teachers with academic majors in the arts and sciences or who demonstrate competence through a high level of performance in core academic subject areas; and

(6) increasing the number of teachers trained in technology.

**(c) REVOCATION OF GRANT.—**

(1) **REPORT.—**Each eligible State or eligible partnership receiving a grant under this part shall report annually on the progress of the eligible State or eligible partnership toward meeting the purposes of this part and the goals, objectives, and measures described in subsections (a) and (b).

(2) **REVOCATION.—**

**(A) ELIGIBLE STATES AND ELIGIBLE APPLICANTS.—**If the Secretary determines that an eligible State or eligible applicant is not making substantial progress in meeting the purposes, goals, Objectives, and measures, as appropriate, by the end of the second year of a grant under this part, then the grant payment shall not be made for the third year of the grant.

**(B) ELIGIBLE PARTNERSHIPS.—**If the Secretary determines that an eligible partnership is not making substantial progress in meeting the purposes, goals, objectives, and measures, as appropriate, by the end of the third year of a grant under this part, then the grant payments shall not be made for any succeeding year of the grant.

**(d) EVALUATION AND DISSEMINATION.—**The Secretary shall evaluate the activities funded under this part and report the Secretary's findings regarding the activities to the Committee on Labor and Human Resources of the Senate and the Committee on Education and the Workforce of the House of Representatives. The Secretary shall broadly disseminate successful practices developed by eligible States and eligible partnerships under this part, and shall broadly disseminate information regarding such practices that were found to be ineffective.

**SEC. 207. [20 U.S.C. 1027]**

**ACCOUNTABILITY FOR PROGRAMS THAT PREPARE TEACHERS.**

**(a) DEVELOPMENT OF DEFINITIONS AND REPORTING METHODS.—**

Within 9 months of the date of enactment of the



Higher Education Amendments of 1998, the Commissioner of the National Center for Education Statistics, in consultation with States and institutions of higher education, shall develop key definitions for terms, and uniform reporting methods (including the key definitions for the consistent reporting of pass rates), related to the performance of elementary school and secondary school teacher preparation programs.

(b) STATE REPORT CARD ON THE QUALITY OF TEACHER PREPARATION.

—Each State that receives funds under this Act shall provide to the Secretary, within 2 years of the date of enactment of the Higher Education Amendments of 1998, and annually thereafter, in a uniform and comprehensible manner that conforms with the definitions and methods established in subsection (a), a State report card on the quality of teacher preparation in the State, which shall include at least the following:

(1) A description of the teacher certification and licensure assessments, and any other certification and licensure requirements, used by the State.

(2) The standards and criteria that prospective teachers

must meet in order to attain initial teacher certification or licensure and to be certified or licensed to teach particular subjects or in particular grades within the State.

(3) A description of the extent to which the assessments and requirements described in paragraph (1) are aligned with the State's standards and assessments for students.

(4) The percentage of teaching candidates who passed each of the assessments used by the State for teacher certification and licensure, and the passing score on each assessment that determines whether a candidate has passed that assessment.

(5) The percentage of teaching candidates who passed each of the assessments used by the State for teacher certification and licensure, disaggregated and ranked, by the teacher preparation program in that State from which the teacher candidate received the candidate's most recent degree, which shall be made available widely and publicly.

(6) Information on the extent to which teachers in the State are given waivers of State certification or licensure requirements, including the proportion of such teachers distributed across high- and low-poverty school districts

and across subject areas.

(7) A description of each State's alternative routes to teacher certification, if any, and the percentage of teachers certified through alternative certification routes who pass State teacher certification or licensure assessments.

(8) For each State, a description of proposed criteria for assessing the performance of teacher preparation programs within institutions of higher education in the State, including indicators of teacher candidate knowledge and skills.

(9) Information on the extent to which teachers or prospective teachers in each State are required to take examinations or other assessments of their subject matter knowledge in the area or areas in which the teachers provide instruction, the standards established for passing any such assessments, and the extent to which teachers or prospective teachers are required to receive a passing score on such assessments in order to teach in specific subject areas or grade levels.

(c) INITIAL REPORT.—

(1) IN GENERAL.—Each State that receives funds under this Act, not later than 6 months of the date of enactment of the Higher Education Amendments of 1998 and in a uniform and

comprehensible manner, shall submit to the Secretary the information described in paragraphs (1), (5), and (6) of subsection (b). Such information shall be compiled by the Secretary and submitted to the Committee on Labor and Human Resources of the Senate and the Committee on Education and the Workforce of the House of Representatives not later than 9 months after the date of enactment of the Higher Education Amendments of 1998.

(2) CONSTRUCTION.— Nothing in this subsection shall be construed to require a State to gather information that is not in the possession of the State or the teacher preparation programs in the State, or readily available to the State or teacher preparation programs.

(d) REPORT OF THE SECRETARY ON THE QUALITY OF TEACHER PREPARATION.—

(1) REPORT CARD.— The Secretary shall provide to Congress, and publish and make widely available, a report card on teacher qualifications and preparation in the United States, including all the information reported in paragraphs (1) through (9) of subsection (b). Such report shall identify States for which eligible States and eligible

partnerships received a grant under this part. Such report shall be so provided, published and made available not later than 2 years 6 months after the date of enactment of the Higher Education Amendments of 1998 and annually thereafter.

(2) REPORT TO CONGRESS.— The Secretary shall report to Congress—

(A) a comparison of States' efforts to improve teaching quality; and  
(B) regarding the national mean and median scores on any standardized test that is used in more than 1 State for teacher certification or licensure.

(3) SPECIAL RULE.— In the case of teacher preparation programs with fewer than 10 graduates taking any single initial teacher certification or licensure assessment during an academic year, the Secretary shall collect and publish information with respect to an average pass rate on State certification or licensure assessments taken over a 3-year period.

(e) COORDINATION.— The Secretary, to the extent practicable, shall coordinate the information collected and published under this part among States for individuals who took State teacher certification or licensure assessments in a State

other than the State in which the individual received the individual's most recent degree.

(f) INSTITUTIONAL REPORT CARDS ON THE QUALITY OF TEACHER

PREPARATION.—

(1) REPORT CARD.— Each institution of higher education that conducts a teacher preparation program that enrolls students receiving Federal assistance under this Act, not later than 18 months after the date of enactment of the Higher Education Amendments of 1998 and annually thereafter, shall report to the State and the general public, in a uniform and comprehensible manner that conforms with the definitions and methods established under subsection (a), the following information:

(A) PASS RATE.— (i) For the most recent year for which the information is available, the pass rate of the institution's graduates on the teacher certification or licensure assessments of the State in which the institution is located, but only for those students who took those assessments within 3 years of completing the program.

(ii) A comparison of the program's pass rate with the average pass rate for programs in the State.

(iii) In the case of teacher preparation

programs with fewer than 10 graduates taking any single initial teacher certification or licensure assessment during an academic year, the institution shall collect and publish information with respect to an average pass rate on State certification or licensure assessments taken over a 3-year period.

(B) PROGRAM INFORMATION.—The number of students in the program, the average number of hours of supervised practice teaching required for those in the program, and the faculty-student ratio in supervised practice teaching.

(C) STATEMENT.—In States that approve or accredit teacher education programs, a statement of whether the institution's program is so approved or accredited.

(D) DESIGNATION AS LOW-PERFORMING.—Whether the program has been designated as low-performing by the State under section 208(a).

(2) REQUIREMENT.—The information described in paragraph (1) shall be reported through publications such as school catalogs and promotional materials sent to potential applicants, secondary school guidance counselors, and prospective employers of the

institution's program graduates.

(3) FINES.—In addition to the actions authorized in section 487(c), the Secretary may impose a fine not to exceed \$25,000 on an institution of higher education for failure to provide the information described in this subsection in a timely or accurate manner.

**SEC. 208. [20 U.S.C. 1028] STATE FUNCTIONS.**

(a) STATE ASSESSMENT.—In order to receive funds under this Act, a State, not later than 2 years after the date of enactment of the Higher Education Amendments of 1998, shall have in place a procedure to identify, and assist, through the provision of technical assistance, low-performing programs of teacher preparation within institutions of higher education. Such State shall provide the Secretary an annual list of such low-performing institutions that includes an identification of those institutions at-risk of being placed on such list. Such levels of performance shall be determined solely by the State and may include criteria based upon information collected pursuant to this part. Such assessment shall be described in the report under section 207(b).

(b) TERMINATION OF ELIGIBILITY.—Any institution of higher education that offers a program of teacher preparation in which the State has withdrawn the State's approval or terminated the State's financial support due to the low performance of the institution's teacher preparation program based upon the State assessment described in subsection (a)—

(1) shall be ineligible for any funding for professional development activities awarded by the Department of Education; and  
(2) shall not be permitted to accept or enroll any student that receives aid under title IV of this Act in the institution's teacher preparation program.

(c) NEGOTIATED RULEMAKING.—If the Secretary develops any regulations implementing subsection (b)(2), the Secretary shall submit such proposed regulations to a negotiated rulemaking process, which shall include representatives of States, institutions of higher education, and educational and student organizations.

**SEC. 209. [20 U.S.C. 1029] GENERAL PROVISIONS.**

(a) METHODS.—In complying with sections 207 and 208, the Secretary shall ensure that States and institutions of higher

education use fair and equitable methods in reporting and that the reporting methods protect the privacy of individuals.

(b) SPECIAL RULE.—For each State in which there are no State certification or licensure assessments, or for States that do not set minimum performance levels on those assessments—

(1) the Secretary shall, to the extent practicable, collect data comparable to the data required under this part from

States, local educational agencies, institutions of higher education, or other entities that administer such assessments to teachers or prospective teachers; and

(2) notwithstanding any other provision of this part, the Secretary shall use such data to carry out requirements of this part related to assessments or pass rates.

(c) LIMITATIONS.—

(1) FEDERAL CONTROL PROHIBITED.—Nothing in this part shall be construed to permit, allow, encourage, or authorize any Federal control over any aspect of any private, religious, or home school, whether or not a home school is treated as a private school or home school under State law. This section shall not be construed to prohibit private, religious, or home schools from

participation in programs or services under this part.

(2) NO CHANGE IN STATE CONTROL ENCOURAGED OR REQUIRED.

—Nothing in this part shall be construed to encourage or require any change in a State’s treatment of any private, religious, or home school, whether or not a home school is treated as a private school or home school under State law. (3)

NATIONAL SYSTEM OF TEACHER CERTIFICATION PROHIBITED.

—Nothing in this part shall be construed to permit, allow, encourage, or authorize the Secretary to establish or support any national system of teacher certification.

**SEC. 210. [20 U.S.C. 1030]**

**AUTHORIZATION OF APPROPRIATIONS.**

As may be necessary for each of the 4 succeeding fiscal years, of which—

(1) 45 percent shall be available for each fiscal year to award grants under section 202;

(2) 45 percent shall be available for each fiscal year to award grants under section 203; and

(3) 10 percent shall be available for each fiscal year to award grants under section 204.

**Code of Federal Regulations,  
Title 34, Volume 3,  
Part 611, [Revised as  
of July 1, 2003]**

34 CFR PART 611--  
TEACHER QUALITY  
ENHANCEMENT  
GRANTS PROGRAM  
Subpart A--General  
Provisions

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611.47 What are a scholarship recipient's reporting responsibilities

upon the close of the LEA's academic year?

611.48 What are a scholarship recipient's reporting responsibilities upon failure to graduate or withdrawal of scholarship support?

611.49 What are a grantee's responsibilities for implementing the scholarship requirements before awarding a scholarship?

611.50 What are a grantee's reporting responsibilities?

611.51 How does a grantee ensure that a scholarship recipient understands the terms and conditions of the scholarship before the recipient leaves the teacher preparation program?

611.52 What are a grantee's programmatic responsibilities for ensuring that scholarship recipients become successful teachers in high-need schools?

Subpart F--Other Grant  
Conditions

611.61 What is the maximum indirect cost rate that applies to a recipient's use of program funds?

611.62 What are a grantee's matching requirements?

(Authority: 20 U.S.C. 1021 et seq. and 1024(e), unless otherwise noted.)

### **Subpart A--General Provisions**

#### **Sec. 611.1 What definitions apply to the Teacher Quality Enhancement Grants Program?**

The following definitions apply to this part:

High-need local educational agency (LEA) means an LEA that meets one of the following definitions:

(1) An LEA with at least one school--

(i) In which 50 percent or more of the enrolled students are eligible for free and reduced lunch subsidies; or

(ii) That otherwise is eligible, without receipt of a waiver, to operate as a schoolwide program under Title I of the Elementary and Secondary Education Act.

(2) An LEA that has one school where--

(i) More than 34 percent of academic classroom teachers overall

(across all academic subjects) do not have a major, minor, or significant course work in their main assignment field; or

(ii) More than 34 percent of the main assignment faculty in two of the core-subject departments does not have a major, minor, or significant work in their main assigned field.

(3) An LEA that serves a school whose attrition rate among classroom teachers was 15 percent or more over the last three school years.

High-need school means an elementary, middle, or secondary school operated by a high-need LEA in which the school's students or teaching staff meet the elements in paragraphs (1), (2), or (3) of the definition of a high-need LEA.

Main assignment field means the academic field in which teachers have the largest percentage of their classes. Significant course work means four or more college-or graduate-level courses in the content area.

(Authority: 20 U.S.C. 1024(e))

#### **Sec. 611.2 What management plan must be included in a Teacher Quality Enhancement Grants Program application?**

(a) In addition to a description of the proposed multiyear

project, timeline, and budget information required by 34 CFR 75.112 and 75.117 and other applicable law, an applicant for a grant under this part must

submit with its application under paragraphs (a)(1), (a)(2)(iii), or (a)(3)(iii) of Sec. 611.3, as appropriate, a management plan that includes a proposed multiyear work plan. (b) At a minimum, this work plan must identify, for each year of the project--

(1) The project's overall objectives;

(2) Activities that the applicant proposes to implement to promote each project objective;

(3) Benchmarks and timelines for conducting project activities and achieving the project's objectives;

(4) The individual who will conduct and coordinate these activities;

(5) Measurable outcomes that are tied to each project objective, and the evidence by which success in achieving these objectives will be measured; and

(6) Any other information that the Secretary may require.

(c)(1) In any application for a grant that is submitted on behalf of a partnership, the work plan also must identify which partner will be responsible for which activities.

(2) In any application for a grant that is submitted on behalf of a State, the work plan must identify which entities in the State will be responsible for which activities.

(Authority: 20 U.S.C. 1021 et seq.)

**Sec. 611.3 What procedures does the Secretary use to award a grant?**

The Secretary uses the selection procedures in 34 CFR 75.200 through 75.222 except that--

(a) Application procedures for each program. (1) For the State Grants Program, the Secretary evaluates applications for new grants on the basis of the selection criteria and competitive preference contained in Secs. 611.11 through 611.13.

(2) For the Partnership Grants Program, the Secretary-

- (i) Uses a two-stage application process to determine which applications to fund;
- (ii) Uses the selection criteria in Secs. 611.21 through 611.22 to evaluate pre-applications submitted for new grants, and to determine those applicants to invite to submit full program applications; and
- (iii) For those applicants invited to submit full applications,

uses the selection criteria and competitive preference in Secs. 611.23-611.25

to evaluate the full program applications.

(3) For the Teacher Recruitment Grants Program, the Secretary-

- (i) Uses a two-stage application process to determine which applications to fund;
  - (ii) Uses the selection criteria in Sec. 611.31 to evaluate pre-applications submitted for new grants, and to determine those applicants to invite to submit full program applications; and
  - (iii) For those applicants invited to submit full applications, uses the selection criteria in Sec. 611.32 to evaluate the full program applications.
- (b) Required budgets in pre-applications. An applicant that submits a pre-application for a Partnership Program or Teacher Recruitment Program grant under paragraphs (b)(2)(ii) and (b)(3)(ii) must also submit any budgetary information that the Secretary may require in the program application package.
- (c) Tie-breaking procedures. In the event that two or more applicants are ranked equally for the last available award under any program, the Secretary selects the applicant whose activities will focus

(or have most impact) on LEAs and schools located in one (or more) of the Nation's Empowerment Zones and Enterprise Communities.

(Authority: 20 U.S.C. 1021 et seq.)

**Subpart B--State Grants Program**  
**Sec. 611.11 What are the program's general selection criteria?**

In evaluating the quality of applications, the Secretary uses the following selection criteria.

(a) Quality of project design. (1) The Secretary considers the quality of the project design.

(2) In determining the quality of the project design, the Secretary considers the extent to which--

- (i) The project design will result in systemic change in the way that all new teachers are prepared, and includes partners from all levels of the education system;
- (ii) The Governor and other relevant executive and legislative branch officials, the K-16 education system or systems, and the business community are directly involved in and committed to supporting the proposed activities;
- (iii) Project goals and performance objectives are clear, measurable

outcomes are specified, and a feasible plan is presented for meeting them;

(iv) The project is likely to initiate or enhance and supplement systemic State reforms in one or more of the following areas: teacher recruitment, preparation, licensing, and certification;

(v) The applicant will ensure that a diversity of perspectives is incorporated into operation of the project, including those of parents, teachers, employers, academic and professional groups, and other appropriate entities; and

(vi) The project design is based on up-to-date knowledge from research and effective practice.

(b) Significance. (1) The Secretary considers the significance of the project.

(2) In determining the significance of the project, the Secretary considers the extent to which--

(i) The project involves the development or demonstration of promising new strategies or exceptional approaches in the way new teachers are recruited, prepared, certified, and licensed;

(ii) Project outcomes lead directly to improvements in teaching

quality and student achievement as measured against rigorous academic standards;

(iii) The State is committed to institutionalize the project after federal funding ends; and

(iv) Project strategies, methods, and accomplishments are replicable, thereby permitting other States to benefit from them.

(c) Quality of resources. (1) The Secretary considers the quality of the project's resources.

(2) In determining the quality of the project resources, the Secretary considers the extent to which--

(i) Support available to the project, including personnel, equipment, supplies, and other resources, is sufficient to ensure a successful project;

(ii) Budgeted costs are reasonable and justified in relation to the design, outcomes, and potential significance of the project; and

(iii) The applicant's matching share of the budgeted costs demonstrates a significant commitment to successful completion of the project and to project continuation after federal funding ends.

(d) Quality of management plan. (1) The Secretary considers the

quality of the project's management plan.

(2) In determining the quality of the management plan, the Secretary considers the following factors:

(i) The extent to which the management plan, including the work plan, is designed to achieve goals and objectives of the project, and includes clearly defined activities, responsibilities, timelines, milestones, and measurable outcomes for accomplishing project tasks.

(ii) The adequacy of procedures to ensure feedback and continuous improvements in the operation of the project.

(iii) The qualifications, including training and experience, of key personnel charged with implementing the project successfully.

(Authority: 20 U.S.C. 1021 et seq.)

**Sec. 611.12 What additional selection criteria are used for an application proposing teacher recruitment activities?**

In reviewing applications that propose to undertake teacher recruitment activities, the Secretary also considers the following selection criteria:



(a) In addition to the elements contained in Sec. 611.11(a) (Quality of project design), the Secretary considers the extent to which the project addresses--

(1) Systemic changes in the ways that new teachers are to be recruited, supported and prepared; and

(2) Systemic efforts to recruit, support, and prepare prospective teachers from disadvantaged and other underrepresented backgrounds.

(b) In addition to the elements contained in Sec. 611.11(b) (Significance), the Secretary considers the applicant's commitment to continue recruitment activities, scholarship assistance, and preparation and support of additional cohorts of new teachers after funding under this part ends.

(c) In addition to the elements contained in Sec. 611.11(c) (Quality of resources), the Secretary considers the impact of the project on high-need LEAs and high-need schools based upon--

(1) The amount of scholarship assistance the project will provide students from federal and non-federal funds;

(2) The number of students who will receive scholarships; and

(3) How those students receiving scholarships will benefit

from high-quality teacher preparation and an effective support system during their first three years of teaching.

(Authority: 20 U.S.C. 1021 et seq.)

**Sec. 611.13 What competitive preference does the Secretary provide?**

The Secretary provides a competitive preference on the basis of how well the State's proposed activities in any one or more of the following statutory priorities are likely to yield successful and sustained results:

(a) Initiatives to reform State teacher licensure and certification requirements so that current and future teachers possess strong teaching skills and academic content knowledge in the subject areas in which they will be certified or licensed to teach.

(b) Innovative reforms to hold higher education institutions with teacher preparation programs accountable for preparing teachers who are highly competent in the academic content areas and have strong teaching skills.

(c) Innovative efforts to reduce the shortage (including the high turnover) of highly competent teachers in high-poverty urban and rural areas.

(Authority: 20 U.S.C. 1021 et seq.)

**Subpart C-- Partnership Grants Program**

**Sec. 611.21 What are the program's selection criteria for pre- applications?**

In evaluating the quality of pre-applications, the Secretary uses the following selection criteria.

(a) Project goals and objectives. (1) The Secretary considers the goals and objectives of the project design.

(2) In determining the quality of the project goals and objectives, the Secretary considers the following factors:

(i) The extent to which the partnership's vision will produce significant and sustainable improvements in teacher education.

(ii) The needs the partnership will address.

(iii) How the partnership and its activities would be sustained once federal support ends.

(b) Partnering commitment. (1) The Secretary considers the partnering commitment embodied in the project.

(2) In determining the quality of the partnering commitment, the Secretary considers the following factors:

(i) Evidence of how well the partnership

would be able to accomplish objectives working together that its individual members could not accomplish working separately.

(ii) The significance of the roles given to each principal partner in implementing project activities.

(c) Quality and comprehensiveness of key project components.

(1) The Secretary considers the quality and comprehensiveness of key project components in the process of preparing new teachers.

(2) In determining the quality and comprehensiveness of key project components in the process of preparing new teachers, the Secretary considers the extent to which--

(i) Specific activities are designed and would be implemented to ensure that students preparing to be teachers are adequately prepared, including activities designed to ensure that they have improved content knowledge, are able to use technology effectively to promote instruction, and participate in extensive, supervised clinical experiences;

(ii) Specific activities are designed and would be implemented to ensure adequate support for those who have completed the

teacher preparation program during their first years as teachers; and

(iii) The project design reflects up-to-date knowledge from research and effective practice.

(d) Specific project outcomes. (1) The Secretary considers the specific outcomes the project would produce in the preparation of new teachers.

(2) In determining the specific outcomes the project would produce in the preparation of new teachers, the Secretary considers the following factors:

(i) The extent to which important aspects of the partnership's existing teacher preparation system would change.

(ii) The way in which the project would demonstrate success using high-quality performance measures.

(Authority: 20 U.S.C. 1021 et seq.)

**Sec. 611.22 What additional selection criteria are used for a pre-application that proposes teacher recruitment activities?**

In reviewing pre-applications that propose to undertake teacher recruitment activities, the Secretary also considers the following selection criteria:

(a) In addition to the elements contained in Sec. 611.21(a) (Project goals and objectives), the Secretary considers the extent to which--

(1) The partnership's vision responds to LEA needs for a diverse and high quality teaching force, and will lead to reduced teacher shortages

in these high-need LEAs; and

(2) The partnership will sustain its work after federal funding has ended by recruiting, providing scholarship assistance, training and supporting additional cohorts of new teachers.

(b) In addition to the elements contained in Sec. 611.21(c) (Quality and comprehensiveness of key project components), the Secretary considers the extent to which the project will--

(1) Significantly improve recruitment of new students, including those from disadvantaged and other underrepresented backgrounds; and

(2) Provide scholarship assistance and adequate training to preservice students, as well as induction support for those who become teachers after graduating from the teacher preparation program.

(c) In addition to the elements contained in Sec. 611.21(d) (Specific project outcomes), the

Secretary considers the extent to which the project addresses the number of new teachers to be produced and their ability to teach effectively in high-need schools.

(Authority: 20 U.S.C. 1021 et seq.)

**Sec. 611.23 What are the program's general selection criteria for full applications?**

In evaluating the quality of applications, the Secretary uses the following selection criteria.

(a) Quality of project design. (1) The Secretary considers the quality of the project design.

(2) In determining the quality of the project design, the Secretary considers the following factors:

(i) The extent of evidence of institution-wide commitment to high quality teacher preparation that includes significant policy and practice changes supported by key leaders, and which result in permanent changes to ensure that preparing teachers is a central mission of the entire university.

(ii) The extent to which the partnership creates and sustains collaborative mechanisms to integrate professional teaching skills, including skills in the

use of technology in the classroom, with strong academic content from the arts and sciences.

(iii) The extent of well-designed and extensive preservice clinical experiences for students, including mentoring and other forms of support, implemented through collaboration between the K-12 and higher education partners.

(iv) Whether a well-planned, systematic induction program is established for new teachers to increase their chances of being successful in high-need schools.

(v) The strength of linkages within the partnership between higher education and high-need schools or school districts so that all partners have important roles in project design, implementation, governance and evaluation.

(vi) Whether the project design is based on up-to-date knowledge from research and effective practice, especially on how students learn.

(b) Significance of project activities. (1) The Secretary considers the significance of project activities.

(2) In determining the significance of the project activities, the Secretary considers the following factors:

(i) How well the project involves

promising new strategies or exceptional approaches in the way new teachers are recruited, prepared and inducted into the teaching profession.

(ii) The extent to which project outcomes include preparing teachers to teach to their State's highest K-12 standards, and are likely to result in improved K-12 student achievement.

(iii) The extent to which the partnership has specific plans to institutionalize the project after federal funding ends.

(iv) The extent to which the partnership is committed to disseminating effective practices to others and is willing to provide technical assistance about ways to improve teacher education.

(v) How well the partnership will integrate its activities with other education reform efforts underway in the State or communities where the partners are located, and will coordinate its work with local, State or federal teacher training, teacher recruitment, or professional development programs.

(c) Quality of resources. (1) The Secretary considers the quality of resources of project activities.

(2) In determining the quality of resources, the Secretary considers the extent to which--

(i) Support available to the project, including personnel, equipment, supplies, and other resources, is sufficient to ensure a successful project;

(ii) Budgeted costs are reasonable and justified in relation to the design, outcomes, and potential significance of the project; and

(iii) The applicant's matching share of the budgeted costs demonstrates a significant commitment to successful completion of the project and to project continuation after federal funding ends.

(d) Quality of management plan. (1) The Secretary considers the quality of the management plan.

(2) In determining the quality of the management plan, the Secretary considers the following factors:

(i) The extent to which the management plan, including the work plan, is designed to achieve goals and objectives of the project, and includes clearly defined activities, responsibilities, timelines, milestones, and measurable outcomes for accomplishing project tasks.

(ii) The extent to which the project has an effective, inclusive, and responsive governance and

decision-making structure that will permit all partners to participate in and benefit from project activities, and to use evaluation results to ensure continuous improvements in the operations of the project.

(iii) The qualifications, including training and experience, of key personnel charged with implementing the project successfully.

(Authority: 20 U.S.C. 1021 et seq.)

**Sec. 611.24 What additional selection criteria are used for a full application that proposes teacher recruitment activities?**

In reviewing full applications that propose to undertake teacher recruitment activities, the Secretary also considers the following selection criteria:

(a) In addition to the elements contained in Sec. 611.23(a) (Quality of project design), the Secretary considers the extent to which the project reflects--

(1) A commitment to recruit, support and prepare additional well-qualified new teachers for high-need schools;

(2) Appropriate academic and student support services; and

(3) A comprehensive strategy for addressing shortages of well-qualified and well-trained teachers in high-need LEAs, especially teachers from disadvantaged and other underrepresented backgrounds.

(b) In addition to the elements contained in Sec. 611.23(b) (Significance of project activities), the Secretary considers the extent to which the project promotes the recruitment, scholarship assistance, preparation, and support of additional cohorts of new teachers.

(c) In addition to the elements contained in Sec. 611.23(c) (Quality of Resources), the Secretary considers the impact of the project on high-need LEAs and high-need schools based upon--

(1) The amount of scholarship assistance the project will provide students from federal and non-federal funds;

(2) The number of students who will receive scholarships; and

(3) How those students receiving scholarships will benefit from high-quality teacher preparation and an effective support system during their first three years of teaching.

(Authority: 20 U.S.C. 1021 et seq.)

**Sec. 611.25 What competitive preference does the Secretary provide?**

The Secretary provides a competitive preference on the basis of how well the project includes a significant role for private business in the design and implementation of the project.

(Authority: 20 U.S.C. 1021 et seq.)

**Subpart D--Teacher Recruitment Grants Program**

**Sec. 611.31 What are the program's selection criteria for pre-applications?**

In evaluating pre-applications, the Secretary considers the following criteria:

(a) Project goals and objectives. (1) The Secretary considers the goals and objectives of the project design.

(2) In determining the quality of the project goals and objectives, the Secretary considers how the partnership or State applicant intends to--

(i) Produce significant and sustainable improvements in teacher recruitment, preparation, and support; and

(ii) Reduce teacher shortages in high-need LEAs and schools, and improve student achievement in the schools in which teachers who

participate in its project will teach.

(b) Partnership commitment. (1) The Secretary considers the partnering commitment embodied in the project.

(2) In determining the quality of the partnering commitment, the Secretary considers the following factors:

(i) What the partnership, or the State and its cooperating entities, can accomplish by working together that could not be achieved by working separately.

(ii) How the project proposed by the partnership or State is driven by the needs of LEA partners.

(c) Quality of key project components. (1) The Secretary considers the quality of key project components.

(2) In determining the quality of key project components, the Secretary considers the following factors:

(i) The extent to which the project would make significant and lasting systemic changes in how the applicant recruits, trains, and supports new teachers, and reflects knowledge gained from research and practice.

(ii) The extent to which the project would be implemented in ways that significantly improve recruitment, scholarship assistance to preservice students, training, and induction

support for new entrants into teaching.

(d) Specific project outcomes. (1) The Secretary considers the specific outcomes the project would produce in the recruitment, preparation, and placement of new teachers.

(2) In determining the specific outcomes the project would produce in the recruitment, preparation, and placement of new teachers, the Secretary considers the following factors:

(i) The number of teachers to be produced and the quality of their preparation.

(ii) The partnership's or State's commitment to sustaining the work of the project after federal funding has ended by recruiting, providing scholarship assistance, training, and supporting additional cohorts of new teachers.

(Authority: 20 U.S.C. 1021 et seq.)

**Sec. 611.32 What are the program's general selection criteria?**

In evaluating the quality of full applications, the Secretary uses the following selection criteria.

(a) Quality of the project design. (1) The Secretary considers the quality of the project design for ensuring that activities to recruit and prepare new teachers

are a central mission of the project.

(2) In considering the quality of the project design for ensuring that activities to recruit and prepare new teachers are a central mission of the project, the Secretary considers the extent to which the project design--

(i) Shows evidence of institutional or (in the case of a State applicant) State-level commitment both to recruitment of additional new teachers, and to high-quality teacher preparation that includes significant policy and practice changes supported by key leaders and that result in permanent changes to current institutional practices;

(ii) Creates and sustains collaborative mechanisms to integrate professional teaching skills, including skills in the use of technology in the classroom, with academic content provided by the school of arts and sciences;

(iii) Includes well-designed academic and student support services as well as carefully planned and extensive preservice clinical experiences for students, including mentoring and other forms of support, that are implemented through collaboration between the K-12 and higher education partners;

(iv) Includes establishment of a well-planned, systematic induction program for new teachers that increases their chances of being successful in high-need schools;

(v) Includes strong linkages among the partner institutions of higher education and high-need schools and school districts (or, in the case of a State applicant, between the State and these entities in its project), so that all those who would implement the project have important roles in project design, implementation, governance, and evaluation;

(vi) Responds to the shortages of well-qualified and well-trained teachers in high-need school districts, especially from disadvantaged and other underrepresented backgrounds; and

(vii) Is based on up-to-date knowledge from research and effective practice.

(b) Significance. (1) The Secretary considers the significance of the project.

(2) In determining the significance of the project, the Secretary considers the extent to which--

(i) The project involves promising new strategies or exceptional approaches in the way new teachers are recruited, prepared, and

inducted into the teaching profession;

(ii) Project outcomes include measurable improvements in teacher quality and in the number of well-prepared new teachers, that are likely to result in improved K-12 student achievement;

(iii) The project will be institutionalized after federal funding ends, including recruitment, scholarship assistance, preparation, and support of additional cohorts of new teachers;

(iv) The project will disseminate effective practices to others, and provide technical assistance about ways to improve teacher recruitment and preparation; and

(v) The project will integrate its activities with other education reform activities underway in the State or communities in which the project is based, and will coordinate its work with local, State, and federal teacher recruitment, training, and professional development programs.

(c) Quality of resources. (1) The Secretary considers the quality of the project's resources.

(2) In determining the quality of the project's resources, the Secretary considers the extent to which--

(i) The amount of support available to the project, including personnel, equipment, supplies, student scholarship assistance, and other resources is sufficient to ensure a successful project.

(ii) Budgeted costs are reasonable and justified in relation to the design, outcomes, and potential significance of the project.

(iii) The applicant's matching share of budgeted costs demonstrates a significant commitment to successful completion of the project, and to project continuation after federal funding ends.

(d) Quality of management plan. (1) The Secretary considers the quality of the project's management plan.

(2) In determining the quality of the management plan, the Secretary considers the following factors:

(i) The extent to which the management plan, including the work plan, is designed to achieve goals and objectives of the project, and includes clearly defined activities, responsibilities, timelines, milestones, and measurable outcomes for accomplishing project tasks.

(ii) The extent to which the project has an effective, inclusive,

and responsive governance and decision-making structure that will permit all partners to participate in and benefit from project activities, and to use evaluation results to continuously improve project operations.

(iii) The qualifications, including training and experience, of key personnel charged with implementing the project successfully.

(Authority: 20 U.S.C. 1021 et seq.)

#### **Subpart E-- Scholarships**

Sec. 611.41 Under what circumstances may an individual receive a scholarship of program funds to attend a teacher training program?

(a) General: The service obligation. An individual, whom a grantee finds eligible to receive a scholarship funded under this part to attend a teacher preparation program, may receive the scholarship only after executing a binding agreement with the institution of higher education (IHE) offering the scholarship that, after completing the program, the individual will either--

(1) Teach in a high-need school of a high-need LEA for a period of time equivalent to the period for which the

individual receives the scholarship; or

(2) Repay, as set forth in Sec. 611.43, the Teacher Quality Enhancement Grant Program funds provided as a scholarship.

(b) Content of the scholarship agreement. To implement the service-obligation requirement, the scholarship agreement must include terms, conditions, and other information consistent with Secs. 611.42-611.49 that the Secretary determines to be necessary.

(Authority: 20 U.S.C. 1024(e))

#### **Sec. 611.42 How does the Secretary calculate the period of the scholarship recipient's service obligation?**

a) Calculation of period of scholarship assistance. (1) The Secretary calculates the period of time for which a student received scholarship assistance on the basis of information provided by the grantee under Sec. 611.50.

(2) The period for which the recipient received scholarship assistance is the period during which an individual enrolled in the teacher preparation program on a full-time basis, excluding the summer period, would have completed the same course of study.

(b) Calculation of period needed to teach to meet the service obligation. (1) The period of the scholarship recipient's service obligation is the period of the individual's receipt of scholarship assistance as provided in paragraph (a) of this section.

(2) The Secretary calculates the period that a scholarship recipient must teach in a high-need school of a high-need LEA in order to fulfill his or her service obligation by--

(i) Comparing the period in which the recipient received a scholarship as provided in paragraph (a) of this section with the information provided by the high-need LEA under Secs. 611.46 and 611.47 on the period the recipient has taught in one of its high-need schools; and

(ii) Adjusting the period in which the recipient has taught in a high-need school to reflect the individual's employment, if any, as a teacher on a part-time basis relative to classroom teachers the LEA employs on a full-time basis under the LEA's standard yearly contract (excluding any summer or intersession period).

(c) The Secretary adjusts the period of a scholarship recipient's

service obligation as provided in paragraph (b) of this section to reflect information the high-need LEA provides under Secs. 611.46 and 611.47 that the scholarship recipient also has taught in a high-need school in a summer or intersession period.

(Authority: 20 U.S.C. 1024(e))

**Sec. 611.43 What are the consequences of a scholarship recipient's failure to meet the service obligation?**

(a) Obligation to repay:

General. (1) A scholarship recipient who does not fulfill his or her service obligation must--

(i) Repay the Department the full amount of the scholarship, including the principal balance, accrued interest, and any collection costs charged under paragraphs (c) and (d) of this section; or

(ii) Be discharged of any repayment obligation as provided in Sec. 611.45.

(2) Unless the service obligation is deferred as provided in Sec. 611.44 or the repayment requirement is discharged, the obligation to repay the amount provided in paragraph (a)(1) of this section begins six months after the date the recipient-

(i) Completes the teacher training program without beginning to teach in a high-need school of a high-need LEA; or

(ii) Is no longer enrolled in the teacher training program.

(3) The Secretary determines whether a scholarship recipient has fulfilled the service obligation on the basis of information that the Department receives as provided in Secs. 611.46 and 611.47.

(b) Obligation to Repay: Partial performance of the service obligation. (1) A scholarship recipient who teaches in a high-need school district for less than the period of his or her service obligation must repay--

(i) The amount of the scholarship that is proportional to the unmet portion of the service obligation;

(ii) Interest that accrues on this portion of the scholarship beginning six months after the recipient's graduation from the teacher preparation program; and

(iii) Costs of collection, if any.

(2) Unless the service obligation is deferred or the repayment requirement is discharged, the obligation to repay the amount provided in paragraph (b)(1) of this



section begins six months after the date the recipient is no longer employed as a teacher in a high-need school of a high-need LEA.

(c) Availability of payment schedule. (1) Upon request to the Secretary, the scholarship recipient may repay the scholarship and accrued interest according to a payment schedule that the Secretary establishes.

(2) A payment schedule must permit the full amount of the scholarship and accrued interest to be repaid within ten years. The minimum monthly payment is \$50 unless a larger monthly payment is needed to enable the full amount that is due to be paid within this timeframe.

(d) Interest. In accordance with 31 U.S.C. 3717 and 34 CFR part 30, the Secretary charges interest on the unpaid balance that the scholarship recipient owes. However, except as provided in Sec. 611.44(d), the Secretary does not charge interest for the period of time that precedes the date on which the scholarship recipient is required to begin repayment.

(e) Failure to meet requirements. A scholarship recipient's

failure to satisfy the requirements of Secs. 611.42-611.48 in a timely manner results in the recipient being--

(1) In non-compliance with the terms of the scholarship;

(2) Liable for repayment of the scholarship and accrued interest; and

(3) Subject to collection action.

(f) Action by reason of default. The Secretary may take any action authorized by law to collect the amount of scholarship, accrued interest and collection costs, if any, on which a scholarship recipient obligated to repay under this section has defaulted. This action includes, but is not limited to, filing a lawsuit against the recipient, reporting the default to national credit bureaus, and requesting the Internal Revenue Service to offset the recipient's Federal income tax refund.

(Authority: 20 U.S.C. 1024(e))

**Sec. 611.44 Under what circumstances may the Secretary defer a scholarship recipient's service obligation?**

(a) Upon written request, the Secretary may defer a service obligation for a scholarship recipient who--

(1) Has not begun teaching in a high-need school of a high-need LEA as required by Sec. 611.41(a); or

(2) Has begun teaching in a high-need school of a high-need LEA, and who requests the deferment within six months of the date he or she no longer teaches in this school.

(b) To obtain a deferment of the service obligation, the recipient must provide the Secretary satisfactory information of one or more of the following circumstances:

(1) Serious physical or mental disability that prevents or substantially impairs the scholarship recipient's employability as a teacher.

(2) The scholarship recipient's inability, despite due diligence (for reasons that may include the failure to pass a required teacher certification or licensure examination), to secure employment as a teacher in a high-need school of a high-need school LEA.

(3) Membership in the armed forces of the United States on active duty for a period not to exceed three years.

(4) Other extraordinary circumstances that the Secretary accepts.

(c) Unless the Secretary determines otherwise--

(1) A scholarship recipient must apply to

renew a deferment of the service obligation on a yearly basis; and

(2) The recipient has 60 days from the end of the deferment period to begin teaching in a high-need school of a high-need LEA or become liable for repayment of the scholarship, any accrued interest, and any costs of collection.

(d)(1) As provided in Sec. 611.43(a)(2), during periods for which the Secretary defers a scholarship recipient's service obligation, the scholarship recipient does not have an obligation to repay the scholarship. However, interest continues to accrue on the amount of the scholarship.

(2) If the scholarship recipient fulfills his or her service obligation after the end of the deferment, the Secretary waives the obligation to repay accrued interest.

(Authority: 20 U.S.C. 1024(e))

**Sec. 611.45 Under what circumstances does the Secretary discharge a scholarship recipient's obligation to repay for failure to meet the service obligation?**

(a) The Secretary discharges the obligation of a scholarship

recipient to repay the scholarship, interest, and any costs for failure to meet the service obligation based on information acceptable to the Secretary of--

(1) The recipient's death; or

(2) The total and permanent physical or mental disability of the recipient that prevents the individual from being employable as a classroom teacher.

(b) Upon receipt of acceptable documentation and approval of the discharge request, the Secretary returns to the scholarship recipient, or for a discharge based on death to the recipient's estate, those payments received after the date the eligibility requirements for discharge were met. The Secretary returns these payments whether they are received before or after the date the discharge was approved.

(Authority: 20 U.S.C. 1024(e))

**Sec. 611.46 What are a scholarship recipient's reporting responsibilities upon graduation from the teacher preparation program?**

(a) Within six months of graduating from a teacher preparation program, a scholarship recipient must either--

(1) Have the LEA in which the recipient is employed as a teacher

provide the Department information, which the Secretary may require, to confirm--

(i) The home address, phone number, social security number, and other identifying information about the recipient;

(ii) That he or she is teaching in a high-need school of a high-need LEA; and

(iii) Whether the individual is teaching full- or part-time and, if part-time, the full-time equivalency of this teaching compared to the

LEA's full-time teachers;

(2) Provide the Department--

(i) A notarized statement that the scholarship recipient has asked the LEA to provide the Department the information identified in paragraph (a)(1) of this section, including the name and telephone number of the LEA official to whom the request was made; and

(ii) A copy of the information identified in paragraph (a)(1) of this section that the recipient has asked the LEA to provide to the Department; or

(3) Provide the Department a current home address and telephone number, a work address and telephone number, the recipient's social security number, and one of the following:

(i) The required repayment of the scholarship.

(ii) A request that the Secretary permit the recipient to repay the scholarship and accrued interest in installments as permitted by Sec. 611.43(c).

(iii) A request that the Secretary defer the service obligation as permitted by Sec. 611.44.

(b) If the recipient provides the Department the information identified in paragraph (a)(1) of this section, the Department accepts the information provisionally, but the recipient retains responsibility for working to have the LEA submit the information.

(Authority: 20 U.S.C. 1024(e))

**Sec. 611.47 What are a scholarship recipient's reporting responsibilities upon the close of the LEA's academic year?**

(a) At the close of the LEA's academic year, a scholarship recipient whose LEA reports under Sec. 611.46(a) that he or she is teaching in a high-need school of a high-need LEA must--

(1) Have the LEA provide information to the Department, as the Secretary may require, that confirms the recipient's actual

employment status for the preceding period; or

(2) Provide the Department--

(i) A notarized statement that the scholarship recipient has asked the LEA to provide the Department the information identified in

paragraph (a)(1) of this section, including the name and telephone number of the LEA official to whom the request was made; and

(ii) A copy of the information identified in paragraph (a)(1) of this section that the recipient has asked the LEA to provide to the Department.

(b) If the recipient provides the Department the notarized statement and accompanying information identified in paragraph (a)(2) of this section, the Department accepts the information provisionally, but the recipient retains an ongoing responsibility for working to have the LEA submit the information directly to the Department.

(c) In subsequent school years, the recipient must have the LEA continue to provide information to the Department on the recipient's employment as

the Secretary may require, until the Department notifies the recipient that the service obligation has been

fulfilled. The alternative procedures in paragraph (a)(2) of this section also apply in subsequent years.

(d)(1) The Secretary provides a scholarship recipient with credit toward the service obligation for teaching in a high-need school of a high-need LEA during a summer or intersession period (for LEAs that operate year-round programs).

(2) To receive this credit, the recipient must have the LEA at the end of the summer or intersession period provide information to the Department, as the Secretary may require, that confirms that the recipient has taught during this period in a high-need school.

(Authority: 20 U.S.C. 1024(e))

**Sec. 611.48 What are a scholarship recipient's reporting responsibilities upon failure to graduate or withdrawal of scholarship support?**

(a)(1) Within six months of the date the scholarship recipient is no longer enrolled in the teacher training program, or within six months of the IHE's withdrawal of scholarship support for failure to maintain good

academic standing, the recipient must submit to the Department--

(i) The required repayment of the scholarship;

(ii) A request that the Secretary establish a binding schedule under which the recipient is obligated to repay the scholarship, accrued interest, and any costs of collection; or

(iii) A request that the Secretary defer the service obligation as permitted by Sec. 611.44.

(2) Upon review of the repayment or information provided under paragraph (a)(1) of this section, the Department notifies the recipient of the status of the recipient's obligations and of any schedule under which the recipient must repay the scholarship.

(b) Until the Secretary determines that the individual either has satisfied his or her service obligation or has repaid the full amount of

the scholarship, accrued interest, and any costs, the recipient also remains responsible for providing the Department--

(1) The information identified in this part; and

(2) A current home address and telephone number, and a current

work address and work telephone number.

(Authority: 20 U.S.C. 1024(e))

**Sec. 611.49 What are a grantee's responsibilities for implementing the scholarship requirements before awarding a scholarship?**

Before awarding scholarship assistance with funds provided under this part to any student attending a teacher preparation program, a grantee must--

(a) Ensure that the student understands the terms and conditions that the Secretary has determined must be included in the scholarship agreement;

(b) Have the student and the institution awarding the scholarship execute a scholarship agreement that contains these terms and conditions; and

(c) Establish policies for--

(1) The withdrawal of scholarship support for any student who does not remain in good academic standing; and

(2) Determining when and if re-negotiation of a student's scholarship package over an extended period of time is appropriate.

(Authority: 20 U.S.C. 1024(e))

**Sec. 611.50 What are a grantee's reporting responsibilities?**

(a) Within 30 days of the beginning of the teacher preparation program's academic term or within 30 days of the execution of any scholarship agreement, whichever is later, the grantee must provide to the Department the following information:

(1) The identity of each scholarship recipient.

(2) The amount of the scholarship provided with program funds to each recipient.

(3) The full-time equivalency, over each academic year, of each recipient's enrollment in the teacher training program for which he or she receives scholarship assistance.

(4) Other information as the Secretary may require.

(b) Within 30 days of a scholarship recipient's graduation or withdrawal from the teacher preparation program, the grantee must provide to the Department the following information:

(1) The date of the recipient's graduation or withdrawal.

(2) The total amount of program funds the grantee awarded as a scholarship to the recipient.

(3) The original of any scholarship agreement executed by the

scholarship recipient and the grantee (or its partnering IHE if the grantee is not an IHE) before the recipient was awarded a scholarship with program funds.

(4) A statement of whether the institution has withdrawn scholarship support because of the recipient's failure to maintain good academic standing.

(5) Other information as the Secretary may require.

(Authority: 20 U.S.C. 1024(e))

**Sec. 611.51 How does a grantee ensure that a scholarship recipient understands the terms and conditions of the scholarship before the recipient leaves the teacher preparation program?**

(a) An institution that provides a scholarship with funds provided under this part must conduct an exit conference with each scholarship recipient before that individual leaves the institution. During the exit conference the institution must give the recipient a copy of any scholarship agreement the recipient has executed.

(b) The institution also must review with the recipient the terms and conditions of the scholarship, including--

(1) The recipient's service obligation;

(2) How the recipient can confirm whether a school and LEA in which he or she would teach will satisfy the service obligation;

(3) Information that the recipient will need to have the LEA provide to the Department to enable the Secretary to confirm that the recipient is meeting the service obligation;

(4) How the recipient may request a deferment of the service obligation, and information that the recipient should provide the Department in any deferment request;

(5) The consequences of failing to meet the service obligation including, at a minimum, the amount of the recipient's potential indebtedness; the possible referral of the indebtedness to a collection firm, reporting it to a credit bureau, and litigation; and the availability of a monthly payment schedule;

(6) The amount of scholarship assistance and interest charges that the recipient must repay for failing to meet the service obligation; and

(7) The recipient's responsibility to ensure that the Department has a home address and telephone number, and a work address and telephone number until the Secretary has

determined that the recipient has fulfilled the service obligation or the recipient's debt has been paid or discharged; and

(8) The follow-up services that the institution will provide the student during his or her first three years of teaching in a high-need school of a high-need LEA.

(Authority: 20 U.S.C. 1024(e))

**Sec. 611.52 What are a grantee's programmatic responsibilities for ensuring that scholarship recipients become successful teachers in high-need schools?**

In implementing its approved project, the grantee must--

(a) Provide scholarship recipients both before and after graduation with appropriate support services, including academic assistance, job counseling, placement assistance, and teaching support that will help to ensure that--

(1) Upon graduation, scholarship recipients are able to secure teaching positions in high-need schools of high-need LEAs; and

(2) After beginning to teach in a high-need school of a high-need

LEA, former scholarship recipients have appropriate follow-up services and assistance during their first three years of teaching;

(b) Provide LEAs with which the grantees collaborate in teacher recruitment activities with information and other assistance they need to recruit highly-qualified teachers effectively; and

(c) Work with the high-need LEAs participating in its project to ensure that scholarship recipients are placed, to the extent possible, in highest-need schools of those LEAs.

(Authority: 20 U.S.C. 1024(e))

#### **Subpart F--Other Grant Conditions**

##### **Sec. 611.61 What is the maximum indirect cost rate that applies to a recipient's use of program funds?**

Notwithstanding 34 CFR 75.560-75.562 and 34 CFR 80.22, the

maximum indirect cost rate that any recipient of funds under the Teacher Quality Enhancement Grants Program may use to charge indirect costs to these funds is the lesser of--

(a) The rate established by the negotiated indirect cost agreement;

or

(b) Eight percent.

(Authority: 20 U.S.C. 1021 et seq.)

##### **Sec. 611.62 What are a grantee's matching requirements?**

(a)(1) Each State receiving a grant under the State Grants Program or Teacher Recruitment Grants Program must provide, from non-federal sources, an amount equal to 50 percent of the amount of the grant to carry out the activities supported by the grant.

(2) The 50 percent match required by paragraph (a)(1) of this section must be made annually during the project period, with respect to each grant award the State receives.

(b) Each partnership receiving a grant under the Partnership Grant Program or the Teacher Recruitment Grant Program must provide, from non-federal sources, an amount equal to--

(1) 25 percent of the grant award for the first year of the grant;

(2) 35 percent of the grant award for the second year of the grant;

and  
(3) 50 percent of the grant award for each succeeding year of the grant.

(c) The match from non-federal sources required by paragraphs (a) and (b) of this section may be made in cash or in kind.

(Authority: 20 U.S.C. 1021 et seq.)

## **EMPOWERMENT ZONES AND ENTERPRISE COMMUNITIES**

### **What are the Empowerment Zones and Enterprise Communities, and where are they located?**

The Empowerment Zone and Enterprise Community program is a critical element of the Nation's community revitalization strategy. The program is the first step in rebuilding communities in America's poverty-stricken inner cities and rural heartlands. It is designed to empower people and communities by inspiring Americans to work together to create jobs and opportunity.

In 1995, the Departments of Agriculture (USDA) and Housing and Urban Development (HUD) designated a number of Empowerment Zones and Enterprise Communities based on locally-developed strategic plans that comprehensively address how the community will link economic development with education and training, as well as how community development, public safety, human services, and environmental initiatives together will support sustainable communities. Designated areas receive Federal grant funds and substantial tax benefits and have access to other Federal programs.

The Department of Education is supporting the Empowerment Zone and the Enterprise Community initiative in a variety of ways. For example, it is encouraging zones to use funds they already receive from Department programs (including Title I of the Elementary and Secondary Education Act, the Safe and Drug-Free Schools and Communities Act, the Adult Education Act, and the Carl D. Perkins Vocational and Applied Technology Education Act) to support the comprehensive vision of their strategic plans. In addition, the Department of Education is giving preferences to Empowerment Zones and Enterprise Communities in a number of discretionary grant programs that are well suited for inclusion in a comprehensive approach to economic and community development.

The currently designated Empowerment Zones and Enterprise Communities are the communities located within the cities and counties listed below. Please check the following websites for the most updated information:

<http://www.ezec.gov>.

<http://www.hud.gov/offices/cpd/economicdevelopment/programs/rc/index.cfm>

*CURRENTLY DESIGNATED  
EMPOWERMENT ZONES AND ENTERPRISE COMMUNITIES*

**(\*denotes rural designee)**

**Rural and Urban Empowerment Zones (EZ)**

<b>CALIFORNIA:</b>	<b>Los Angeles; Santa Ana</b>
<b>CONNECTICUT:</b>	<b>New Haven</b>
<b>FLORIDA:</b>	<b>Miami-Dade County</b>
<b>GEORGIA:</b>	<b>Atlanta</b>
<b>ILLINOIS:</b>	<b>Chicago</b>
<b>INDIANA:</b>	<b>Gary/East Chicago</b>
<b>ILLINOIS:</b>	<b>Hammond</b>
<b>ILLINOIS/MISSOURI:</b>	<b>East St. Louis/St. Louis</b>
<b>KENTUCKY:</b>	<b>Kentucky Highlands*</b>
<b>MARYLAND:</b>	<b>Baltimore</b>
<b>MASSACHUSETTS:</b>	<b>Boston</b>
<b>MICHIGAN:</b>	<b>Detroit</b>
<b>MINNESOTA:</b>	<b>Minneapolis</b>
<b>MISSISSIPPI:</b>	<b>Mississippi Delta*</b>
<b>MISSOURI:</b>	<b>Kansas City</b>
<b>MISSOURI/ILLINOIS:</b>	<b>St. Louis/East St. Louis</b>
<b>NEW JERSEY:</b>	<b>Cumberland County</b>
<b>NEW JERSEY/PENNSYLVANIA:</b>	<b>Camden/Philadelphia</b>
<b>NEW YORK:</b>	<b>New York/Bronx County</b>
<b>OHIO:</b>	<b>Cincinnati; Cleveland; Columbus</b>
<b>OHIO/WEST VIRGINIA:</b>	<b>Huntington/Ironton</b>
<b>PENNSYLVANIA/NEW JERSEY:</b>	<b>Philadelphia/Camden</b>
<b>SOUTH CAROLINA:</b>	<b>Columbia/Sumter</b>
<b>SOUTH DAKOTA:</b>	<b>Oglala Sioux-Pine Ridge*</b>
<b>TENNESSEE:</b>	<b>Knoxville</b>
<b>TEXAS:</b>	<b>El Paso; Rio Grande Valley*; Houston</b>
<b>WEST VIRGINIA/OHIO:</b>	<b>Ironton/Huntington</b>
<b>VIRGINIA:</b>	<b>Norfolk/Portsmouth</b>



## Rural and Urban Enhanced Enterprise Communities (Enhanced EC)

<b>CALIFORNIA:</b>	<b>Oakland</b>
<b>KANSAS/MISSOURI:</b>	<b>Kansas City, KS/Kansas City, MO</b>
<b>MASSACHUSETTS:</b>	<b>Boston</b>
<b>MISSOURI/KANSAS:</b>	<b>Kansas City, MO/Kansas City, KS</b>
<b>TEXAS:</b>	<b>Houston</b>

## Rural and Urban Enterprise Communities (EC)

<b>ALABAMA:</b>	<b>Birmingham; Chambers County*; Green &amp; Sumter County*</b>
<b>ARIZONA:</b>	<b>Arizona Border Region*; Phoenix</b>
<b>ARKANSAS:</b>	<b>East Central Arkansas*; Little Rock; Mississippi County*</b>
<b>CALIFORNIA:</b>	<b>Imperial County*; Los Angeles; San Diego; San Francisco; City of Watsonville/County of Santa Cruz*</b>
<b>COLORADO:</b>	<b>Denver</b>
<b>CONNECTICUT:</b>	<b>Bridgeport; New Haven</b>
<b>DISTRICT OF COLUMBIA:</b>	<b>Washington, DC</b>
<b>DELAWARE:</b>	<b>Wilmington</b>
<b>FLORIDA:</b>	<b>Dade County; Jackson County*; Tampa</b>
<b>GEORGIA:</b>	<b>Albany; Central Savannah River*; Crisp/Dooly County*</b>
<b>IOWA:</b>	<b>Des Moines</b>
<b>ILLINOIS:</b>	<b>East St. Louis; Springfield</b>
<b>INDIANA:</b>	<b>Austin*; Indianapolis</b>
<b>KENTUCKY:</b>	<b>Louisville; Scott/McCreary Area*</b>
<b>LOUISIANA:</b>	<b>Macon Ridge*; New Orleans; Northeast Louisiana Delta*; Ouachita Parish</b>
<b>MASSACHUSETTS:</b>	<b>Lowell; Springfield</b>
<b>MICHIGAN:</b>	<b>Flint; Lake County*; Muskegon</b>
<b>MINNESOTA:</b>	<b>Minneapolis; St. Paul</b>
<b>MISSISSIPPI:</b>	<b>Jackson; North Delta Mississippi*</b>
<b>MISSOURI:</b>	<b>City of East Prairie*; Mississippi County*; St. Louis</b>
<b>NEBRASKA:</b>	<b>Omaha</b>
<b>NEW JERSEY:</b>	<b>Newark</b>
<b>NEW HAMPSHIRE:</b>	<b>Manchester</b>
<b>NEW MEXICO:</b>	<b>Albuquerque; La Jicarita*</b>

<b>NEVADA:</b>	<b>Clarke County; Las Vegas/N. Las Vegas</b>
<b>NEW YORK:</b>	<b>Albany-Troy; Buffalo; Newburgh; Rochester; Schenectady</b>
<b>NORTH CAROLINA:</b>	<b>Charlotte; Halifax/Edgecombe/Wilson Alliance*; Robeson County*</b>
<b>OHIO:</b>	<b>Akron; Columbus</b>
<b>OKLAHOMA:</b>	<b>Oklahoma City; Southeast Oklahoma*</b>
<b>OREGON:</b>	<b>Josephine County*; Portland</b>
<b>PENNSYLVANIA:</b>	<b>Harrisburg; Pittsburgh</b>
<b>RHODE ISLAND:</b>	<b>Providence</b>
<b>SOUTH CAROLINA:</b>	<b>Charleston; Williamsburg-Lake City*</b>
<b>SOUTH DAKOTA:</b>	<b>Beadle &amp; Spink Counties*</b>
<b>TENNESSEE:</b>	<b>Fayette County/Haywood County*; Memphis; Nashville- Davidson; Scott/McCreary Area*</b>
<b>TEXAS:</b>	<b>Dallas; El Paso; San Antonio; Waco</b>
<b>UTAH:</b>	<b>Ogden</b>
<b>VERMONT:</b>	<b>Burlington</b>
<b>VIRGINIA:</b>	<b>Accomack &amp; Northampton County*; Norfolk</b>
<b>WASHINGTON:</b>	<b>Seattle; Tacoma</b>
<b>WEST VIRGINIA:</b>	<b>Central Appalachia*; Huntington; McDowell County*</b>
<b>WISCONSIN:</b>	<b>Milwaukee; Northwoods Nijii*</b>

## **GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT**

When you electronically submit your application, the Application Control Center will automatically email a Grant Application Receipt Acknowledgment to you. If you submit a paper copy (with written request for waiver of electronic submission) of your application, a Grant Application Receipt Acknowledgement will be mailed to you. If you do not receive the notification of application receipt within 15 business days from the mailing of your application, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

## **GRANT AND CONTRACT FUNDING INFORMATION**

The Department of Education provides information about grant and contract opportunities electronically in several ways:

ED Internet Home Page      <http://www.ed.gov>

OCFO Web Page Internet      [\*\*http://www.ed.gov/about/offices/list/ocfo/grants/sites.html.\*\*](http://www.ed.gov/about/offices/list/ocfo/grants/sites.html)