

# Archived Information

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*U.S. Department of Education  
Office of Elementary and Secondary Education  
Washington, DC 20202-6336*

## APPLICATION FOR THE COMPREHENSIVE SCHOOL REFORM QUALITY INITIATIVES

*CFDA Number: 84.332 B*

*FORM APPROVED  
OMB No. 1890-0009  
Expiration Date: June 30, 2005*



**DATED MATERIAL – OPEN IMMEDIATELY**

**Closing Dates for Application Transmittal:**

*Application Due: April 5, 2005*

**Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless that collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0009** (expiration date: June 30, 2005). The time required to complete this information collection is estimated to average 80 hours per response for the application, 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 about the accuracy of the time estimate or suggestions for improving this form, or comments or concerns about the status of your individual submission of this form, write directly to:** Sheila Sjolseth, U.S. Department of Education, OESE/AITQ, 400 Maryland Ave, SW, FB-6, Room 3W237, Washington, DC, 20202-6200. Telephone (202) 260-5619 or by email [compreform@ed.gov](mailto:compreform@ed.gov) or by website <http://www.ed.gov/programs/qualinits/index.html>

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**UNITED STATES DEPARTMENT OF EDUCATION**

Office of Elementary and Secondary Education  
Academic Improvement and Teacher Quality Programs

February 4, 2005

Dear Applicant:

Thank you for your interest in the Comprehensive School Reform Quality Initiatives Program, administered by the Office of Elementary and Secondary Education of the U.S. Department of Education.

The purpose of the CSR Quality Initiatives program, authorized under section 1608 of the Elementary and Secondary Education Act of 1965, as amended (ESEA), is to provide discretionary grants to support activities that will enhance the State-administered CSR program and to enable schools that have been identified for improvement, corrective action, or restructuring under Title I of the ESEA to meet their State's definition of adequate yearly progress (AYP).

Under this program, the Secretary awards funds to support two specific categories of activities: Category 1 – technical assistance to States, school districts and schools in making informed decisions regarding approving or selecting providers of comprehensive school reform, and Category 2 – capacity building for comprehensive school reform providers to expand their work in more schools, assure quality and promote financial stability.

The Congress has appropriated approximately \$12 million for new awards under this competition in the FY 2004 and FY 2005 budgets. We will award the grants on a competitive basis for a project period of up to 3 years. There is no predetermined distribution of funds for Category 1 & 2; the allocation of funds between Category 1 and 2 grants will be based on the quality of the applications. Additional information can be found on page 3 on the funding for the specific categories.

For this competition, the Secretary has established absolute and competitive preference priorities. Additional information on the specific priorities can be found on page 3 and in the selection criteria section on page 10.

The Department of Education anticipates announcing Comprehensive School Reform Quality Initiatives awards in **late June 2005**. For further information concerning this program, please visit our website <http://www.ed.gov/programs/qualinits/index.html>. If you have a specific question, please contact the CSR QI program staff by e-mail at [compreform@ed.gov](mailto:compreform@ed.gov), or by telephone: Sheila Sjolseth (202) 260-5619 or Maggie McNeely at (202) 260-1335.

Sincerely,

Margaret McNeely  
Team Leader  
Comprehensive School Reform Program

## **SECTION A: COMPREHENSIVE SCHOOL REFORM QUALITY INITIATIVES PROGRAM OVERVIEW**

### **Program Overview**

The purpose of the CSR Quality Initiatives (CSR QI) program, authorized under section 1608 of the Elementary and Secondary Education Act of 1965, as amended (ESEA), is to provide discretionary grants to support activities that will enhance the State-administered CSR program and to enable schools that have been identified for improvement, corrective action, or restructuring under Title I of the ESEA to meet their State’s definition of adequate yearly progress (AYP).

Under this program, the Secretary awards funds to support two specific categories of activities: Category 1 – technical assistance to States, school districts and schools in making informed decisions regarding approving or selecting providers of comprehensive school reform, and Category 2 – capacity building for comprehensive school reform providers to expand their work in more schools, assure quality and promote financial stability.

### **Program Description**

Grantees under Category 1 assist States, local educational agencies (LEAs), and schools in making informed decisions regarding approving or selecting providers of comprehensive school reform, consistent with the requirements of section 1606(a) of the ESEA, as amended. Research and evaluation studies of comprehensive school reform implementation indicate that schools in need of improvement face a myriad of challenges to meet adequate yearly progress. A major issue is maximizing the knowledge base of district and school personnel in order to identify clearly the teaching and learning needs of the school as well as identifying the service provider that can best meet those needs. Quality information about the problem areas and the scientifically based solutions increase the chances of positive implementation.

Category 2 awards foster the development of comprehensive school reform models and provide effective capacity building for comprehensive school reform providers to expand their work in more schools and assure quality.

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CSR QI projects also must do the following:

1. **Report Annually** – Submit to the Department of Education annual performance reports that describe, at a minimum:
  - Progress in meeting program goals and objectives
  - Performance Measure information
2. **Cooperate with any Evaluation** – Participate fully in any evaluation of the Comprehensive School Reform Quality Initiatives program carried out by the Department of Education.

## **Funding**

### **Category 1:**

#### **Estimated Range of Award**

\$500,000 to \$1 million annually, for a total of \$1.5 million to \$3 million over a 36-month project period.

#### **Estimated Size of Award**

\$750,000 annually, for a total of \$2.25 million over a 36-month project period.

#### **Funding Cycle**

Annual funding cycle with an initial award and up to two continuation awards: The Department will make an initial award to a successful Category 1 Applicant for a twelve-month budget period. Continuation funding for the remainder of the project period (which may be up to 36 months) will be contingent on future Congressional appropriations and the performance of the grantee.

### **Category 2:**

#### **Estimated Range of Award**

\$1 million - \$3 million for a project period up to 36 months.

#### **Estimated Size of Award**

\$2 million for a project period up to 36 months.

#### **Funding Cycle**

One-time award: The Department will give a successful applicant one award for the full project period from the funds available for this competition. (In other words, Category 2 Applications will not receive an initial award and subsequent continuation awards.)

## **Who May Apply**

Public or private organizations that provide educational or related services are eligible applicants for CSR QI grants.

## **Priorities**

### **All applicants must meet the following absolute priorities:**

#### *For Category 1*

- The grantee will assist LEAs in more than one State.
- The applicant must demonstrate, in its grant application, that its CSR Quality Initiatives award will be matched with funds from one or more private organizations. For each year that a grantee receives a CSR Quality Initiatives award, the match, including any in-kind contributions, must total at least 10 percent of the award.

#### *For Category 2*

- The grantee will assist LEAs in more than one State.

**Applicants may address the following competitive preference priorities:**

*For Category 1*

The grantee will provide assistance to States, LEAs, and schools in approving or selecting a comprehensive school reform provider or in developing comprehensive school reforms, for schools that are identified as being in need of improvement, corrective action, or restructuring under section 1116 of the Elementary and Secondary Act of 1965, as amended. The applicant will provide a plan for providing States, LEAs and schools with information tools and technical assistance in such areas as using data to identify the instructional needs of students and to clarify the technical assistance and professional development needs of teachers and administrators. (up to 10 additional points)

*For Category 2*

The applicant will implement activities to develop and field-test specific strategies to: (1) meet the needs of students who have been traditionally underserved by comprehensive school reform providers, such as students with disabilities and students with limited English proficiency and to integrate those strategies into scientifically research-based comprehensive school reforms, or (2) increase the capacity of comprehensive reform providers to serve students in rural areas. These strategies could be additions or enhancements to existing CSR models or services already being provided. (up to 10 additional points)

**Selection Process**

The Department, through a peer review panel of experts, will evaluate each application on the application selection criteria as well as how the application addresses the competitive preference priorities included in this application package. The Department will select applicants for funding based on the quality of the applications including their rank order as determined by the total score of the application based on the selection criteria and the awarding of competitive preference priority points, if any. The Department anticipates making final awards in late June 2005.

## **SECTION B: COMPREHENSIVE SCHOOL REFORM QUALITY INITIATIVES APPLICATION**

CFDA No. 84.332B

Application Deadline  
Application Contents and Instructions  
Instructions for Transmitting Applications

Selection Criteria

Budget Information

Application Final Checklist

Application Forms and Notice:

ED Form 424 (Application For Federal Assistance – CFDA # 84.332B)

ED Form 524 (Budget Information Form – CFDA # 84.332B)

Assurances – Non-Construction Programs (Standard Form 424B)

Certification Regarding Lobbying; Debarment, Supervision and Other

Responsibility Matters; and Drug Free Workplace Requirements

(ED Form 80-0013)

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary

Exclusion—Lower Tier Covered Transactions (Ed Form ED 80-0014)—

(This form is intended for the use of primary participants and should not be transmitted to the Department.)

Disclosure of Lobbying Activities (SF LLL) (submit if applicable)

Notice to All Applicants (Section 427, GEPA)

Other Important Information:

Executive Order 12372 (Intergovernmental Review of Federal Programs)

Single State Point of Contact List

Important Notice to Prospective Participants in U.S. Department of

Education Contract and Grant Programs

## **APPLICATION DEADLINE**

**The deadline for postmark or hand delivery of Comprehensive School Reform Quality Initiatives Applications is April 5, 2005.** Applicants who submit their application through the Internet using the software provided on the e-Grants website (<http://e-grants.ed.gov>) must complete submission by 4:30 p.m. Washington, DC time on April 5, 2005. The Department will strictly observe this closing date.

## **APPLICATION CONTENTS**

**Applications must contain the following sections:**

### **1. Application for Federal Assistance—Standard Form 424**

This page identifies the applicant, category designation, project director and authorizing official. It also tells the Department which program (CFDA 84.332B) and category you are applying for. It is very important to read the instructions and provide all requested information in the appropriate spaces. Indicate the category in section 4.

### **2. Table of Contents**

The Table of Contents shows where and how the sections of your proposal are organized.

### **3. Abstract**

Applicants must submit a one-page, double-spaced Abstract, briefly describing their proposed project. Do not number this page. Place the name of the applicant at the top of the page and specify what category you are applying for.

### **4. Program Narrative**

This narrative responds to the program selection criteria found on page 11 (for Category 1 grants) and page 14 (for Category 2 grants). Each criterion has an assigned point value, and reviewers will be scoring each application according to all of the criteria. Please keep your narrative concise and focused.

Applicants are strongly encouraged to limit the program narrative (text plus all figures, charts, tables, and diagrams) to 40 pages, using the following standards:

- A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the program narrative. Do not double space charts, tables, or graphs.
- Use a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch).



- Include all critical information in the program narrative, eliminating the need for appendices.
- The page limit does not apply to the title page form (ED 424), the one-page abstract, the budget summary form and narrative budget justification, the resumes, or the assurances and certifications.

## 5. Budget (ED Form 524) and Budget Narrative

Use the enclosed ED Form 524 (Budget Information, Non-Construction Programs, Section A) to provide a complete budget summary for the thirty-six months of the project. Category 1 Applicants are required to complete Section B indicating the amount of matching funds. Category 1 Applicants must include a letter that demonstrates matching commitment from one or more private sources.

## 6. Appendices

Include in the appendices curriculum vitae for key personnel -- no more than 3 one-sided pages for each curriculum vitae submitted. Please limit the number of resumes submitted to no more than 5.

## 7. Certifications and Assurances

Applicants must include the following in the application: SF 424B Form, ED 80-0013 Form, SF LLL Form - Disclosure of Lobbying Activities (SF LLL) (submit if applicable), and Response to Notice to All Applicants (Section 427, GEPA).

If you choose to submit an application in paper format, submit the signed original application and two copies in a format that will ensure that the application stays intact (such as staples or binder clips) and that no pages are lost during our handling and review processes.

Although not required, it will facilitate the application review process if applicants include three additional copies for a total of **one original and five copies** of the application.

Please do not submit your application bound or in a three ring binder.

All sections of the application and all appendices or attachments must be suitable for photocopying in order to be included in the materials given to the reviewers. Please use one side of the page.

## **INSTRUCTIONS FOR TRANSMITTING APPLICATIONS**

**ATTENTION ELECTRONIC APPLICANTS:** Please note that you must follow the Application Procedures as described in the Federal Register notice announcing the grant competition. Some programs may require electronic submission of applications, and those programs will have specific requirements and waiver instructions in the Federal Register notice.

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

### **Applications Submitted Electronically**

You must submit your grant application through the Internet using the software provided on the e-Grants Web site (<http://e-grants.ed.gov>) by 4:30 p.m. (Washington, DC time) on the application deadline date. The regular hours of operation of the e-Grants website 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 after 7:00 p.m. on Wednesdays for maintenance (Washington, DC time). Any modifications to these hours are posted on the e-Grants Web site.

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

### **Applications Sent by Mail**

You must mail the original and two copies of the application on or before the deadline date to the following address. To help expedite our review of your application, we would appreciate your voluntarily including an additional three copies of your application.

**Please mail copies to:**

**U.S. Department of Education  
Application Control Center  
Attention: CFDA# 84.332B  
400 Maryland Avenue, SW  
Washington, DC 20202 - 4260**

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

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

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

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

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

**Applications Delivered by Commercial Carrier:**

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

Applications that are delivered by commercial carrier, such as Federal Express, United Parcel Service, etc. should be mailed to the:

**U.S. Department of Education  
Application Control Center – Stop 4260  
Attention: CFDA# 84.332B  
7100 Old Landover Road  
Landover, MD 20785-1506**

**Applications Delivered by Hand**

You or your courier must hand deliver the original and number of copies requested of the application by 4:30 p.m. (Washington, DC time) on or before the deadline date. To help expedite our review of your application, we would appreciate you voluntarily including an additional three copies of your application.

**Please hand deliver copies to:**

**U.S. Department of Education  
Application Control Center  
Attention: CFDA# 84.332B  
550 12<sup>th</sup> Street, SW  
PCP - Room 7041  
Washington, DC 20202 – 4260**

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

## SELECTION CRITERIA

Each of the selection criteria listed below is critical to the design and implementation of high-quality Comprehensive School Reform Quality Initiatives projects. The Department, through a separate peer review panel of experts, will evaluate each application based on the application selection criteria (worth up to 100 points), and will determine whether each application qualifies for up to an additional ten points under the competitive preference priority included in this notice. (Maximum points including competitive priority is 110.)

The Department will select applicants for funding based on the quality of the applications, including their rank order based on the application selection criteria and competitive preference priority. In making funding decisions, the Department will use the procedures in section 75.217 of EDGAR, 34 CFR 75.217. The Department anticipates making awards in late June 2005.

<u>Category 1 Projects</u>	<u>Maximum Points</u>
1. Significance	(20 total points)
2. Quality of the Project Design	(35 total points)
3. Quality of Project Personnel	(25 total points)
4. Quality of Project Evaluation	(20 total points)
5. Competitive Preference Priority	(10 total points)

The grantee will provide assistance to States, LEAs, and schools in approving or selecting a comprehensive school reform provider or in developing comprehensive school reforms, for schools that are identified as being in need of improvement, corrective action, or restructuring under section 1116 of the Elementary and Secondary Act of 1965, as amended. The applicant will provide a plan for providing States, LEAs and schools with information tools and technical assistance in such areas as using data to identify the instructional needs of students and to clarify the technical assistance and professional development needs of teachers and administrators.

<u>Category 2 Projects</u>	<u>Maximum Points</u>
1. Significance	(20 total points)
2. Quality of the Project Design	(35 total points)
3. Quality of Project Personnel	(20 total points)
4. Quality of Project Evaluation	(25 total points)
5. Competitive Preference Priority	(10 total points)

The applicant will implement activities to develop and field-test specific strategies to: (1) meet the needs of students who have been traditionally underserved by comprehensive school reform providers, such as students with disabilities and students with limited English proficiency and to integrate those strategies into scientifically research-based comprehensive school reforms, or (2) increase the capacity of comprehensive reform providers to serve students in rural areas. These strategies could be additions or enhancements to existing CSR models or services already being provided.

## CATEGORY 1 APPLICANTS

### OVERVIEW

The Secretary will use the following selection criteria in Section 75.210 of EDGAR (34 CFR 75.210) to evaluate **Category 1 Applications** under this competition. The score for the selection criteria is 100 points. The maximum score for each criterion is indicated in the parenthesis with the criterion. The criteria follow in the boxes on the following pages.

**Those Category 1 Applicants that are addressing the competitive preference priority in their application are eligible for up to 10 additional points.** Please address the competitive preference priority in the application narrative, when responding to the selection criteria.

Competitive preference priority applicable to Category 1 Applicants only:

The grantee will provide assistance to States, LEAs, and schools in approving or selecting a comprehensive school reform provider or in developing comprehensive school reforms, for schools that are identified as being in need of improvement, corrective action, or restructuring under section 1116 of the Elementary and Secondary Act of 1965, as amended. The applicant will provide a plan for providing States, LEAs and schools with information tools and technical assistance in such areas as using data to identify the instructional needs of students and to clarify the technical assistance and professional development needs of teachers and administrators.

**Additionally, through the absolute priorities designated by the Assistant Secretary:**

- **The grantee will assist LEAs in more than one State.**
- **The grantee must demonstrate, in its grant application, that its CSR Quality Initiatives award will be matched with funds from one or more private organizations. For each year that a grantee receives a CSR Quality Initiatives award, the match, including any in-kind contributions, must total at least 10 percent of the award.**

NOTE: The Comprehensive School Reform Quality Initiatives legislation for 1606 (a) includes the 11 components of comprehensive school reform: proven methods and strategies based on scientifically based research, comprehensive design, professional development, measurable goals and benchmarks, support within the school, support for teachers and principals, parental and community involvement, external technical support and assistance, annual evaluation, coordination of resources, and strategies that improve academic achievement. A copy of the entire legislation of 1606 (a) can be found in Section C of this application package.

### SELECTION CRITERIA

#### **SIGNIFICANCE**

**(0-20 points)**

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

*Selection Criterion 1, Factor 1:* The potential contribution of the proposed project to increased knowledge or understanding of effective strategies to improve schools in need of improvement.

*Selection Criterion 1, Factor 2:* The extent to which the proposed project is likely to build local capacity to improve services that address the needs of schools in need of improvement.

**QUALITY OF THE PROJECT DESIGN****(0-35 points)**

**The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers the following factors:**

*Selection Criterion 2, Factor 1:* The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the schools in need of improvement.

*Selection Criterion 2, Factor 2:* The extent to which the design for implementing and evaluating the proposed project will result in high-quality information that will assist schools in need of improvement with select comprehensive school reform approaches and strategies.

*Selection Criterion 2, Factor 3:* The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice.

**QUALITY OF PROJECT PERSONNEL****(0-25 points)**

**The Secretary considers the quality of personnel who will carry out the proposed project. In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. (34 CFR 75.210(e)(1),(2)) In addition, the Secretary considers the following factors:**

*Selection Criterion 3, Factor 1:* The qualifications, including relevant training and experience, of the project director.

*Selection Criterion 3, Factor 2:* The qualifications, including relevant training and experience, of key project personnel.

Applicants may include up to five resumes/curriculum vitae in the appendices in support of their response to *Selection Criterion 3, Factors 1 and 2*. Each resume/curriculum vita may be no more than three one-sided pages.

**QUALITY OF THE PROJECT EVALUATION****(0-20 points)**

**The Secretary considers the quality of the evaluation to be conducted of the proposed project. In determining the quality of the evaluation, the Secretary considers the following factors:**

*Selection Criterion 4, Factor 1:* The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project.

*Selection Criterion 4, Factor 2:* The extent to which the methods of evaluation include the use of objective performance measures\* that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.

### **\*Performance Measures**

For Category 1 (technical assistance in making informed decisions) projects, the performance indicator is “the usefulness of products and services developed through technical assistance addressed through a survey of target audience members.” With respect to this indicator, the measure that the Department will specifically look at is “the percentage of all products and services that receive target audience ratings for usefulness of high and above.”

A strong evaluation plan should be included in the application narrative and should be used, as appropriate, to shape the development of the project from the beginning of the grant period, including addressing the performance measures for this grant. The plan should include benchmarks to monitor progress toward specific project objectives and also outcome measures to assess the impact of the project. More specifically, the plan should identify who will conduct the evaluation and the evaluation design, indicating: (1) what types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports of results and outcomes will be available; (7) how the applicant will use the information collected through the evaluation to monitor progress of the funded project; and (8) how the performance measures are being met.

All Category 1 Grantees will be expected to submit an annual performance report addressing these performance measures. Data from the performance measures are included in the yearly report to Congress, key stakeholders, and the public.

## CATEGORY 2 APPLICANTS

### OVERVIEW

The Secretary will use the following selection criteria in Section 75.210 of EDGAR (34 CFR 75.210) to evaluate **Category 2 Applications** under this competition. The score for the selection criteria is 100 points. The maximum score for each criterion is indicated in the parenthesis with the criterion.

**Those Category 2 Applicants that are addressing the competitive preference priority in their application are eligible for up to 10 additional points.** Please address the competitive preference priority in the application narrative, when responding to the selection criteria.

Competitive preference priority applicable to Category 2 Applicants only:

The applicant will implement activities to develop and field-test specific strategies to: (1) meet the needs of students who have been traditionally underserved by comprehensive school reform providers, such as students with disabilities and students with limited English proficiency and to integrate those strategies into scientifically research-based comprehensive school reforms, or (2) increase the capacity of comprehensive reform providers to serve students in rural areas. These strategies could be additions or enhancements to existing CSR models or services already being provided.

**Additionally, through the absolute priority designated by the Assistant Secretary, the grantee will assist LEAs in more than one State.**

### SELECTION CRITERIA

#### **SIGNIFICANCE**

**(0-20 points)**

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

*Selection Criterion 1, Factor 1:* The potential contribution of the proposed project to increased knowledge or understanding of educational problems, issues, or effective strategies.

*Selection Criterion 1, Factor 2:* The likely utility of the products (such as materials, processes, or techniques) that will result from the proposed project, including the potential for their being used effectively in a variety of other settings.

*Selection Criterion 1, Factor 3:* The importance or magnitude of the results or outcomes likely to be attained by the proposed project, especially improvements in teaching and student achievement.



**QUALITY OF THE PROJECT DESIGN****(0 to 35 points)**

**The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers the following factors:**

*Selection Criterion 2, Factor 1:* The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.

*Selection Criterion 2, Factor 2:* The extent to which the proposed project is based upon a scientific research design, and the quality and appropriateness of that design, including the scientific rigor of the studies involved.

*Selection Criterion 2, Factor 3:* The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs.

**QUALITY OF PROJECT PERSONNEL****(0-20 points)**

**The Secretary considers the quality of personnel who will carry out the proposed project. In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. (34 CFR 75.210(e)(1),(2)) In addition, the Secretary considers the following factors:**

*Selection Criterion 3, Factor 1:* The qualifications, including relevant training and experience, of the project director.

*Selection Criterion 3, Factor 2:* The qualifications, including relevant training and experience, of key project personnel.

Applicants may include up to five resumes/curriculum vitae in the appendices in support of their response to *Selection Criterion 3, Factors 1 and 2*. Each resume/curriculum vita may be no more than three one-sided pages.

**QUALITY OF THE PROJECT EVALUATION****(0-25 points)**

**The Secretary considers the quality of the evaluation to be conducted of the proposed project. In determining the quality of the evaluation, the Secretary considers the following factors:**

*Selection Criterion 4, Factor 1:* The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project.

*Selection Criterion 4, Factor 2:* The extent to which the methods of evaluation provide for examining the effectiveness of project implementation strategies.

*Selection Criterion 4, Factor 3:* The extent to which the methods of evaluation include the use of objective performance measures\* that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.

### **\*Performance Measures**

For Category 2 (model development and capacity building) projects, the indicator is “the relevance of the projects funded by this program.” With respect to this indicator, the performance measure is the “percentage of new research projects funded by the CSR Quality Initiatives program that are deemed to be of high relevance to education practice.”

A strong evaluation plan should be included in the application narrative and should be used, as appropriate, to shape the development of the project from the beginning of the grant period, including addressing the performance measures for this grant. The plan should include benchmarks to monitor progress toward specific project objectives and also outcome measures to assess the impact of the project. More specifically, the plan should identify who will conduct the evaluation and the evaluation design, indicating: (1) what types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports of results and outcomes will be available; (7) how the applicant will use the information collected through the evaluation to monitor progress of the funded project; and (8) how the performance measures are being met.

All Category 2 Grantees will be expected to submit an annual performance report addressing these performance measures. Data from the performance measures are included in the yearly report to Congress, key stakeholders, and the public.

**BUDGET INFORMATION:  
HOW TO COMPLETE THE BUDGET PORTION  
OF THE APPLICATION**

In order to be considered for Federal funding each applicant must provide the following with its application:

- ED Form 524 Section A
- A descriptive Budget Narrative (limited to 5 double-spaced pages and serves to meet the requirements of ED Form 524, Section C) that explains the requested Federal amounts for individual cost categories, for Project Years 1, 2, and 3.
- Category 1 Applicants must complete Section B of ED Form 524. Category 1 Applicants must include a letter of commitment from the private organization(s) demonstrating matching funds.

**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, columns for Years 1, 2, and 3, and the total column. (Only Category 1 applicants must complete Section B.)

**INSTRUCTIONS TO COMPLETE ED FORM 524, SECTION A**

**Name:** Enter the Name of the applicant organization(s) or institution(s) in the blank space provided.

**Personnel (line 1):** Enter project personnel salaries and wages only. Include fees and expenses for consultants on line 6.

**Fringe Benefits (line 2):** The institution's normal fringe benefit contribution may be charged to the program. 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. Include travel of such persons as consultants and trainees on line 6.

**Equipment (line 4):** Indicate the cost of non-expendable personal property that has a usefulness of greater than one year, and acquisition cost that is the lesser of the capitalization level established by the applicant entity for financial statement purposes, or \$5,000 per article. Lower limits may be established to maintain consistency with the applicant's policy.

**Supplies (line 5):** Show all tangible personal property except that 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, or printing costs.

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

**Indirect Costs (line 10):** Indicate the applicant's approved, unrestricted, indirect cost rate, per sections 75.560 – 75.580 of EDGAR. If an applicant does not have an approved indirect cost rate agreement with a cognizant Federal agency, the applicant must apply to the Department for a temporary indirect cost rate if it wishes to charge indirect costs to the grant. For more information, go to the Department's website at:

<http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>, or call the Indirect Cost group at (202) 708-8787.

**Training Stipends (line 11):** Not applicable.

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

## **COMPREHENSIVE SCHOOL REFORM QUALITY INITIATIVES APPLICATION CHECKLIST**

### **Application Contents:**

- ❑ 1. ED 424 Form, Application for Federal Assistance, CFDA No. 84.332B
- ❑ 2. Table of Contents - optional for e-Applicants
- ❑ 3. Abstract describing proposed project and designated category (1 page, double-spaced, with project name at top)
  
- ❑ 4. Program Narrative
  
- ❑ 5. ED 524 Form, Budget Information – Non Construction Programs, Part A, columns for Project Years 1, 2, and 3, and total column. Ensure that the number provided on line 12, column F of the ED Form 524 Budget sheet is the total amount of funds requested for the entire three year project period and matches the applicant’s response to item 14(g) on the face sheet, ED Form 424.
- ❑ ED 524 Form, Part B – Category 1 Applicants must complete this form. Category 2 Applicants do not need to complete this form. Category 1 Applicants must include a letter of commitment from the private organization(s) demonstrating matching funds.
- ❑ Budget Narrative (see Instructions for ED 524)
  
- ❑ 6. Curriculum vitae of key personnel – no more than 5. Include no more than 3 one-sided pages for each curriculum vita submitted.
  
- ❑ 7. SF 424B Form - Assurance - Non-Construction Programs
- ❑ ED 80-0013 Form - Certifications Regarding Lobbying; Debarment, Supervision and other Responsibility Matters; and Drug-free Workplace Requirements
- ❑ SF LLL Form - Disclosure of Lobbying Activities (SF LLL) (submit if applicable)
- ❑ Response to Notice to All Applicants (Section 427, GEPA)  
This is a required statement placed at the end of the narrative, not a form. GEPA 427 requires applicants to include in their proposal a succinct 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 others with special needs. GEPA 427 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 can determine whether these or other barriers may prevent students, teachers, and others from such access or participation.

### Please check to make sure that you have done the following:

- ❑ For those submitting an application in paper format, include the signed original and at least two copies of the complete application. (Although not required, it will facilitate the application review process if you **include three additional copies of your complete application for a total of one original and five copies.**)



## 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. Include the designated category your project is applying under.
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>*



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)?

For Category 1 Applications Only

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.				
<b>SECTION B - BUDGET SUMMARY NON-FEDERAL FUNDS</b>						
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)						
<b>SECTION C – BUDGET NARRATIVE</b> (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) 708-7770 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.

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

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

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

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

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

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

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

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED



## CERTIFICATION REGARDING LOBBYING

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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.

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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

**Disclosure of Lobbying Activities**

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

<p><b>1. Type of Federal Action:</b>  a. contract  _____ b. grant  c. cooperative agreement  d. loan  e. loan guarantee  f. loan insurance</p>	<p><b>2. Status of Federal Action:</b>  a. bid/offer/application  _____ b. initial award  c. post-award</p>	<p><b>3. Report Type:</b>  a. initial filing  _____ b. material change</p> <p><b>For material change only:</b>  Year _____ quarter _____  Date of last report _____</p>
<p><b>4. Name and Address of Reporting Entity:</b>  _____ Prime _____ Subawardee  Tier _____, if Known:</p> <p><b>Congressional District, if known:</b></p>		<p><b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b></p> <p><b>Congressional District, if known:</b></p>
<p><b>6. Federal Department/Agency:</b></p>	<p><b>7. Federal Program Name/Description:</b></p> <p>CFDA Number, if applicable: _____</p>	
<p><b>7. Federal Action Number, if known:</b></p>	<p><b>9. Award Amount, if known:</b></p> <p>\$ _____</p>	
<p><b>10. a. Name and Address of Lobbying Registrant</b>  <i>(if individual, last name, first name, MI):</i></p>	<p><b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i>  <i>(last name, first name, MI):</i></p>	
<p><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></p>	<p><b>Signature:</b> _____</p> <p><b>Print Name:</b> _____</p> <p><b>Title:</b> _____</p> <p><b>Telephone No.:</b> _____ <b>Date:</b> _____</p>	
<p><b>Federal Use Only</b></p>	<p><b>Authorized for Local Reproduction</b>  <b>Standard Form - LLL (Rev. 7-97)</b></p>	

## 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

**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.

## Executive Order 12372 – Intergovernmental Review

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This program 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 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 procedures established in each state under the Executive order.

In keeping with the Executive Order, the Office of Management and Budget has established and maintains a list of the states participating in the program. This list provides the names, addresses, telephone and fax numbers of designated state single points of contact and can be accessed at:

<http://www.whitehouse.gov/omb/grants/spoc.html>

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 this notice to the following address:

The Secretary  
EO 12372–CFDA no. 84.332B  
U.S. Department of Education  
Room 7E200  
400 Maryland Avenue SW  
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 this notice.

**Please note that the above address is not the same address as the one to which the applicant submits its completed applications. Do not send applications to the above address.**

**Intergovernmental Review (SPOC List)**

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 below.

**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](#).

<p><b><u>ARKANSAS</u></b>          Tracy L. C Copeland          Manager, State Clearinghouse          Office of Intergovernmental Services          Department of Finance and Administration          1515 W. 7th St., 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><u>CALIFORNIA</u></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><u>DELAWARE</u></b>          Sandra R. Stump          Executive Department          Office of the Budget          540 S. Dupont Highway, 3rd 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><u>DISTRICT OF COLUMBIA</u></b>          Luisa Montero-Diaz          Office of Partnerships and Grants          Development Executive Office of the Mayor          District of Columbia Government          441 4th 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><u>FLORIDA</u></b>  Lauren P. Milligan  Florida State Clearinghouse  Florida Dept. of Environmental Protection  3900 Commonwealth Blvd., Mail 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><u>GEORGIA</u></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><u>ILLINOIS</u></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><u>IOWA</u></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><u>KENTUCKY</u></b>  Ron Cook  The Governor's Office for Local  Development  1024 Capital Center Drive, Suite 340  Frankfort, Kentucky 40601  Telephone: (502) 573-2382 / (800) 346-5606  Fax: (502) 573-2512  <a href="mailto:Ron.Cook@Ky.Gov">Ron.Cook@Ky.Gov</a></p>	<p><b><u>MAINE</u></b>  Joyce Benson  State Planning Office  184 State Street  38 State House Station  Augusta, Maine 04333  Telephone: (207) 287-3261  (direct) (207) 287-1461  Fax: (207) 287-6489  <a href="mailto:joyce.benson@state.me.us">joyce.benson@state.me.us</a></p>
<p><b><u>MARYLAND</u></b>  Linda C. Janey, J.D.  Director, Capital Planning and Development  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:linda@mail.op.state.md.us">linda@mail.op.state.md.us</a></p>	<p><b><u>MICHIGAN</u></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><u>MISSISSIPPI</u></b>  Mildred Tharpe  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><u>MISSOURI</u></b>  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><u>NEVADA</u></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><u>NEW HAMPSHIRE</u></b>  MaryAnn Manoogian  Director, New Hampshire Office of  Energy and Planning  Attn: Intergovernmental Review Process  Benjamin Frost  57 Regional Drive  Concord, New Hampshire 03301-8519  Telephone: (603) 271-2155  Fax: (603) 271-2615  <a href="mailto:irp@nh.gov">irp@nh.gov</a></p>
<p><b><u>NEW MEXICO</u></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><u>NEW YORK</u></b>  Linda Shkreli  Office of Public Security  Homeland Security Grants Coordination  633 3rd Avenue  New York, NY 10017  Telephone: (212) 867-1289  fax: (212) 867-1725</p>
<p><b><u>NORTH DAKOTA</u></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><u>RHODE ISLAND</u></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><u>SOUTH CAROLINA</u></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><u>TEXAS</u></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:francis@governor.state.tx.us">francis@governor.state.tx.us</a></p>
<p><b><u>UTAH</u></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:walters@utah.gov">walters@utah.gov</a></p>	<p><b><u>WEST VIRGINIA</u></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><u>WISCONSIN</u></b>  Jeff Smith  Section Chief, Federal/State Relations  Wisconsin Department of Administration  101 East Wilson Street, 6th 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><u>AMERICAN SAMOA</u></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><u>GUAM</u></b>  Director  Bureau of Budget and Management Research  Office of the Governor  P.O. Box 2950  Agana, Guam 96910  Telephone: 011-671-472-2285  Fax: 011-472-2825  <a href="mailto:jer@ns.gov.gu">jer@ns.gov.gu</a></p>

<p><b><u>NORTH MARIANA ISLANDS</u></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><u>PUERTO RICO</u></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><u>VIRGIN ISLANDS</u></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: (340) 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 [mgrants@omb.eop.gov](mailto:mgrants@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 17th 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  
GRANT AND CONTRACT 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.access.gpo.gov/nara>. 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. No ED employees are authorized to extend any deadline published in the Federal 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/currrfp.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.

# SECTION C: FEDERAL REGISTER NOTICE AND RELEVANT STATUTORY AND REGULATORY PROVISIONS

## NOTICE OF FINAL PRIORITIES

4000-01-U  
DEPARTMENT OF EDUCATION

Comprehensive School Reform Quality Initiatives

AGENCY: Office of Elementary and Secondary Education, Department of Education.

ACTION: Notice of final priorities.

SUMMARY: The Assistant Secretary announces priorities under the Comprehensive School Reform (CSR) Quality Initiatives program. The Assistant Secretary may use one or more of these priorities for competitions for fiscal year (FY) 2004 and subsequent years' funds. These priorities focus on schools that are in need of improvement, corrective action, or restructuring and on student groups that have been traditionally underserved, such as students with disabilities, limited English proficient students, and students in rural areas.

EFFECTIVE DATE: These priorities are effective March 7, 2005.

FOR FURTHER INFORMATION CONTACT: Sheila Sjolseth, U.S. Department of Education, OESE/AITQ, 400 Maryland Ave, SW., FB-6, room 3W237, Washington, DC, 20202-6200. Telephone: (202) 260-5619 or by e-mail at [compreform@ed.gov](mailto:compreform@ed.gov) or by the Internet at the following Web site: <http://www.ed.gov/programs/qualinits/index.html>

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

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the contact person listed under FOR FURTHER INFORMATION CONTACT.

SUPPLEMENTARY INFORMATION: The purpose of the CSR Quality Initiatives program, authorized under section 1608 of the Elementary and Secondary Education Act of 1965, as amended (ESEA), is to provide discretionary grants to support activities that will enhance the State-administered CSR program and to enable schools that have been identified as in need of improvement, corrective action, or restructuring under Part A of Title I of the ESEA to meet their State's definition of adequate yearly progress (AYP). Under this program, the Assistant Secretary awards funds to support two specific categories of activities. Grantees under Category 1 will assist States, local educational agencies (LEAs), and schools in making informed decisions regarding approving or selecting providers of comprehensive school reform or in developing comprehensive school reforms. Category 2 projects will foster the development of comprehensive school reform models and support development of capacity for comprehensive school reform providers to expand their work in more schools and ensure quality.

We published a notice of proposed priorities for this program in the Federal Register on December 1, 2004. (69 FR 69898). In the notice we proposed four priorities – two priorities specific to Category 1 applications, one priority specific to Category 2 applications, and one priority for both Category 1 and Category 2 applications. Except for a change in the priority for Category 2 applications to clarify the intent of the priority, and other technical changes, there are no differences between the notice of proposed priorities and this notice of final priorities.

### Analysis of Comments and Changes

In response to our invitation in the notice of proposed priorities, one party submitted comments on the proposed priorities. This commenter suggested that there be no matching requirement for Category 1 applicants. However, section 1608(1) of the ESEA requires a match for Category 1 applications, and we believe that a 10 percent match, which may include in-kind contributions, is reasonable. Accordingly, we have not made a change to this matching requirement.

Note: This notice does not solicit applications. In any year in which we choose to use one or more of these priorities, we invite applications through a notice in the Federal Register. When inviting applications we designate each priority as absolute, competitive preference, or invitational. The effect of each type of priority follows:

Absolute priority: Under an absolute priority we consider only applications that meet the priority (34 CFR 75.105(c)(3)).

Competitive preference priority: Under a competitive preference priority we give competitive preference to an application by either (1) awarding additional points, depending on how well or the extent to which the application meets the competitive priority (34 CFR 75.105(c)(2)(i)); or (2) selecting an application that meets the competitive priority over an application of comparable merit that does not meet the priority (34 CFR 75.105(c)(2)(ii)).

Invitational priority: Under an invitational priority we are particularly interested in applications that meet the invitational priority. However, we do not give an application that meets the invitational priority a competitive or absolute preference over other applications (34 CFR 75.105(c)(1)).

### PRIORITIES:

Priority for Category 1 Applicants:

The grantee will provide assistance to States, LEAs, and schools in approving or selecting a comprehensive school reform provider or in developing comprehensive school reforms, for schools that are identified as being in need of improvement, corrective action, or restructuring under section 1116 of the Elementary and Secondary Education Act of 1965, as amended. The applicant will

provide a plan for providing States, LEAs and schools with information tools and technical assistance in such areas as using data to identify the instructional needs of students and to clarify the technical assistance and professional development needs of teachers and administrators.

Priority for Category 1 Applicants:

The applicant must demonstrate, in its grant application, that its CSR Quality Initiatives award will be matched with funds from one or more private organizations. For each year that a grantee receives a CSR Quality Initiatives award, the match, including any in-kind contributions, must total at least 10 percent of the award.

Priority for Category 2 Applicants:

The applicant will implement activities to develop and field-test specific strategies to: (1) meet the needs of students who have been traditionally underserved by comprehensive reform providers, such as students with disabilities and students with limited English proficiency and to integrate those strategies into scientifically research-based comprehensive school reforms, or (2) increase the capacity of comprehensive reform providers to serve students in rural areas. These strategies could be additions or enhancements to existing CSR models or services already being provided.

Priority for Category 1 and 2 Applicants:

The grantee will assist LEAs in more than one State.

Executive Order 12866

This notice of final priorities has been reviewed in accordance with Executive Order 12866. Under the terms of the order, we have assessed the potential costs and benefits of this regulatory action.

The potential costs associated with the notice of final priorities are those resulting from statutory requirements and those we have determined as necessary for administering this program effectively and efficiently to provide the most benefits for the greatest number of students.

In assessing the potential costs and benefits — both quantitative and qualitative — of this notice of final priorities, we have determined that the benefits of the proposed priorities justify the costs.

We have also determined that this regulatory action does not unduly interfere with State, local and tribal governments in the exercise of their governmental functions.

We summarized the costs and benefits in the notice of proposed priorities.

Intergovernmental Review

This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. One of the objectives of the Executive Order is to foster an intergovernmental partnership and a strengthened federalism. The Executive Order relies on processes developed by State and local governments for coordination and review of proposed Federal financial assistance.

This document provides early notification of our specific plans and actions for this program.

Electronic Access to This Document

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

[www.ed.gov/news/fedregister](http://www.ed.gov/news/fedregister)

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

You may also view this document in text at the following site:

[www.ed.gov/programs/qualinits/index.html](http://www.ed.gov/programs/qualinits/index.html)

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

(Catalog of Federal Domestic Assistance Number 84.322B Comprehensive School Reform – Quality Initiatives)

PROGRAM AUTHORITY: 20 U.S.C. 6518.

Dated:

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Raymond Simon,  
Assistant Secretary for Elementary and  
Secondary Education.

## **Notice Inviting Applications**

4000-01-U

DEPARTMENT OF EDUCATION

Office of Elementary and Secondary Education

Overview Information

Comprehensive School Reform Quality Initiatives Program

Notice inviting applications for new awards.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.332B

Note: This notice describes two separate competitions -- one competition for Category 1 grant awards and one competition for Category 2 grant awards. Applicants must specify in their application whether they are applying for Category 1 or Category 2 grant awards.

Dates:

Applications Available: February 4, 2005.

Notification of Intent to Apply: March 7, 2005.

Deadline for Transmittal of Applications: April 5, 2005.

Deadline for Intergovernmental Review: June 6, 2005.

Eligible Applicants: Public or private organizations that provide educational services to public elementary or secondary schools.

Estimated Available Funds: A total of approximately \$12 million for the two categories of grants described in this notice. (Of this amount, approximately \$5 million is from the fiscal year FY 2004 Comprehensive School Reform (CSR) Quality Initiatives appropriation and approximately \$7 million is from the FY 2005 CSR Quality Initiatives appropriation.)

Contingent upon the availability of funds and the receipt of a sufficient number of high-quality applications, we may make additional awards in FY 2006 from the rank-ordered list of unfunded applications from this competition.

Estimated Range of Awards: Please see the chart (chart) elsewhere in this notice under section II, Award Information.

Estimated Average Size of Awards: See chart.

Estimated Number of Awards: At least one award in each of the two categories described in this notice. Any additional awards will be distributed between Category 1 and Category 2 grants based on the quality of the applications.

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

Project Period: Up to 36 months.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The purpose of the CSR Quality Initiatives program, authorized under section 1608 of the Elementary and Secondary Education Act of 1965, as amended (ESEA), is to provide discretionary grants to support activities that will enhance the State-administered CSR program and to enable schools that have been identified for improvement, corrective action, or restructuring under Part A of Title I of the ESEA to meet their State's definition of adequate yearly progress (AYP).

Under this program, the Secretary awards funds to support two specific categories of activities:

Category 1 – The grantee provides technical assistance to States, school districts, and schools in making informed decisions regarding approving or selecting providers of comprehensive school reform, and

Category 2 – The grantee supports capacity building for comprehensive school reform providers to expand their work in more schools, ensure quality, and promote financial stability.

The Category 1 and Category 2 competitions announced in this notice are independent competitions. The Department will evaluate and fund the Category 1 and Category 2 applications separately.

Priorities: These priorities are from the notice of final priorities for this program, published elsewhere in this issue of the Federal Register.

Absolute Priorities:

(1) Absolute priority applicable to both Category 1 and Category 2 applicants

For FY 2004 and FY 2005 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c)(3), we only consider Category 1 and Category 2 applicants that meet this priority. This priority is:

The grantee will assist local educational agencies (LEAs) in more than one State.

(2) Absolute priority applicable to Category 1 applicants only

For FY 2004 and FY 2005 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c)(3), we only consider Category 1 applicants that meet this priority. This priority is:

The applicant must demonstrate, in its grant application, that its CSR Quality Initiatives award will be matched with funds from one or more private organizations. For each year that a grantee receives a CSR Quality Initiatives award, the match, including any in-kind contributions, must total at least 10 percent of the award.

Competitive Preference Priorities:

(1) Competitive preference priority applicable to Category 1 applicants only



For FY 2004 and FY 2005 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, this priority is a competitive preference priority. Under 34 CFR 75.105(c)(2)(i), we award up to 10 additional points to a Category 1 applicant, depending on the extent to which the applicant meets this priority. This priority is:

The grantee will provide assistance to States, LEAs, and schools in approving or selecting a comprehensive school reform provider or in developing comprehensive school reforms, for schools that are identified as being in need of improvement, corrective action, or restructuring under section 1116 of the Elementary and Secondary Act of 1965, as amended. The applicant will provide a plan for providing States, LEAs and schools with information tools and technical assistance in such areas as using data to identify the instructional needs of students and to clarify the technical assistance and professional development needs of teachers and administrators.

(2) Competitive preference priority applicable to Category 2 applicants only

For FY 2004 and FY 2005 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, this priority is a competitive preference priority. Under 34 CFR 75.105(c)(2)(i), we award up to 10 additional points to a Category 2 applicant, depending on the extent to which the applicant meets this priority. This priority is:

The applicant will implement activities to develop and field-test specific strategies to: (1) meet the needs of students who have been traditionally underserved by comprehensive school reform providers, such as students with disabilities and students with limited English proficiency and to integrate those strategies into scientifically research-based comprehensive school reforms, or (2) increase the capacity of comprehensive reform providers to serve students in rural areas. These strategies could be additions or enhancements to existing CSR models or services already being provided.

Applicable Regulations: (a) the Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99 (b) the Notice of Final Priorities for the program published elsewhere in this issue of the Federal Register.

Program Authority: 20 U.S.C. 6518.

II. Award Information

Type of Award: Discretionary grant.

Estimated Available Funds: Approximately \$12 million.

Contingent upon the availability of funds and the receipt of a sufficient number of high-quality applications, we may make additional awards in FY 2006 from the rank-ordered list of unfunded applications from this competition.

Estimated Range of Awards, Estimated Size of Awards, and Funding Cycle:

	Estimated Range of Award	Estimated Size of Award
Category 1	\$500,000 to \$1 million annually, for a total of \$1.5 million to \$3 million over a 36-month project period.	\$750,000 annually, for a total of \$2.25 million over a 36-month project period.
<b>Funding Cycle</b> Annual funding cycle with an initial award and up to two continuation awards: We will make an initial award to a successful Category 1 applicant for a twelve-month budget period. Continuation funding for the remainder of the project period (which may be up to 36 months) will be contingent on future Congressional appropriations and the performance of the grantee.		

	Estimated Range of Award	Estimated Size of Award
Category 2	\$1 million - \$3 million for a project period up to 36 months.	\$2. million for a project period up to 36 months.
<b>Funding Cycle</b> One-time award: We will give a successful applicant one award for the full project period from the funds available for this competition. (In other words, Category 2 applicants will not receive an initial award and subsequent continuation awards.)		

Estimated Number of Awards: At least one award under both Category 1 and Category 2. Additional funds will be distributed between Category 1 and Category 2 grants based on the quality of the applications.

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

Project Period: Up to 36 months.

III. Eligibility Information

- Eligible Applicants: Public or private organizations that provide educational services to public elementary or secondary schools.
- Cost Sharing or Matching: The following matching requirement is for Category 1 (technical assistance in making informed decisions) applicants only. For each year that a Category 1 grantee receives a CSR Quality Initiatives award, the match, including any in-kind contributions, must total at least 10 percent of the award. Please refer to the Category 1 absolute priorities for more information.

There is no matching requirement for Category 2 (development and capacity building) applicants.

IV. Application and Submission Information



1. Address to Request Application Package: You may obtain an application package for this program via the Internet at the following address: [www.ed.gov/programs/qualinits/applicant.html](http://www.ed.gov/programs/qualinits/applicant.html)

You also may request an application package by mail at: Education Publications Center (ED Pubs), P.O. Box 1398, Jessup, MD 20794-1398. Telephone (toll free): 1-877-433-7827. FAX: (301) 470-1244. If you use a telecommunications device for the deaf (TDD), you may call (toll free): 1-877-576-7734.

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

If you request an application from ED Pubs, be sure to identify this competition as follows: CFDA number 84.332B

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

2. Content and Form of Application Submission: Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this program. An applicant must indicate whether it is applying for funding from Category 1 or Category 2.

Notification of Intent to Apply: We will be able to develop a more efficient process for reviewing grant applications if we have a better understanding of the number of entities that intend to apply for funding. Therefore, we strongly encourage each potential applicant to send a notification of its intent to apply for funding to the following address: [compreform@ed.gov](mailto:compreform@ed.gov) Please indicate which category the potential applicant intends to apply under. The notification of intent to apply for funding is optional and should not include information regarding the proposed application.

Page Limit: Applicants are strongly encouraged to limit their application to 40 pages.

3. Submission Dates and Times:

Applications Available: February 4, 2005.

Notification of Intent to Apply: March 7, 2005.

Deadline for Transmittal of Applications: April 5, 2005.

Applications for grants under this program may be submitted electronically using the Electronic Grant Application System (e-Application) accessible through the Department's e-Grants system, or in paper format by mail or hand delivery. For information (including dates and times) about how to submit your application electronically, or by mail or hand delivery, please refer to section IV.

6. Other Submission Requirements in this notice.

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

Deadline for Intergovernmental Review: June 6, 2005.

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

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

6. Other Submission Requirements: Applications for grants under this program may be submitted electronically or in paper format by mail or hand delivery.

a. Electronic Submission of Applications.

If you submit your application to us electronically, you must use e-Application available through the Department's e-Grants system, accessible through the e-Grants portal page at: <http://e-grants.ed.gov>.

While completing your electronic application, you will be entering data online that will be saved into a database. You may not e-mail an electronic copy of a grant application to us.

Please note the following:

- Your participation in e-Application is voluntary.
- 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 program 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 will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you submit your application in paper format.

- You must submit all documents electronically, including the Application for Federal Education Assistance (ED 424), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.

- Any narrative sections of your application should be attached as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format.

- Prior to submitting your electronic application, you may wish to print a copy of it for your records.

- After you electronically submit your application, you will receive an automatic acknowledgement that will include a PR/Award number (an identifying number unique to your application).

• 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 ED 424 from e-Application.
  2. The applicant's Authorizing Representative must sign this form.
  3. Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the ED 424.
  4. Fax the signed ED 424 to the Application Control Center at (202) 245-6272.
- We may request that you provide us original signatures on 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 you have initiated an electronic application for this competition; and
2. (a) 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

(b) 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 either (1) the person listed elsewhere in this notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930. If the system is down and therefore the application deadline is extended, an e-mail will be sent to all registered users who have initiated an e-Application.

Extensions referred to in this section apply only to the unavailability of the Department's e-Application system. If the e-Application system is available, and, for any reason, you are unable to submit your application electronically or you do not receive an automatic acknowledgement of your submission, you may submit your application in paper format by mail or hand delivery in accordance with the instructions in this notice.

b. Submission of Paper Applications by Mail.

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

By mail through the U.S. Postal Service:

U.S. Department of Education  
Application Control Center  
Attention: 84.332B  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

or

By mail through a commercial carrier:

U.S. Department of Education  
Application Control Center – Stop 4260  
Attention: 84.332B  
7100 Old Landover Road  
Landover, MD 20785-1506

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 Secretary of the U.S. Department of Education.

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

1. A private metered postmark, 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.

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

c. Submission of Paper Applications by Hand Delivery.

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

U.S. Department of Education  
Application Control Center  
Attention: 84.332B

550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

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

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

1. You must indicate on the envelope and — if not provided by the Department — in Item 4 of the ED 424 the CFDA number — and suffix letter, if any — of the competition under which you are submitting your application.
2. The Application Control Center will mail a grant application receipt acknowledgment to you. If you do not receive the grant application receipt acknowledgment within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

#### V. Application Review Information

Selection Criteria: We will use different selection criteria for the Category 1 and Category 2 applications. These criteria are from the regulations at 34 CFR 75.210 and are listed in the application package.

#### VI. Award Administration Information

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

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

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

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

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as specified by the Secretary in 34 CFR 75.118.

4. Performance Measures: Under the Government Performance and Results Act (GPRA), the program objective for the Comprehensive School Reform program is to increase the number of CSR program schools that will be removed from school improvement status under Title I of the ESEA. Specifically for the CSR Quality Initiatives program, one performance indicator and related measure for each category have been developed for evaluating the overall effectiveness of the CSR Quality Initiatives program.

For Category 1 (technical assistance in making informed decisions) projects, the performance indicator is “the usefulness of products and services developed through technical assistance addressed through a survey of target audience members.” With respect to this indicator, the measure that the Department will specifically look at is “the percentage of all products and services that receive target audience ratings for usefulness of high and above.”

For Category 2 (model development and capacity building) projects, the indicator is “the relevance of the projects funded by this program.” With respect to this indicator, the performance measure is the “percentage of new research projects funded by the CSR Quality Initiatives program that are deemed to be of high relevance to education practice.”

All Category 1 and Category 2 grantees will be expected to submit an annual performance report addressing these performance measures. Data from the performance measures are included in the yearly report to Congress, key stakeholders, and the public.

#### VII. Agency Contact

For Further Information Contact: Sheila Sjolseth, U.S. Department of Education, OESE/AITQ, 400 Maryland Ave, SW., FB-6, room 3W237, Washington, DC, 20202-6200. Telephone (202) 260-5619 or by email [compreform@ed.gov](mailto:compreform@ed.gov) or by Internet at the following Web site: <http://www.ed.gov/programs/qualinits/index.html>

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

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

#### VIII. Other Information

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

[www.ed.gov/news/fedregister](http://www.ed.gov/news/fedregister)

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

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

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Raymond Simon,  
Assistant Secretary for Elementary and  
Secondary Education.

## **Authorizing Statutory Language**

### COMPREHENSIVE SCHOOL REFORM THE ELEMENTARY AND SECONDARY EDUCATION ACT

#### **SEC. 1601. PURPOSE.**

The purpose of this part is to provide financial incentives for schools to develop comprehensive school reforms, based upon scientifically based research and effective practices that include an emphasis on basic academics and parental involvement so that all children can meet challenging State academic content and academic achievement standards.

#### **SEC. 1608. QUALITY INITIATIVES.**

The Secretary, through grants or contracts, shall provide funds for —

- (1) a public-private effort, in which funds are matched by private organizations, to assist States, local educational agencies, and schools, in making informed decisions regarding approving or selecting providers of comprehensive school reform, consistent with the requirements described in section 1606(a); and
- (2) activities to foster the development of comprehensive school reform models and to provide effective capacity building for comprehensive school reform providers to expand their work in more schools, assure quality, and promote financial stability.

#### **SEC. 1606. LOCAL USE OF FUNDS.**

(a) **USES OF FUNDS-** A local educational agency or consortium that receives a subgrant under this part shall provide the subgrant funds to schools that are eligible for assistance under part A and served by the agency, to enable the schools to implement a comprehensive school reform program that —

- (1) employs proven strategies and proven methods for student learning, teaching, and school management that are based on scientifically based research and effective practices and have been replicated successfully in schools;
- (2) integrates a comprehensive design for effective school functioning, including instruction, assessment, classroom management, professional development, parental involvement, and school management, that aligns the school's curriculum, technology, and professional development into a comprehensive school reform plan for schoolwide change designed to enable all students to meet challenging State content and student academic achievement standards and addresses needs identified through a school needs assessment;
- (3) provides high quality and continuous teacher and staff professional development;
- (4) includes measurable goals for student academic achievement and benchmarks for meeting such goals;

- (5) is supported by teachers, principals, administrators, school personnel staff, and other professional staff;
- (6) provides support for teachers, principals, administrators, and other school staff;
- (7) provides for the meaningful involvement of parents and the local community in planning, implementing, and evaluating school improvement activities consistent with section 1118;
- (8) uses high quality external technical support and assistance from an entity that has experience and expertise in schoolwide reform and improvement, which may include an institution of higher education;
- (9) includes a plan for the annual evaluation of the implementation of school reforms and the student results achieved;
- (10) identifies other resources, including Federal, State, local, and private resources, that shall be used to coordinate services that will support and sustain the comprehensive school reform effort; and
- (11)(A) has been found, through scientifically based research to significantly improve the academic achievement of students participating in such program as compared to students in schools who have not participated in such program; or
- (B) has been found to have strong evidence that such program will significantly improve the academic achievement of participating children.

(b) SPECIAL RULE- A school that receives funds to develop a comprehensive school reform program shall not be limited to using nationally available approaches, but may develop the school's own comprehensive school reform program for schoolwide change as described in subsection (a).

## DEFINITIONS

### **SEC. 9101. Definitions (Title IX General Provisions, ESEA)**

(5) CHILD WITH A DISABILITY- The term child with a disability has the same meaning given that term in section 602 of the Individuals with Disabilities Education Act.

(15) DEPARTMENT- The term Department means the Department of Education.

(25) LIMITED ENGLISH PROFICIENT- The term limited English proficient, when used with respect to an individual, means an individual —

(A) who is aged 3 through 21;

(B) who is enrolled or preparing to enroll in an elementary school or secondary school;

(C)(i) who was not born in the United States or whose native language is a language other than English;

(ii)(I) who is a Native American or Alaska Native, or a native resident of the outlying areas; and

(II) who comes from an environment where a language other than English has had a significant impact on the individual's level of English language proficiency; or

(iii) who is migratory, whose native language is a language other than English, and who comes from an environment where a language other than English is dominant; and

(D) whose difficulties in speaking, reading, writing, or understanding the English language may be sufficient to deny the individual —

(i) the ability to meet the State's proficient level of achievement on State assessments described in section 1111(b)(3);

(ii) the ability to successfully achieve in classrooms where the language of instruction is English; or

(iii) the opportunity to participate fully in society.

(26) LOCAL EDUCATIONAL AGENCY-

(A) IN GENERAL- The term local educational agency means a public board of education or other public authority legally constituted within a State for either administrative control or direction of, or to perform a service function for, public elementary schools or secondary schools in a city, county, township, school district, or other political subdivision of a State, or of or for a combination of school districts or counties that is recognized in a State as an administrative agency for its public elementary schools or secondary schools.

(B) ADMINISTRATIVE CONTROL AND DIRECTION- The term includes any other public institution or agency having administrative control and direction of a public elementary school or secondary school.

(C) BIA SCHOOLS- The term includes an elementary school or secondary school funded by the Bureau of Indian Affairs but only to the extent that including the school makes the school eligible for programs for which specific eligibility is not provided to the school in another provision of law and the school does not have a student population that is smaller than the student population of the local educational agency receiving assistance under this Act with the smallest student population, except that the school shall not be subject to the jurisdiction of any State educational agency other than the Bureau of Indian Affairs.

(D) EDUCATIONAL SERVICE AGENCIES- The term includes educational service agencies and consortia of those agencies.

(E) STATE EDUCATIONAL AGENCY- The term includes the State educational agency in a State in which the State educational agency is the sole educational agency for all public schools.

(29) OTHER STAFF- The term other staff means pupil services personnel, librarians, career guidance and counseling personnel, education aides, and other instructional and administrative personnel.

(34) PROFESSIONAL DEVELOPMENT- The term professional development —

(A) includes activities that —

(i) improve and increase teachers' knowledge of the academic subjects the teachers teach, and enable teachers to become highly qualified;

(ii) are an integral part of broad schoolwide and districtwide educational improvement plans;

(iii) give teachers, principals, and administrators the knowledge and skills to provide students with the opportunity to meet challenging State academic content standards and student academic achievement standards;

(iv) improve classroom management skills;

(v)(I) are high quality, sustained, intensive, and classroom-focused in order to have a positive and lasting impact on classroom instruction and the teacher's performance in the classroom; and

(II) are not 1-day or short-term workshops or conferences;

(vi) support the recruiting, hiring, and training of highly qualified teachers, including teachers who became highly qualified through State and local alternative routes to certification;

(vii) advance teacher understanding of effective instructional strategies that are —

(I) based on scientifically based research (except that this subclause shall not apply to activities carried out under part D of title II); and

(II) strategies for improving student academic achievement or substantially increasing the knowledge and teaching skills of teachers; and

(viii) are aligned with and directly related to —

(I) State academic content standards, student academic achievement standards, and assessments; and

(II) the curricula and programs tied to the standards described in subclause (I) except that this subclause shall not apply to activities described in clauses (ii) and (iii) of section 2123(3)(B);

(ix) are developed with extensive participation of teachers, principals, parents, and administrators of schools to be served under this Act;

(x) are designed to give teachers of limited English proficient children, and other teachers and instructional staff, the knowledge and skills to provide instruction and appropriate language and academic support services to those children, including the appropriate use of curricula and assessments;

(xi) to the extent appropriate, provide training for teachers and principals in the use of technology so that technology and technology applications are effectively used in the classroom to improve teaching and learning in the curricula and core academic subjects in which the teachers teach;

- (xii) as a whole, are regularly evaluated for their impact on increased teacher effectiveness and improved student academic achievement, with the findings of the evaluations used to improve the quality of professional development;
- (xiii) provide instruction in methods of teaching children with special needs;
- (xiv) include instruction in the use of data and assessments to inform and instruct classroom practice; and
- (xv) include instruction in ways that teachers, principals, pupil services personnel, and school administrators may work more effectively with parents; and

(B) may include activities that —

- (i) involve the forming of partnerships with institutions of higher education to establish school-based teacher training programs that provide prospective teachers and beginning teachers with an opportunity to work under the guidance of experienced teachers and college faculty;
- (ii) create programs to enable paraprofessionals (assisting teachers employed by a local educational agency receiving assistance under part A of title I) to obtain the education necessary for those paraprofessionals to become certified and licensed teachers; and
- (iii) provide follow-up training to teachers who have participated in activities described in subparagraph (A) or another clause of this subparagraph that are designed to ensure that the knowledge and skills learned by the teachers are implemented in the classroom.

(37) **SCIENTIFICALLY BASED RESEARCH-** The term scientifically based research --

(A) means research that involves the application of rigorous, systematic, and objective procedures to obtain reliable and valid knowledge relevant to education activities and programs; and

(B) includes research that —

- (i) employs systematic, empirical methods that draw on observation or experiment;
- (ii) involves rigorous data analyses that are adequate to test the stated hypotheses and justify the general conclusions drawn;
- (iii) relies on measurements or observational methods that provide reliable and valid data across evaluators and observers, across multiple measurements and observations, and across studies by the same or different investigators;
- (iv) is evaluated using experimental or quasi-experimental designs in which individuals, entities, programs, or activities are assigned to different conditions and with appropriate controls to evaluate the effects of the condition of interest, with a preference for random-assignment experiments, or other designs to the extent that those designs contain within-condition or across-condition controls;
- (v) ensures that experimental studies are presented in sufficient detail and clarity to allow for replication or, at a minimum, offer the opportunity to build systematically on their findings; and
- (vi) has been accepted by a peer-reviewed journal or approved by a panel of independent experts through a comparably rigorous, objective, and scientific review.

(39) **SECRETARY-** The term Secretary means the Secretary of Education.

(40) **STATE-** The term State means each of the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, and each of the outlying areas.

(41) **STATE EDUCATIONAL AGENCY-** The term State educational agency means the agency primarily responsible for the State supervision of public elementary schools and secondary schools.