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# U.S. DEPARTMENT OF EDUCATION

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OFFICE OF INNOVATION AND IMPROVEMENT  
WASHINGTON, D.C. 20202-5960

APPLICATION INSTRUCTIONS FOR GRANTS UNDER THE

## FY 2011 TRANSITION TO TEACHING PROGRAM

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



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CFDA Number: 84.350 (A) (B) (C)

FORM APPROVED

OMB no. 1894-0006, Expiration Date: 9/30/2011

DATE MATERIAL - OPEN IMMEDIATELY

**CLOSING DATE: May 31, 2011**

## PAPERWORK BURDEN STATEMENT

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According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1894-0006. The time required to complete this information collection is estimated to average 60 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:** U.S. Department of Education, Washington, D.C. 20202-4537.

**If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Transition to Teaching Program, Office of Innovation and Improvement, U.S. Department of Education, 400 Maryland Avenue, S.W., 4C115, Washington D.C. 20202-5960.

## INTENT TO APPLY

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Each potential applicant is strongly encouraged to submit a brief e-mail to the Transition to Teaching (TTT) program staff indicating their intent to submit an application. The e-mail need not include information regarding the content of the proposed application, only the applicant's intent to submit it. The e-mail notification should be sent to Beatriz Ceja at [TTTintent@ed.gov](mailto:TTTintent@ed.gov) no later than April 29, 2011. Applicants that fail to provide this e-mail notification may still apply for funding.

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## LETTER TO APPLICANT

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March 2011

Dear Applicant:

Thank you for your interest in the Transition to Teaching (TTT) program. The TTT program supports national, state, and local projects that develop or enhance alternative routes to teacher certification to recruit, select, prepare, and support talented individuals to become highly-qualified teachers in high-need schools in high-need local educational agencies (LEAs) for at least three years.

High-need schools often struggle to hire and retain talented and committed teachers. To help address this challenge, the U.S. Department of Education (Department) is investing in teacher preparation programs, such as the Transition to Teaching program, that demonstrate success in increasing the number of highly-qualified teachers in high-need schools in high-need LEAs. Over the past ten years the TTT program has funded the development and/or enhancement of over 200 projects that have created or enhanced alternative routes to teacher certification.

Eligible grant applicants for the TTT program include (1) State educational agencies (SEAs); (2) high-need (LEAs); (3) for-profit and nonprofit organizations that have a proven record of effectively recruiting and retaining highly qualified teachers, in partnership with high-need LEAs or SEAs; (4) institutions of higher education, in partnership with high-need LEAs; or (5) SEAs, regional consortia of SEAs, or consortia of high-need LEAs.

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

This competition includes two competitive preference priorities and one invitational priority. Detailed information on the competitive preference priorities and invitational priority can be found in the Notice Inviting Applications and in this package.

This package contains the information and instructions you will need to apply for a Fiscal Year 2011 TTT grant. Please carefully review the entire package before preparing and submitting your application. Note that all applications must be submitted using Grants.gov and you must register with Grants.gov prior to submitting your application. Information on how to register is included in the Notice Inviting Applications and in this package.

If you desire further information concerning this program or the application process, please contact Beatriz Ceja or Salimah Shabazz at [Transitiontoteaching@ed.gov](mailto:Transitiontoteaching@ed.gov).

Again, thank you for your interest in the TTT program and its goal to support high-need districts that recruit and retain talented and qualified teachers who help all students achieve to high standards.

Sincerely,

Peggi Zelinko  
Director  
Teacher Quality Programs

## NOTICE INVITING APPLICATIONS

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### **Overview Information:**

Office of Innovation and Improvement

Transition to Teaching Program

CFDA Number: 84.350A, 84.350B, and 84.350C

### **Dates:**

Application Available: March 30, 2011

Date of Pre-Application Meeting: April 18, 2011

Deadline for Notice of Intent to Apply: April 29, 2011

Deadline for Transmittal of Applications: May 31, 2011

Deadline for Intergovernmental Review: July 13, 2011

The full text of the Notice Inviting Applications can be found on the Federal Register's Web site at the following links:

#### [PDF](#)

<http://frwebgate2.access.gpo.gov/cgi-bin/PDFgate.cgi?WAISdocID=mKTsiZ/0/2/0&WAIAction=retrieve>

#### [HTML](#)

<http://frwebgate2.access.gpo.gov/cgi-bin/TEXTgate.cgi?WAISdocID=mKTsiZ/0/1/0&WAIAction=retrieve>

# GRANTS.GOV SUBMISSION PROCEDURES & TIPS FOR APPLICANTS

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## **IMPORTANT – PLEASE READ FIRST**

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

### **ATTENTION – Adobe Forms and PDF Files Required**

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov. We strongly recommend that you review these details on [www.Grants.gov](http://www.Grants.gov) before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Also, applicants are required to upload their attachments in PDF format only. (See details below under “Attaching Files – Additional Tips.”) If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

Also, applicants should be aware that on October 11, 2010, Grants.gov implemented a new security feature which requires each organization’s e-Biz POC (Point of Contact) to update their Grants.gov registration. To complete this step, the e-Biz POC must have their Data Universal Numbering System (DUNS) number and Central Contractor Registry (CCR) Marketing Partner Identification Number (MPIN). We recommend this step be completed several days before application submission unless the e-Biz POC has already responded to this requirement. For more information on this topic, please visit this Grants.gov information link:

<http://www.grants.gov/securitycommebiz/>.

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

**Note: To submit successfully, you must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on**

**Grants.gov. (This DUNS number is typically the same number used when your organization registered with the CCR.) If you do not enter the same DUNS number on your application as the DUNS number you registered with on Grants.gov, then the system will reject your application.**

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov and the Department of Education receive your Grants.gov submission on time and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m. Washington, DC time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

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

[http://www.grants.gov/applicants/applicant\\_faqs.jsp#54](http://www.grants.gov/applicants/applicant_faqs.jsp#54). For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Error Messages document at <http://www.grants.gov/assets/AdobeReaderErrorMessages.pdf>. If you discover your application is late or has been rejected, please see the instructions below.

Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received on time and validated successfully.

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

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

[http://www.grants.gov/applicants/applicant\\_help.jsp](http://www.grants.gov/applicants/applicant_help.jsp).

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

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

### **Helpful Hints When Working with Grants.gov**

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on

your computer. You will need to logon to Grants.gov to upload and submit the application. **You must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov.**

Please go to [http://www.grants.gov/applicants/applicant\\_help.jsp](http://www.grants.gov/applicants/applicant_help.jsp) for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov [http://www.grants.gov/help/submit\\_application\\_faqs.jsp](http://www.grants.gov/help/submit_application_faqs.jsp).

### Dial-Up Internet Connections

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

### MAC Users

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

### Attaching Files – Additional Tips

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

1. Ensure that you attach ***PDF files only*** for any attachments to your application. PDF files are the only file type that is accepted by the Department as detailed in the Federal Register application notice. Applicants must submit individual PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files. Any attachments uploaded that are not PDF files or are password protected files will not be read. If you need assistance converting your files to a PDF format, please refer to this Grants.gov webpage with links to conversion programs: [http://www.grants.gov/help/download\\_software.jsp#pdf\\_conversion\\_programs](http://www.grants.gov/help/download_software.jsp#pdf_conversion_programs)
2. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
3. When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded files must be less than 50 characters, contain no spaces, no special characters (example: -, &, \*, %, /, #, \) including periods (.),

blank spaces and accent marks. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.

4. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

## INSTRUCTIONS FOR COMPLETING AN APPLICATION

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Carefully read the entire application package, the Federal Register notice and the authorizing legislation.

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

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

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

**NOTE:** Check with your fiscal office to see if your institution has an assigned DUNS number before contacting Dun & Bradstreet.

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

[http://www.dnb.com/US/duns\\_update/index.html](http://www.dnb.com/US/duns_update/index.html)

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

Dun & Bradstreet, a global information services provider, has assigned DUNS numbers to over 43 million companies worldwide.

For live help Monday-Friday 9am-6pm (EST) dial 1-888-814-1435.

**NOTE:** Electronic submission via Grants.gov must use the DUNS number your organization used when it registered in the Central Contractor Registry.

### APPLICATION INSTRUCTIONS

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

[ED Abstract Narrative Attachment Form](#)

[Project Narrative Attachment Form](#)

[Budget Narrative Attachment Form](#)

[Other Attachments Form](#)

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

The Project Narrative Attachment Form is where the applicant will attach the narrative sections addressing the program selection criteria that will be used to evaluate applications submitted for this competition. This form will also include a separate narrative used to address the competitive preference priorities and the invitational priority.

The Budget Narrative Attachment Form is where the applicant will attach a detailed line-item budget and any supplemental budget information.

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

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

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

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

#### **INSTRUCTIONS FOR ED ABSTRACT NARRATIVE**

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

Applicants are encouraged to include the following items:

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

#### **INSTRUCTIONS FOR PROJECT NARRATIVE**

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**Applicants will attach the Project Narrative to the Project Narrative Attachment Form. The Project Narrative must be uploaded as a PDF.**

We suggest you limit the project narrative to the equivalent of no more than 50 pages, using the following standards:

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

- Double space (no more than three lines per vertical inch) all text in the application narrative, except titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures and graphs.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

Before preparing the project narrative, applicants should review --

- Notice Inviting Applications for FY 2011 and
- Transition to Teaching program statute.

The *Notice Inviting Applications* provides applicants with instructions for preparing and submitting the application, information describing the competitive priorities and invitational priority that have been established for this competition, the selection criteria that will be used to evaluate the application, and other pertinent information concerning the competition for awards. Should an applicant choose to apply and meet eligibility requirements for one or both of the competitive priorities, the application can earn up to 107 points. In order to be considered for competitive priority points, the applicant must be sure to identify that the priority is addressed in the application and include the section as part of the project narrative.

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

#### Program Requirements and Authorized Activities

Applicants must at a minimum demonstrate how they will:

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

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

- Providing scholarships, stipends, bonuses, and other financial incentives to eligible participants that are linked to participation in activities that have proven effective in retaining teachers in high-need schools operated by high-need local educational agencies. These incentives may not exceed \$5000 per participant and may be provided

- only in exchange for a commitment to teach in high need schools for at least three years or repay all or a portion of these funds as the Secretary shall require.
- Carrying out pre- and post-placement induction or support activities that have proven effective in recruiting and retaining teachers, such as:
    - teacher mentoring;
    - providing internships;
    - providing high-quality preservice coursework; and
    - providing high-quality, sustained, in-service professional development.
  - Carrying out placement and ongoing activities to ensure that teachers are placed in fields in which they are highly qualified to teach and placed in high-need schools.
  - Paying costs associated with LEAs' recruitment, or providing financial incentives to prospective teachers.
  - Collaborating with institutions of higher education in developing and implementing programs to facilitate teacher recruitment including teacher credentialing and teacher retention programs.
  - Developing long-term recruitment and retention strategies, such as:
    - a statewide or region wide clearinghouse for the recruitment and placement of teachers;
    - administrative structures to develop and implement State-approved programs to provide alternative routes to certification;
    - reciprocity agreements between two or more States for the certification of licensing of teachers; or
    - other long-term teacher recruitment and retention strategies.

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

### **Competitive Priorities**

Please note an applicant should address the priorities in a separate section of the project narrative. Clear headings should be provided to indicate an applicant's response to one or both of the priorities. These sections are included in the overall application page limit.

For the purpose of this application, the Department has established two competitive priorities under the Transition to Teaching program for the FY 2011 grant competition.

Applicants that address the priorities can earn additional points by doing so. The competitive priorities and available points for the FY 2011 competition are –

- (1) Partnerships or Consortia that include a high-need LEA or high-need SEA. (Up to 3 points)

Competitive preference priority 1 supports projects that are designated and implemented in active partnerships or consortia that include at least one high-need LEA or high-need SEA.

- (2) Promoting Science, Technology, Engineering, and Mathematics (STEM) Education. (Up to 4 points)

Competitive preference priority 2 supports projects that are designed to address one or both of the following priority areas:

- (a) Increasing the opportunities for high-quality preparation of, or professional development for, teachers or other educators of STEM subjects.
- (b) Increasing the number of individuals from groups traditionally underrepresented in STEM, including minorities, individuals with disabilities, and women, who are teachers or educators of STEM subjects and have increased opportunities for high-quality preparation or professional development.

### **Invitational Priority**

The Department has established an invitational priority under the Transition to Teaching program for the FY 2011 grant competition.

Applicants that address the invitational priority do not earn any additional points by doing so. The invitational priority for the FY 2011 competition is-

Projects that develop and implement, enhance, or expand innovative projects that address teacher staffing needs in high-need schools in rural high-need LEAs, and in high-need schools in high-need LEAs that serve American Native or Alaska Native communities. Under this priority, eligible applicants are encouraged to submit applications under this program that reflect their efforts to--

- (1) Identify the teacher staffing needs of high-need schools in rural high-need LEAs, or in high-need schools in high-need LEAs that serve American Native or Alaska Native communities, or both;
- (2) Provide strategies for selecting, recruiting, and retaining talented individuals who are eligible participants under this program to teach in the target area;
- (3) Develop a curriculum for teacher preparation that prepares recruited teachers to become certified to teach a high-need subject identified for the target area, and if the project would be in high-need LEAs that serve American Native or Alaska Native communities, is culturally relevant to the community; and
- (4) Provide a comprehensive support system for teachers once they are placed in high-need schools in rural high-need LEAs, or in high-need schools in high-need LEAs that serve American Native or Alaska Native communities, that will focus on retaining the teachers for at least three years.

### **Selection Criteria**

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

The selection criteria outlined below will be used to evaluate the quality of applications submitted for funding. The full description of the selection criteria is contained in the Notice Inviting Applications. Within each criterion, there are specific factors that will be used in evaluating that

criterion. Notes are provided for each criterion and offer additional information that may be helpful in responding to the selection criteria. In addition, the applicant should note the earlier discussion regarding addressing the required program components and authorized activities when responding to the selection criteria.

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

<b>Quality of the Project Design</b>	<b>(40)</b>
<b>Quality of the Project Evaluation</b>	<b>(20)</b>
<b>Quality of the Project Services</b>	<b>(20)</b>
<b>Quality of the Management Plan</b>	<b>(20)</b>

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#### QUALITY OF THE PROJECT DESIGN (UP TO 40 POINTS)

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

- (1) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.
- (2) The extent to which the design for implementing and evaluating the proposed project will result in information to guide possible replication of project activities or strategies, including information about the effectiveness of the approach or strategies employed by the project.
- (3) The extent to which the proposed activities constitute a coherent, sustained program of training in the field.
- (4) The extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance.
- (5) The extent to which the program project is part of a comprehensive effort to improve teaching and learning and support rigorous academic standards for students.

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#### QUALITY OF PROJECT EVALUATION (UP TO 20 POINTS)

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

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

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

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### QUALITY OF PROJECT SERVICES (UP TO 20 POINTS)

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

- (1) The quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.
- (2) The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services.
- (3) The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services.
- (4) The extent to which the training or professional development services to be provided by the proposed project are likely to alleviate the personnel shortages that have been identified or are the focus of the proposed project.
- (5) The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project services.

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### QUALITY OF THE PROJECT MANAGEMENT (UP TO 20 POINTS)

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The Secretary considers the quality of the management plan for the proposed project. In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

- (1) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.
- (2) The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project.
- (3) The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.

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### INSTRUCTIONS FOR BUDGET NARRATIVE

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**Attach both the ED 524 Budget Summary Form AND the accompanying budget narrative justification in the Budget Narrative Attachment Form**

Applicants must describe their proposed multiyear project activities and present a multiyear budget by submitting a budget narrative justification. Section 75.112(b) of EDGAR requires applicants to present “a narrative that describes how and when, in each budget period of the project, the applicant plans to meet each objective of the project.” EDGAR may be accessed at:

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

In addition, projects must complete the ED 524 Budget Summary Form for all budget years of the proposed project. Applicants should include costs for the project director and evaluator to attend the annual project directors’ meeting in Washington, DC.

The budget should include only costs that are allowable, reasonable and necessary for carrying out the objectives of the TTT project. Rules about allowable costs are included both in EDGAR and in the cost principles contained in applicable Office of Management and Budget (OMB) Circulars: A-21 for institutions of higher education; A-87 for state and local governments; and A-122 for non-profit organizations. These OMB circulars may be accessed at:

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

Please check the accuracy of the combined totals that are reported in the budget narrative justification and compare them to the line item budget figures that are reported on the ED 524 Budget Summary Form.

#### **INSTRUCTIONS FOR OTHER ATTACHMENTS (APPENDICES)**

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Applicants will attach any appendices they may have to the Grants.gov Other Attachments Form. Please provide a special Table of Contents for the appendices. This is where you will include the data justifying high-need LEA eligibility and the high-need subject and LEA commitments. Other information may include curriculum vitas of key personnel, examples of evaluation materials, etc. The Grants.gov system will allow applicants to attach as many as ten separate appendices in this section; however, applicants are encouraged to limit the number of appendix entries to a reasonable number for a reviewer to read.

## AUTHORIZING LEGISLATION

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

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

##### SEC. 2311. PURPOSES.

The purposes of this chapter are —

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

##### SEC. 2312. DEFINITIONS.

In this chapter:

- (1) ELIGIBLE PARTICIPANT- The term 'eligible participant' means--
  - (A) an individual with substantial, demonstrable career experience, including a highly qualified paraprofessional; or
  - (B) an individual who is a graduate of an institution of higher education who
    - (i) has graduated not more than 3 years before applying to an eligible entity to teach under this chapter; and
    - (ii) in the case of an individual wishing to teach in a secondary school, has completed an academic major (or courses totaling an equivalent number of credit hours) in the academic subject that the individual will teach.
- (2) HIGH-NEED LOCAL EDUCATIONAL AGENCY- The term high-need local educational agency' has the meaning given the term in section 2102.
- (3) HIGH-NEED SCHOOL- The term high-need school' means a school that —
  - (A) is located in an area in which the percentage of students from families with incomes below the poverty line is 30 percent or more; or
  - (B)(i) is located in an area with a high percentage of out-of-field teachers, as defined in section 2102;
  - (ii) is within the top quartile of elementary schools and secondary schools statewide, as ranked by the number of unfilled, available teacher positions at the schools;
  - (iii) is located in an area in which there is a high teacher turnover rate; or
  - (iv) is located in an area in which there is a high percentage of teachers who are not certified or licensed.

SEC. 2313. GRANT PROGRAM.

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

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

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

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

(d) APPLICATION-

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

(2) CONTENTS- The application shall describe —

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

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

- (i) show the knowledge and experience of the group's members; and
- (ii) demonstrate that the members are eligible to achieve the objectives of this section;

(C) describe how the applicant will use funds received under this section to develop a teacher corps or other program to recruit and retain highly qualified mid-career professionals (which may include highly qualified paraprofessionals), recent college graduates, and recent graduate school graduates, as highly qualified teachers in high-need schools operated by high-need local educational agencies;

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

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

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

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

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

(g) USES OF FUNDS-

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

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

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

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

(i) teacher mentoring;

(ii) providing internships;

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

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

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

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

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

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

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

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

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

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

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

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

(h) REQUIREMENTS-

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

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

(3) PARTNERSHIPS AND CONSORTIA OF LOCAL EDUCATIONAL AGENCIES- In the case of a partnership established by a local educational agency to carry out a program under this chapter, or a consortium of such agencies established to carry out a program under this chapter, the local educational agency or consortium shall not be eligible to receive funds through a State program under this chapter.

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

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

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

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

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

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

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

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

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

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

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

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

## FREQUENTLY ASKED QUESTIONS AND ANSWERS

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### GENERAL APPLICATION INFORMATION

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

No, but the Secretary strongly encourages each potential applicant to notify the Department with a short e-mail indicating the applicant's intent to submit an application for funding. This will give the Department a better understanding of the number of entities that intend to apply for funding under this program, and allow for a more efficient process for reviewing grant applications. The e-mail need not include information regarding the content of the proposed application, only the applicant's intent to submit it. The Secretary requests that this e-mail notification be sent no later than April 29, 2011, to the following e-mail address: [Transitiontoteaching@ed.gov](mailto:Transitiontoteaching@ed.gov). Applicants that fail to provide this e-mail notification may still apply for funding.

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

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

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

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

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

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

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

Applications will be evaluated by a three-person review panel and scored according to the program's selection criteria announced in the Notice Inviting Applications for New Awards for Fiscal Year (FY) 2011, as published in the Federal Register on March 30, 2011. The Secretary awards grants on the basis of these scores unless other relevant information about the project or grantee suggests a problem with relying on these scores.

Applicants are strongly encouraged to review these criteria carefully and to develop responses that discuss their proposed projects in terms that fully and clearly address each criterion. An applicant can earn up to 100 points for responses to the selection criteria. An applicant can earn up to 7 additional points for responding to the competitive preference priorities that also are described in this Notice.

**4. What are the competitive preference priorities for the FY 2011 competition and how many additional points may an applicant earn by addressing them?**

The competitive preference priorities and available points for the FY 2011 competition are:

(1) Partnerships or Consortia that include a high-need LEA or high-need SEA. (Up to 3 points)

(2) Promoting Science, Technology, Engineering, and Mathematics (STEM) Education. (Up to 4 points)

An applicant is not required to propose activities that address the competitive preference priorities. However, applicants that address these priorities can earn additional points by doing so.

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

For Competitive Preference Priority 1, an applicant addresses the priority in a separate section of the project narrative entitled “Competitive Preference Priority 1”. In addition, in responding to one or more of the selection criteria, the applicant may wish to include information related to the competitive priority.

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

These sections are included in the overall application page limit.

**6. What are the invitational preference priorities for the FY 2011 competition and do you receive additional points by addressing them?**

There is only one invitational priority for the FY 2011 competition. The invitational priority for the FY 2011 competition encourages projects that develop and implement, enhance, or expand innovative projects that address teacher staffing needs in high-need schools in rural high-need LEAs, and in high-need schools in high-need LEAs that serve American Native or Alaska Native communities. Applicants do not earn additional points for responding to the invitational priority.

**ELIGIBILITY FOR GRANTS**

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

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

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

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

Under the reauthorization of the Elementary and Secondary Education Act (ESEA) of 2001 an SEA is defined as “the agency primarily responsible for the State supervision of public elementary schools and secondary schools.”

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

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

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

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

**AND**

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

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

### **10. What is a “high-need school”?**

For the Transition to Teaching program, a high-need school is a school that meets any one of the following five tests:

1. Is located in an area in which the percentage of students from families with income below the poverty line is 30 percent or more;
2. Is located in an area with a high percentage of out-of-field teachers, as defined in section 2102 of ESEA;
3. Is within the top quartile of elementary schools and secondary schools statewide, as ranked by the number of unfilled, available teacher positions at the schools;
4. Is located in an area in which there is a high teacher turnover rate; or
5. Is located in an area in which there is a high percentage of teachers who are not certified or licensed.

National data on families with incomes below the poverty line are available at the district level, but not at the school level. The Department has determined that the best available proxy for **Test 1** is school wide program eligibility under Title I, Part A (“Title I”) of the ESEA. Title I school wide program eligibility is typically established by having at least 40 percent of students eligible to receive free and reduced-price lunch subsidies. **Test 3** requires data from the responsible State agency. Each participating LEA may establish reasonable definitions for **Tests 2, 4, and 5** that ensure that program participants are placed in schools that have high need relative to other schools the LEA serves. For purposes of meeting their recordkeeping responsibilities, the LEA and program grantee should develop written criteria that clarify the rationale for the definition used, as well as retain supporting documentation to confirm that the schools in which participants teach meet these definitions.

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

The definition of a high-need LEA and the data an applicant needs to have to confirm that an LEA participating in its project meets this definition are addressed in the notice announcing the Transition to Teaching competition published in the Federal Register on March 30, 2011. They also are addressed in the Instructions for Project Narrative provided in the application package.

Each application must confirm that all LEAs identified as participants in the project are high-need LEAs. An LEA must meet the components for both poverty (1a or 1b in the answer to Question 8) **and** quality of the current teacher workforce (2a or 2b in the answer to Question 8) of the definition of “high-need LEA.”

To determine if an LEA meets the poverty component, an applicant must use the most recent Census Bureau data, which currently is for 2009. Census Bureau data can be found in the charts on the Internet at:

[www.census.gov/hhes/www/saipe/district.html](http://www.census.gov/hhes/www/saipe/district.html).

The Department also has Census Bureau data available on its website at:

<http://www.ed.gov/programs/lsl/eligibility.html>.

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

For the component on the quality of the LEA’s current teacher workforce, applicants should obtain information from appropriate officials in each LEA regarding the LEA’s percentage of teachers teaching out of field or teaching on waivers of State certification or licensure. Please note that the applicant must provide the percentage of *teachers* teaching out of field, *not* the number of *classes* not taught by highly qualified teachers (as districts report to the public and to the Department in their Title I report cards). The Department will determine whether or not a district has a high percentage of teachers teaching out of field on a case-by-case basis. For teachers on waivers of State certification or licensure, the Department considers 1.36% or higher to be a “high percentage of teachers with emergency, provisional, or temporary certification or licensing”.

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

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

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

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

Section 2313(e) of the ESEA provides: “The Secretary may make grants under this section for periods of 5 years. At the end of the 5-year period for such a grant, the grant recipient may apply for an additional grant under this section.” The Department has not issued regulations that define or otherwise limit the scope of this provision. However, at minimum, this statute prohibits a Transition to Teaching program grantee (including an eligible partnership or consortium of high-need LEAs or SEAs) from applying for a second grant until the first project has ended. Thus, the statute precludes a high-need LEA, high-need SEA, or existing partnership or consortium that already has received a Transition grant from applying for a similar Transition grant until its current project is over.

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

**PARTICIPANT ELIGIBILITY**

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

Eligible participants include an individual who:

- Has substantial, demonstrable career experience, including a highly qualified paraprofessional, or
- Is a graduate of an institution of higher education who—
  - (i) has graduated not more than three years before applying to participate in a Transition to Teaching project; and
  - (ii) in the case of an individual wishing to teach in a secondary school, has completed an academic major (or courses totaling an equivalent number of credit hours) in the core academic subject that the individual will teach.

Eligible participants may include individuals who are teaching on a provisional, temporary, or emergency license *prior* to recruitment into a Transition to Teaching project, and who otherwise qualify either as a mid-career professional or a recent college graduate.

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

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

**16. Which project participants may be considered to be “highly qualified paraprofessionals”?**

For purposes of the Transition to Teaching program, a highly qualified paraprofessional as defined in Title II of the ESEA means a paraprofessional who has not less than two (2) years of —

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

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

Yes. The Transition to Teaching program statute requires all program participants who receive training under the program to teach for at least three (3) years in a high-need school operated by a high-need LEA. Because we assume that all projects will provide project participants some training before and/or after they begin to teach, this three-year service obligation effectively applies to ALL project participants.

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

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

**19. Do participants in the Transition to Teaching Program who (1) participate in State alternative routes to certification and (2) teach core academic subjects qualify as “highly qualified teachers” under ESEA who may be placed in teaching positions in high-need schools operated by high-need LEAs?**

Yes. Department’s Title I regulations (34 C.F.R. 200.56(a)(2) published in the Federal Register on December 2, 2002) provide that for purposes of the ESEA a teacher who participates in an alternative route to certification program that meets certain basic requirements may teach for up to three years as fully certified.

These requirements are that the teacher:

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

In addition, the State must ensure, through its certification and licensure process, that these provisions are met. Of course, to be highly qualified, the teacher also must have at least a bachelor’s

degree and have demonstrated subject matter competency in each subject the teacher teaches in a way that the law requires.

If the teacher does not complete the alternative certification program within the three-year period that the Title I regulation permits, the teacher is no longer considered to be fully certified, and thus no longer highly qualified.

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

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

**PROGRAM ACTIVITIES**

**21. How are grantees allowed to use Transition to Teaching Program funds?**

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

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

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

No. However, the program statute clearly intends that funded projects work to ensure the certification or licensing and retention of participants that are recruited into the projects. Therefore, consistent with the program statute, applicants proposing to recruit in year 5 must ensure that its recruitment, preparation, and support activities are designed to provide adequate time for participants to receive the training and support needed that lead to certification and retention.

**FINANCIAL INCENTIVES AND REPAYMENT**

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

Yes. Section 2313(g)(2)(A) of the ESEA permits a grant recipient to use program funds to provide scholarships, stipends, bonuses, and other financial incentives to all eligible participants in an amount not to exceed \$5,000 per participant. These financial incentives must be linked to

participation in activities that have proven effective in retaining teachers in high-need schools operated by high-need LEAs.

**24. What is the responsibility of a participant who receives a financial incentive?**

Section 2313(i) of the Transition to Teaching statute states that a program participant who receives training through the program shall serve a high-need school operated by a high-need local educational agency for at least three years. In addition, consistent with section 2313(j), as a condition of receiving the stipend or other financial incentive, the Department strongly encourages grantees to have participants sign a repayment agreement in which they agree to repay all or a portion of such stipend or other financial incentive if they fail to complete their three-year service obligation. See Question 24, below.

**25. How do Transition to Teaching grantees help to ensure that project participants meet their three-year service obligation?**

Rather than establish program regulations under section 2313(j) of the ESEA that would direct all program grantees to ensure that project participants meet their service obligation or repay the stipends or other financial incentives they had received from Transition to Teacher funds, the Department to date has encouraged grantees to voluntarily execute their own repayment agreements. Thus, program grantees have accepted the Department's suggestion that they have program participants execute written grantee prepared repayment agreements before providing them program-funded stipends or other financial incentives. So that the Department may avoid the need for issuing potentially burdensome regulations, the Department strongly urges applicants to continue this practice.

These voluntary grantee agreements should, at a minimum, provide that in exchange for the stipend or other financial incentive, the program participant agrees to teach for at least three years in a high-need school in a high-need LEA. Beyond this, in drafting agreements they decide to use, grantees are free to prescribe that the participant must work in a high-need school of a high-need LEA that is a part of the project.

**BUDGET**

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

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

Applicants for new awards also must provide a proposed budget using form ED 524 and a detailed budget justification or narrative for all budget years of the proposed project, not just the first year. Before awarding a grant for the initial budget year, the Department will determine the size of award a grant recipient will receive for each year of the project (assuming availability of appropriations

and that the grantee's receipt of a continuation award for future years is warranted). See sections 75.117, 75.232, and 75.253 of EDGAR.

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

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

Program funds may be used for any of the authorized activities described in section 2313(g) of the statute that would be needed to conduct an effective project. However, as applicants prepare their proposed budgets, they should be aware that all costs must conform to requirements in EDGAR and the applicable cost principles in U.S. Office of Management and Budget (OMB) Circulars: OMB Circular A-21 for institutions of higher education, A-87 for State and local agencies, and A-122 for non-profit organizations. Among other things, these cost principles contain basic rules that all costs charged to federal grants must be “necessary and reasonable” for the purposes of carrying out authorized grant activities. These OMB Circulars are available on line at:

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

In addition, section 2313(h)(2) of the ESEA contains a requirement that Transition to Teaching program funds “shall be used to supplement, and not supplant, State and local public funds expended for teacher recruitment and retention programs, including programs to recruit the teachers through alternative routes to certification.” Thus, in planning their projects, applicants should be aware that Transition to Teaching program funds may not be used to replace State and local public funds that would otherwise be spent on these activities.

### **28. Must grantees provide participants with a training stipend or other financial incentive?**

No. A grantee is not required to provide financial incentives to its participants. However, if grantees have designed their projects to include provision to participants of a scholarship, stipend allowance, bonus, tuition and fees, or other financial incentive, this should be identified in the project application and its proposed budget. By law, the maximum amount of any participant's financial incentive is \$5000 per participant over the life of the project.

### **29. What forms of stipends or other financial incentives provided to project participants are to be included in the budget under “Training Stipends” and what forms of them are to be included under the budget category “Other”?**

Scholarships, stipend allowances, bonuses, tuition and fees, or other financial incentives that a grantee—

- (1) pays directly to a participant or to an institution of higher education or another entity in the name of the participant, and
- (2) provides for costs associated with the training necessary to become eligible for State certification or for professional development once the participant begins to teach,

should be included in the project budget under Training Stipends line item (524 Budget Form). These costs *may not* be included in calculating the project's indirect costs.

Costs of other financial incentives, such as salary bonuses, relocation expenses, test fees for State assessments, other items not provided for training, should be included in the "Other" line item on the 524 Budget form. These costs *may* be considered in calculating the project's allowable indirect costs.

### **30. In what budget category should purchases of any computers, copy machines, and other equipment be included?**

Computers, copy machines and other electronic equipment that cost less than \$5,000 per item are not considered capital equipment and should be included in the "Supplies" budget category. Applicants may include these costs in the direct cost base for purposes of calculating the indirect costs using the applicant's restricted indirect cost rate. See Question 30, below.

Capital equipment, or equipment that costs over \$5,000 per item, must be included in the Equipment budget category, and excluded from the direct cost base for purposes of calculating the indirect costs.

### **31. Is there any restriction on the amount of indirect cost that a grantee may charge to a Transition to Teaching program grant?**

Yes. By rule, the Department requires that the maximum restricted indirect cost rate that may be applied to project costs under this program is the recipient's negotiated restricted indirect cost rate or eight percent (8%), whichever is less. See sections 75.563 and 75.564 of EDGAR (which incorporate by reference sections 76.564 – 76.569 of EDGAR) for information on use of the restricted indirect cost rate.

### **32. How much indirect cost can a grantee take on a contract?**

A grantee may apply the lesser of its negotiated restricted indirect cost rate or 8% to the first \$25,000 of any contract. All amounts in excess of \$25,000 per contract should be excluded from the direct cost base before calculating the project's indirect costs.

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

If your organization does not have a restricted indirect cost rate, you may request to negotiate one with the Department. Contact the Department's Indirect Cost Group to begin the process. Its website, <http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>, contains contact information as well as specific information on indirect cost rates.

Since it may take several months before an indirect cost rate is negotiated, an applicant should use a restricted indirect cost rate of no more than eight percent (8%) in developing its proposed

budget. Be sure to note in the budget narrative that you are using a temporary restricted indirect cost rate while you are negotiating a rate with the Department or the cognizant Federal agency to which the Department refers the applicant.

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

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

**REPORTING REQUIREMENTS**

**35. What are the program's reporting requirements?**

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

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

In addition, applicants are reminded that EDGAR requires each grantee to submit an annual performance report that the Department will review to determine if the grantee is making substantial progress toward achievement of the objectives in its approved application, and thereby should receive a continuation award (see Question 25).

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

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

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

## REQUIRED FORMS & INSTRUCTIONS

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Applicants must submit along with their project narrative the required standard forms, assurances, and certifications. Below is a list of the standard forms, assurances, and certifications that are required.

- SF 424 Application Form for Federal Assistance
- ED Supplemental Form for SF 424
- ED 524 Form (Budget Summary Form)
- SF-LLL Disclosure of Lobbying Activities
- General Education Provisions Act (GEPA) Requirements - Section 427
- Survey on Ensuring Equal Opportunity for Applicants
- SF 424B Form - Assurances, Non-Construction Programs
- Grants.gov Certification Regarding Lobbying (formerly ED 80-0013)\*

The following pages provide a copy of the required forms as well as the instructions for completing the required forms. A copy of the required forms is also found at:

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

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Application for Federal Assistance SF-424	
<b>*1. Type of Submission:</b> <input type="checkbox"/> Preapplication <input type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	<b>*2. Type of Application:</b> * If Revision, select appropriate letter(s): <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision  *Other (Specify): _____
<b>*3. Date Received:</b> Completed by Grants.gov upon submission	<b>4. Applicant Identifier:</b>
<b>5a. Federal Entity Identifier:</b>	<b>*5b. Federal Award Identifier:</b>
<b>State Use Only:</b>	
<b>6. Date Received by State:</b>	<b>7. State Application Identifier:</b>
<b>8. APPLICANT INFORMATION:</b>	
<b>*a. Legal Name:</b> _____	
<b>*b. Employer/Taxpayer Identification Number (EIN/TIN):</b> _____	<b>*c. Organizational DUNS:</b> _____
<b>d. Address:</b>	
<b>*Street 1:</b>	_____
<b>Street 2:</b>	_____
<b>*City:</b>	_____
<b>County/Parish:</b>	_____
<b>*State:</b>	_____
<b>Province:</b>	_____
<b>*Country:</b>	_____
<b>*Zip / Postal Code:</b>	_____
<b>e. Organizational Unit:</b>	
<b>Department Name:</b>	<b>Division Name:</b>
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>	
<b>Prefix:</b> _____	<b>*First Name:</b> _____
<b>Middle Name:</b>	_____
<b>*Last Name:</b>	_____

Suffix: _____
Title:
Organizational Affiliation:
*Telephone Number: [Redacted] Fax Number:
*Email: [Redacted]

<b>Application for Federal Assistance SF-424</b>
<b>9. Type of Applicant 1: Select Applicant Type:</b> [Redacted]
Type of Applicant 2: Select Applicant Type:
Type of Applicant 3: Select Applicant Type:
*Other (Specify)
<b>*10 Name of Federal Agency:</b> [Redacted]
<b>11. Catalog of Federal Domestic Assistance Number:</b> _____ CFDA Title: _____
<b>*12 Funding Opportunity Number:</b> [Redacted]
*Title: [Redacted]
<b>13. Competition Identification Number:</b> _____ Title: _____

<p><b>14. Areas Affected by Project (Cities, Counties, States, etc.):</b></p>
<p><b>*15. Descriptive Title of Applicant's Project:</b></p> <div style="border: 2px solid red; height: 80px; width: 100%;"></div> <p style="text-align: center; font-size: small;">Attach supporting documents as specified in agency instructions.</p>

<b>Application for Federal Assistance SF-424</b>	
<b>16. Congressional Districts Of:</b>	
*a. Applicant: <div style="border: 2px solid red; width: 150px; height: 15px;"></div>	*b. Program/Project: <div style="border: 2px solid red; width: 150px; height: 15px;"></div>
Attach an additional list of Program/Project Congressional Districts if needed.	
<b>17. Proposed Project:</b>	
*a. Start Date: <div style="border: 2px solid red; width: 150px; height: 15px;"></div>	*b. End Date: <div style="border: 2px solid red; width: 150px; height: 15px;"></div>
<b>18. Estimated Funding (\$):</b>	
*a. Federal	<div style="border: 2px solid red; width: 150px; height: 15px;"></div>
*b. Applicant	<div style="border: 2px solid red; width: 150px; height: 15px;"></div>
*c. State	<div style="border: 2px solid red; width: 150px; height: 15px;"></div>
*d. Local	<div style="border: 2px solid red; width: 150px; height: 15px;"></div>
*e. Other	<div style="border: 2px solid red; width: 150px; height: 15px;"></div>
*f. Program Income	<div style="border: 2px solid red; width: 150px; height: 15px;"></div>
*g. TOTAL	<div style="border: 2px solid red; width: 150px; height: 15px;"></div>

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

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

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

- Yes       No

If "Yes", provide explanation and attach.

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

**\*\* I AGREE**

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

**Authorized Representative:**

Prefix: \_\_\_\_\_ \*First Name: \_\_\_\_\_

Middle Name: \_\_\_\_\_

\*Last Name: \_\_\_\_\_

Suffix: \_\_\_\_\_

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

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

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

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

\*Signature of Authorized Representative:

\*Date Signed:

**INSTRUCTIONS FOR APPLICATION FOR FEDERAL ASSISTANCE (SF-424)**

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

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

6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the state, if applicable.		congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the state, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		
	<b>a. Legal Name:</b> (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	<b>Estimated Funding:</b> (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.
	<b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .	19.	<b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> (Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.
	<b>d. Address:</b> Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).	20.	<b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.
	<b>e. Organizational Unit:</b> Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.	21.	<b>Authorized Representative:</b> To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)
	<b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.		
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.		

	<p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p>	<p>M. Nonprofit</p> <p>N. Private Institution of Higher Education</p> <p>O. Individual</p> <p>P. For-Profit Organization (Other than Small Business)</p> <p>Q. Small Business</p> <p>R. Hispanic-serving Institution</p> <p>S. Historically Black Colleges and Universities (HBCUs)</p> <p>T. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>U. Alaska Native and Native Hawaiian Serving Institutions</p> <p>V. Non-US Entity</p> <p>W. Other (specify)</p>		
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**[U.S Department of Education note:** As of spring, 2010, the FON discussed in Block 12 of the instructions can be found via the following URL: [http://www.grants.gov/applicants/find\\_grant\\_opportunities.jsp](http://www.grants.gov/applicants/find_grant_opportunities.jsp).]

ED SUPPLEMENTAL FORM SF 424

**1. Project Director:**

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

Address:

\* Street1:

Street2:

\* City:

County:

\* State  \* Zip Code:  \* Country:

\* Phone Number (give area code)

Fax Number (give area code)

Email Address:

**2. Applicant Experience:**

Novice Applicant  Yes  No  Not applicable to this program

**3. Human Subjects Research:**

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

Yes  No

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

Yes

Provide Exemption(s) #:

No

Provide Assurance #, if available:

**Please attach an explanation Narrative:**

Add Attachment

Delete Attachment

View Attachment

INSTRUCTIONS FOR ED SUPPLEMENTAL SF-424

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

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

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

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

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

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

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

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

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

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

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

**Paperwork Burden Statement.** *According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12<sup>th</sup> Street, S.W. Room 7076, Washington, D.C. 20 Budget Information for Non-Construction Programs (SF-524)202-4260.*

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

<p><b>U.S. Department of Education</b></p>	<p>OMB Control Number: 1894-0008 Expiration Date: <b>02-28-2011</b></p>
<p>Name of Institution/Organization</p>	<p>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.</p>

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

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

**\*Indirect Cost Information (To Be Completed by Your Business Office):**  
 If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:  
 (1) Do you have an Indirect Cost Rate Agreement approved by the Federal government?  Yes  No  
 (2) If yes, please provide the following information:  
 Period Covered by the Indirect Cost Rate Agreement: From: \_\_/\_\_/\_\_\_\_ To: \_\_/\_\_/\_\_\_\_ (mm/dd/yyyy)  
 Approving Federal agency:  ED  Other (please specify): \_\_\_\_\_  
 (3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:  
 Is included in your approved Indirect Cost Rate Agreement? or  Complies with 34 CFR 76.564(c)(2)?

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

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

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

**SECTION C - BUDGET NARRATIVE (see instructions)**

## INSTRUCTIONS FOR ED BUDGET SUMMARY FORM (SF-524)

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### 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. For non-Federal funds or resources listed in Section B that are used to meet a cost-sharing or matching requirement or provided as a voluntary cost-sharing or matching commitment, you must include:
  - a. The specific costs or contributions by budget category;
  - b. The source of the costs or contributions; and
  - c. In the case of third-party in-kind contributions, a description of how the value was determined for the donated or contributed goods or services.

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

3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.
5. When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>. You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.
6. Provide other explanations or comments you deem necessary.

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1894-0008**. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including

the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

**DISCLOSURE OF LOBBYING ACTIVITIES (SF-LLL)**

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

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

## INSTRUCTIONS FOR DISCLOSURE OF LOBBYING ACTIVITIES (SF-LLL)

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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 follow up 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

## GENERAL EDUCATION PROVISIONS ACT (GEPA) SECTION 427

OMB Control No. 1894-0005 (Exp. 01/31/2011)

### 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 **1894-0005**. 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:** U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202-4537.

SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

OMB No. 1894-0010 Exp. 05/31/2012

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

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

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

**Applicant's DUNS Number:** \_\_\_\_\_

**Federal Program:** \_\_\_\_\_ **CFDA Number:** \_\_\_\_\_

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

Yes       No

2. Is the applicant a faith-based organization?

Yes       No

3. Is the applicant a secular organization?

Yes       No

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

Yes       No

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

Yes       No

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

<input type="checkbox"/>	3 or Fewer	<input type="checkbox"/>	15-50
<input type="checkbox"/>	4-5	<input type="checkbox"/>	51-100
<input type="checkbox"/>	6-14	<input type="checkbox"/>	over 100

7. What is the size of the applicant's annual budget? *(Check only one box.)*

Less Than \$150,000

\$150,000 - \$299,999

\$300,000 - \$499,999

\$500,000 - \$999,999

\$1,000,000 - \$4,999,999

\$5,000,000 or more

## SURVEY INSTRUCTIONS FOR ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

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### **Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.**

1. Self-explanatory.
2. Self-identify.
3. Self-identify.
4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
5. Self-explanatory.
6. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
7. Annual budget means the amount of money your organization spends each year on all of its activities.

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** The Agency Contact listed in this grant application package.

## SF 424B FORM 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. §§501-1508 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. 17401 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

**GRANTS.GOV CERTIFICATION REGARDING LOBBYING**

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Certification for Contracts, Grants, Loans and Cooperative Agreements.

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

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal Loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.
- (2) If any funds other Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form – LLL, “Disclosure of Lobbying Activities,” in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance.

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

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee or any agency, a member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, “Disclosure of Lobbying Activities,” in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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

## TTT PROGRAM FORMS

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Each application must contain data confirming that the applicant (if the applicant is an LEA) and/or each LEA with which the applicant will work, is a high-need LEA. The definition of a high-need LEA is fully described in the Notice Inviting Applications for new awards published in the Federal Register on March 30, 2011 as well in the Frequently Asked Question section of this application package.

### HIGH-NEED LEA ELIGIBILITY DATA

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**Attach data justifying high-need LEA eligibility to the Other Narrative Attachment Form.**

Each LEA must meet **both** the poverty and teacher quality components of the "high-need" definition. Applicants are strongly encouraged to submit the required data using the table provided below. Note that for component B1, applicants must identify the data source for each LEA listed.

NAME of the LEA	COMPONENT A: POVERTY DATA				COMPONENT B: TEACHER QUALITY DATA			
	A1	# of Children from Families with Incomes Below Poverty Line	A2	% of Children Served by LEA from Families with Incomes Below Poverty Line	B1	% of Teachers Teaching out of Field in a LEA. (Identify Data Source)	B2	% of Teachers with Emergency, Provisional, or Temporary Certification or Licensing
District XYZ	X	24,543					X	6.2
District ABC			X	25.88			X	12.4

#### COMPONENT A

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

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

**ACCEPTABLE DATA SOURCE FOR A1 OR A2:**

**U.S. Census Bureau Data:** To determine if an LEA meets the poverty component, an applicant must use the most recent Census Bureau data, which currently is the 2009 data. Data from the U.S. Census Bureau are the only consistent available data for all LEAs that reflect the statutory requirement for the total number or percentage of individual age 15-17 from families below the poverty level.

The following links provide the Census data needed to determine LEA(s) eligibility under components A1 and A2.

**A1:** Census data that demonstrate that the LEA(s) serves not fewer than 10,000 'relevant' children age 5 to 17 from families with incomes below the poverty line is available on the U.S. Census Bureau's website at <http://www.census.gov/hhes/www/saipe/district.html>.

**A2:** Census data that provide the percent of children served by the LEA from families with incomes below the poverty line already calculated is available on the Department's website at <http://www.ed.gov/programs/lsl/eligibility.html>.

## **COMPONENT B**

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

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

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

### **ACCEPTABLE DATA SOURCE FOR B1 OR B2:**

**B1:** Applicants should obtain information from appropriate officials in each LEA regarding the LEA's percentage of teachers teaching out of field. Please note that the applicant must provide the percentage of *teachers* teaching out of field, *not* the number of *classes* not taught by highly qualified teachers. The Department will determine whether or not a district has a high percentage of teachers teaching out of field on a case-by-case basis.

**B2:** For the FY 2011 competition, an LEA will be considered to have a "high percentage" of teachers with emergency, provisional, or temporary certification or licensing if the percentage of teachers on waivers, as reported to the State for purpose of the State's latest report to the Secretary under section 207 of the HEA is greater than 1.36 percent.

High-Need LEA Eligibility Table

*(Applicants may use the optional form or create their own to document LEA high-need eligibility, LEA commitment, and high-need subjects.)*

NAME of the LEA	COMPONENT A: POVERTY DATA				COMPONENT B: TEACHER QUALITY DATA			
	A1	# of Children from Families with Incomes Below Poverty Line	A2	% of Children Served by LEA from Families with Incomes Below Poverty Line	B1	% of Teachers Teaching out of Field in a LEA. (Identify Data Source)	B2	% of Teachers with Emergency, Provisional, or Temporary Certification or Licensing

HIGH-NEED SUBJECT AND LEA COMMITMENT

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

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

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

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

## EXECUTIVE ORDER 12372

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### Intergovernmental Review of Federal Programs

(This program falls under the rubric of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79. One of the objectives of the Executive order is to strengthen federalism--or the distribution of responsibility between localities, States, and the Federal government--by fostering intergovernmental partnerships. This idea includes supporting processes that State or local governments have devised for coordinating and reviewing proposed Federal financial grant applications.

The process for doing this requires grant applicants to contact State Single Points of Contact for information on how this works. Multi-state applicants should follow procedures specific to each state.

Further information about the State Single Point of Contact process and a list of names by State can be found at:

[http://www.whitehouse.gov/omb/grants\\_spoc](http://www.whitehouse.gov/omb/grants_spoc)

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], U.S. Department of Education, room 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. (Eastern Time) on the closing date indicated in this notice.

**Important note:** 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.**

## APPLICANT CHECKLIST

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Use This Checklist While Preparing Your Application Package.  
All items listed on this checklist are required, except as noted.

- SF 424 Application Form for Federal Assistance
- ED Supplemental Form for SF 424
- ED 524 Form (Budget Summary Form)
- Narrative addressing GEPA Section 427
- Assurances and Certifications
  - SF 424B Form - Assurances for Non-Construction Programs
  - Lobbying Disclosure Form (SF LLL) (if applicable; refer to instructions)
  - Grants.gov Certification Regarding Lobbying (formerly ED 80-0013)
  - Survey on Ensuring Equal Opportunity for Applicants
- Abstract
- Project Narrative
- Budget Narrative
- Other Attachments
  - High-Need LEA Eligibility
  - High-Need Subject Confirmation
  - LEA(s) letter(s) of Commitment

