U.S. Department of Education
Office of Elementary and Secondary Education
Academic Improvement and Teacher Quality Programs
Washington, D.C. 20202-6200

Fiscal Year 2012

Application for New Grants Under the Teacher Incentive Fund Program

CFDA 84.374A and 84.374B

Dated Material - Open Immediately

Closing Date: TBD

Approved OMB Number: 1810-0700
Expiration Date: TBD

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: 1810-0700 . The time required to complete this information collection is estimated to average 248 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. 20202-4651.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Braden Goetz**,** Teacher Incentive Fund program, U.S. Department of Education, 400 Maryland Avenue, SW, Rm. 3E330, Washington D.C. 20202-6200.

Table of Contents

United States Department of Education

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION

Academic Improvement and Teacher Quality Programs

Dear Colleague:

Thank you for your interest in the Teacher Incentive Fund (TIF) program, administered by the Office of Elementary and Secondary Education of the U.S. Department of Education (Department).

Please take the time to review the applicable priorities, requirements, selection criteria, and all of the application instructions thoroughly. An application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the program (EDGAR §75.216 (b) and (c)).

This year, the Department will host two separate competitions. Applicants can apply for either the General TIF Competition or the TIF Competition with a Focus on Stem, but not both. Applicants must identify in their project abstract (Part 3 of the application) for which competition they are applying. This application package includes instructions on which of the priorities, requirements, and selection criteria are relevant for the two competitions. Applicants applying for the General TIF Competition must respond to Priority 1 and Priority 2, all of the program requirements, and Selection Criteria (a) through (f). Applicants applying for the TIF Competition with a Focus on STEM must respond to all of the priorities, requirements, and selection criteria.

For this competition it is **mandatory** for applicants to use the government-wide website, Grants.gov (http://www.grants.gov), to apply. Please note that the Grants.gov site works differently than the U.S. Department of Education's e-Application System. We strongly encourage you to familiarize yourself with Grants.gov and strongly recommend that you register *and* submit early.

Also be aware that applications submitted to Grants.gov for the Department of Education will now be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Please review the "Submitting Applications with Adobe Reader Software" and "Grants.gov Submission Procedures" and "Tips for Applicants" sections within this package for further information and guidance related to this requirement.

Using FY 2012 funds, the Department expects to award $284,461,350 million for new grants under these competitions. We will award discretionary grants on a competitive basis for a project period of up to 60 months. Grants are expected to be awarded in September.

Please visit our program website at http://www2.ed.gov/programs/teacherincentive/applicant.html for further information. If you have any questions about the program after reviewing the application package, please contact Braden Goetz by telephone at (202) 202-205-5224 or via e-mail at TIF@ed.gov.

Sylvia Lyles
Director

PROGRAM INFORMATION

Background and Purpose of the Program

The purpose of the TIF program is to provide financial support to develop and implement sustainable performance-based compensation systems (PBCSs) for teachers, principals, and other personnel in high-need schools in order to increase educator effectiveness and student achievement in those schools. The terms "performance-based compensation system" and "high-need school" are all defined in the "Definitions" section of the application package and in the Notice Inviting Applications (NIA) for this program.

PBCSs funded under the FY 2012 competition must be based on LEA-wide systems for evaluating teachers and principals. These systems must be based, in significant part, on student growth (see Priority 2). In addition, a grantee's system of evaluating teacher and principal effectiveness must include multiple observations and other criteria as well (see Priority 2).

Moreover, the PBCSs that grantees develop must be part of a participating local education agency's (LEA's) human capital management system (HCMS) that uses educator evaluation to inform a variety human capital decisions, such as recruitment, placement, retention, compensation, professional development, and promotion. The evaluation systems that LEAs use to award performance-based compensation to teachers and principals will also provide key information that LEAs can use to develop recruitment strategies for high-need schools, identify educators for advancement, and tailor professional development for teachers and principals in a manner that can promote a more effective workforce. It is for this reason that the priorities, requirements, definitions, and selection criteria that govern the TIF program focus on (1) establishing a PBCS that is sustainable and informed by an LEA-wide teacher and principal evaluation system, and (2) using teacher and principal evaluations to inform decisions within an LEA's HCMS, of which the PBCS is a part.

Competition Highlights

The PBCSs funded through this competition must conform to the definition of a PBCS set forth in the "Definitions" section of the NIA. Applicants are encouraged to review this definition carefully to ensure that the PBCS they describe in their applications conforms to this definition. The definition makes clear, for example, that a PBCS can only provide additional compensation to educators who are deemed effective under the evaluation systems described in the application. It also gives applicants flexibility in designing the basic features of their PBCS. The definition establishes other PBCS requirements that applicants need to understand in developing their proposed PBCS.

Further, applicants should carefully review the requirements that affect their eligibility for this competition. For example, although state education agencies (SEAs) are eligible applicants, they may only apply with one or more LEAs. Further, any application involving two or more eligible applicants is a group application, and all group applications must include a Memorandum of Understanding (MOU) or other binding agreement that sets forth the responsibilities of the group members. Compliance with the application requirements, including requirements related to the submission of high-need school documentation, is critical to ensure that an application is eligible for the funds available through this competition.

Another feature to highlight is the fact that this application package is relevant to two TIF competitions – the General TIF Competition and the TIF Competition with a Focus on STEM. The priorities, requirements, definitions, and selection criteria that apply to the General TIF Competition will also apply to the TIF Competition with a Focus on STEM. Through this approach, the Department intends to ensure that all applicants propose to undertake comprehensive and sustainable reforms to improve the educator workforce. Building on this common foundation, applications for the TIF Competition with a Focus on STEM will address Priority 3, which requires a plan to increase the number of effective STEM educators in high-need schools, and will be scored using an additional selection criterion designed only for the TIF Competition with a Focus on STEM.

Finally, applicants should become familiar with the requirements related to the costs that can be supported with funds from the FY 2012 TIF competition. While TIF funds can be used to develop or improve systems and tools that benefit the entire LEA, they can only support the costs of providing performance-based compensation under their PBCS in high-need schools. Applicants should ensure that their proposed budgets conform to these and other "use of funds" requirements.

COMPETITION INFORMATION

General Competition and STEM Competition

The Department is holding two separate competitions. Applicants can apply for either the General TIF Competition (84.374A) or the TIF Competition with a Focus on STEM (84.374B), but not both. Applicants must identify in their project abstract (Part 3 of the application) the competition for which they are applying.

Applicants applying for the General TIF Competition must respond to [TBD priority type] Priority 1 and [TBD priority type] Priority 2, all of the program requirements, and Selection Criteria (a) through (f). General TIF Competition applicants **do not** need to respond to [TBD Priority type] Priority 3 or Selection Criteria (g). Applicants applying to the General TIF Competition must submit their application under CFDA# 84.374A.

Applicants applying for the TIF Competition with a Focus on STEM must respond to **all** of the Priorities (Priorities 1, 2, and 3), program requirements, and Selection Criteria (Selection Criteria (a) through (g)). Applicants applying to the TIF Competition with a Focus on STEM must submit their application under CFDA# 84.374B.

Eligibility Criteria

Eligible applicants for the TIF program include:

(a) Local educational agencies (LEAs), including charter schools that are LEAs.
(b) States (SEAs) that apply with one or more LEAs.
(c) Non-profit organizations that apply in partnership within LEA or an LEA and a State.

More specifically, under Requirement 4 of the NIA, which is also included in the "Application Requirements" section of this application package, the following eligibility rules will be used to determine eligibility:

States (SEAs)
An applicant that is an SEA must apply for a grant under this program as part of a group application that includes one or more LEAs in the same State as the SEA. Such an applicant must identify the LEA(s) in which the project would be implemented.

Non-Profit Organizations
An applicant that is a non-profit organization must apply as part of a partnership that includes one or more LEAs, and must identify in the application the LEA(s) and any SEA(s) with which the proposed project would be implemented.

Group Applications
Applications from the following are group applications:

(1) Any application from two or more LEAs.
(2) Any application that includes one or more SEAs.
(3) Any application that includes a nonprofit organization.

As the chart in Appendix 2 illustrates, the possible combinations of members in any group application are as follows:

- 2 or more LEAs
- One or more SEAs and one or more LEAs
- One or more nonprofit organizations and one or more LEAs (no SEA)
- One or more nonprofit organizations and one or more LEAs and one or more SEAs

Current TIF Grantees
Generally, current TIF grantees are eligible to apply for FY 2012 TIF funds. However, they are subject to special restrictions on the costs that any new TIF funds can support. These restrictions are described in Requirement 7, which is set forth in the "Application Requirements" section of this application package. Under this requirement, TIF funds may be used to implement the proposed PBCS only in high-need schools that are not served, as of the beginning of the grant's project period or as planned in the future, by an existing TIF grant.

Charter Schools
Charter schools that are LEAs are eligible to apply. As indicated on the Electronic Application Submission Checklist, they must attach to their application a letter from their authorized chartering agency or SEA that confirms their status as an LEA.

IMPORTANT NOTE: In order to be eligible for receiving an award under this competition, applicants must also meet any absolute priorities and application requirements set forth in the NIA. The priorities and application requirements are also included in the "Competition Priorities" and "Application Requirements" sections of this application package.

Award Information

Estimated Available Funds: $284,461,350

Estimated Range of Awards: $500,000-$12,000,000 for the first year of the project. Funding for the second through fifth years is subject to the availability of funds and the approval of continuation awards (see 34 CFR 75.253).

Estimated Average Size of Awards: $9,981,100 for the first year of the project. Funding for the second through fifth years is subject to the availability of funds and the approval of continuation awards (see 34 CFR 75.253).

Estimated Number of New Awards Anticipated: 30

Project Period: Up to 60 months

Deadlines and Submission

Notice of Intent to Apply deadline: [INSERT DATE 30 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

We will be able to develop a more efficient process for reviewing grant applications if we have a better understanding of the number of applications that we will receive. Therefore, we strongly encourage each potential applicant to send an e-mail notice of its intent to apply for funding by [INSERT DATE 30 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER]. The notice of intent to apply is optional; you still may submit an application if you have not notified us of your intention to apply. Send the e-mail to TIF@ed.gov with "Intent to Apply" in the e-mail subject line.

Final application deadline: [INSERT DATE TBD DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Applications must be submitted on or before the deadline date. Please note that the Department's grant application deadlines are 4:30:00 P.M. Washington, D.C. time. Late applications will not be accepted. *We strongly suggest that you submit your application several days before the deadline.* The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date and time.

Applications must be submitted electronically using Grants.gov. See "Application Submission Procedures" for information on how to submit applications electronically.

Review and Selection Process

The Department will screen applications submitted in accordance with the requirements set forth in the NIA and will determine which applications are eligible to be read by reviewers based on whether they have met eligibility and other requirements established by the statute and the NIA.

The Department intends to use independent reviewers from various backgrounds and professions, including those with expertise in: teacher and principal evaluation systems, human capital decision making, teacher quality, data management and analysis, educational policy, teaching, school leadership, professional development, and/or program evaluation. The Department will thoroughly screen all reviewers for conflicts of interest to ensure a fair and competitive review process.

Project Period

The project period for this grant is up to 60 months. Budgets should be developed with a project period of up to 60 months. The project period start date is expected to be October 1, 2012.

Competition Priorities

The TIF application includes the following types of priorities: [TBD: Absolute/Competitive/Invitational]. In the case of an absolute priority, the Department will consider only those applications that meet the absolute priority. In the case of a competitive preference priority, the Department will give competitive preference to an application that addresses the priority by awarding additional points. With an invitational priority, we signal our interest in receiving applications that meet the priority; however, consistent with 34 CFR 75.105(c)(1), we do not give an application that meets an invitational priority preference over other applications.

The following two priorities apply to *both* the General TIF Competition and the TIF Competition with a Focus on STEM.

[Priority TYPE TBD] Priority 1 — An LEA-wide Human Capital Management System (HCMS) with Educator Evaluation Systems at the Center:

To meet this priority, the applicant must include, in its application, a description of its LEA-wide HCMS, as it exists currently and with any modifications proposed for implementation during the project period of the grant. The application must describe--

(1) How the HCMS is or will be aligned with the LEA's vision of instructional improvement;

(2) How the LEA uses or will use the information generated by the evaluation systems it describes in its application to inform key human capital decisions, such as decisions on recruitment, placement, retention, compensation, professional development, and promotion;

(3) The human capital strategies the LEA uses or will use to ensure that high-need schools are able to attract and retain effective educators; and

(4) To the extent modifications are needed to an existing HCMS to ensure that it includes the features described in response to paragraphs (1), (2), and (3) of this priority, a timeline for making the modifications, provided that the use of evaluation information to inform the design and delivery of professional development and the award of performance-based compensation under the applicant's proposed PBCS in high-need schools begins no later than the third year of the grant's project period.

[Priority TYPE TBD] Priority 2 — LEA-wide Educator Evaluation Systems Based, in Significant Part, on Student Growth:

To meet this priority, an applicant must include, as part of its application, a plan describing how it will develop and implement its proposed LEA-wide educator evaluation systems. The plan must describe--

(1) The frequency of evaluations, which must be at least annually;

(2) The evaluation rubric for educators that includes at least three performance levels and the following --

(i) Two or more observations during each evaluation period;

(ii) Student growth, which for the evaluation of teachers with regular instructional responsibilities must be at the classroom level; and

(iii) Additional factors determined by the LEA;

(3) How the evaluation systems will generate an overall evaluation rating that is based, in significant part, on student growth; and

(4) The applicant's timeline for implementing its proposed LEA-wide educator evaluation systems. Under the timeline, the applicant must implement these systems as the LEA's official evaluation systems for assigning educator performance ratings for at least a subset of educators or schools no later than the beginning of the second year of the grant's project period. The applicant may phase in the evaluation systems by applying them, over time, to additional schools or educators so long as the new evaluation systems are the official evaluation systems the LEA uses to assign performance ratings for all educators within the LEA no later than the beginning of the third year of the grant's project period.

Applicants for the TIF Competition with a Focus on STEM must meet [Priority type TBD] Priority 3.

[Priority type TBD] Priority 3: Improving Student Achievement in Science, Technology, Engineering, and Mathematics (STEM)

To meet this priority, an applicant must include a plan in its application that describes the applicant's strategies for improving instruction in STEM subjects through one or more components of the LEA's PBCS and related systems, such as its professional development system. One of these strategies must be to compensate effective teachers of STEM subjects for agreeing to take on additional responsibilities and leadership roles in STEM subjects. The required plan may also include other strategies for increasing the number of effective teachers in STEM subjects in high-need schools, including, for example--

(1) Offering additional compensation to recruit teachers who receive an overall rating of effective or higher under the evaluation systems described in the application (or under a comparable evaluation system in another LEA) to teach a STEM subject in high-need schools;

(2) Offering additional compensation to encourage teachers who receive an overall rating of effective or higher in a STEM subject, under the evaluation systems described in the application, to remain in high-need schools; or

(3) Developing and implementing targeted and sustained professional development programs to enhance the quality of STEM instruction in high-need schools.

Application Requirements

*All of the following requirements apply to **both** the General TIF Competition and TIF Competition with a Focus on STEM. In order to be eligible for either competition, applicants must address each of the items below.*

NOTE: Additional background information about these requirements or definitions will be included in the Notice of Final Priorities (NFP), Requirements, Definitions, and Selection Criteria or the NIA published in the Federal Register. These notices are included in the "Legal and Regulatory Information" section of this application package

<u>REQUIREMENTS</u>:

These requirements are in addition to the statutory requirements that apply to the program and any priorities, definitions, and selection criteria included in this application package and the NIA.

Requirement 1--Performance-Based Compensation for Teachers, Principals, and Other Personnel.

Each applicant must describe, in its application, how its proposed PBCS will meet the definition of a PBCS set forth in the NIA.

Requirement 2--Involvement and Support of Teachers and Principals.

In its application, the applicant must include--

(a) Evidence that educators in each participating LEA have been involved, and will continue to be involved, in the development and implementation of the PBCS and evaluation systems described in the application; and

(b) A statement indicating whether a union is the exclusive representative of either teachers or principals in each participating LEA.

Requirement 3--Documentation of High-Need Schools.

Each applicant must demonstrate, in its application, that the schools participating in the implementation of the TIF-funded PBCS are high-need schools. Each applicant must provide, in its application, a list of schools in which the proposed PBCS would be implemented as well as the most current data on the percentage of each identified school's students who are eligible for free or reduced-price lunch subsidies under the Richard B. Russell National School Lunch Act or are considered students from low-income families based on another poverty measure that the LEA uses (see section 1113(a)(5) of the ESEA (20 U.S.C. 6313(a)(5))). Data provided to demonstrate eligibility as a high-need school must be school-level data; the Department will not accept LEA- or State-level data for purposes of documenting whether a school is a high-need school.

Requirement 4--SEA and Other Group Applications.

(a) Applications from the following are group applications:

(1) Any application from two or more LEAs.

(2) Any application that includes one or more SEAs.

(3) Any application that includes a nonprofit organization.

(b) An applicant that is a non-profit organization must apply in a partnership that includes one or more LEAs, and must identify in the application the LEA(s) and any SEA(s) with which the proposed project would be implemented.

(c) An applicant that is an SEA must apply for a grant under this program as part of a group application that includes one or more LEAs in the same State as the SEA, and must identify in the application the LEA(s) in which the project would be implemented.

(d) All group applications must include a Memorandum of Understanding (MOU) or other binding agreement signed by all of the members of the group. At a minimum, the MOU or other agreement must include --

(1) A commitment by each participating LEA to implement the HCMS, including the educator evaluation systems and the PBCS, described in the application;

(2) An identification of the lead applicant;

(3) A description of the responsibilities of the lead applicant in managing any grant funds and ensuring overall implementation of the proposed project as described in the application if approved by the Department;

(4) A description of the activities that each member of the group will perform; and

(5) A statement binding each member of the group to every statement and assurance made in the application.

(e) In any group application identified in paragraph (a) of this Requirement, each entity in the group is considered a grantee.

NOTE: A sample MOU for group applicants is provided in Appendix 1 of this application package.

Requirement 5--Submitting an Application for One Competition.

An applicant may submit an application for the General TIF Competition or the TIF Competition with a Focus on STEM, but may not submit an application for both.

Requirement 6--Use of TIF Funds to Support the PBCS.

TIF funds may be used to develop and improve systems and tools that support the PBCS and benefit the entire LEA. TIF funds may also be used to provide performance-based compensation and professional development in high-need schools. TIF funds may not be used to provide performance-based compensation or professional development in schools that are not high-need schools.

TIF funds may be used to compensate educators only when the compensation is provided as part of the LEA's PBCS, as described in the application. This requirement does not preclude the use of TIF funds to compensate educators who are hired by a grantee to administer or implement the TIF-supported PBCS, or to develop or improve systems and tools needed to support the PBCS.

Requirement 7--Limitation on Using TIF Funds in High-Need Schools Served by Existing TIF Grants.

Each applicant must provide an assurance, in its application, that, if successful under this competition, it will use the grant award to implement the proposed PBCS only in high-need schools that are not served, as of the beginning of the grant's project period or as planned in the future, by an existing TIF grant.

Definitions

Additional responsibilities and leadership roles means:

(a) In the case of teachers, meaningful school-based responsibilities that teachers may voluntarily accept to strengthen instruction or instructional leadership in a systemic way, such as additional responsibilities related to the development of formative assessments, professional development, and peer evaluation, and may also include career ladder positions.

(b) In the case of principals, additional responsibilities and leadership roles that principals may voluntarily accept, such as a position in which an effective principal coaches a novice principal.

Career ladder positions means school-based instructional leadership positions that teachers may voluntarily accept, such as positions described as master teacher, mentor teacher, or instructional coach.

Educators means teachers and principals.

High-need school means a school with 50 percent or more of its enrollment from low-income families, based on eligibility for free or reduced-price lunch subsidies under the Richard B. Russell National School Lunch Act, or other poverty measures that LEAs use (see section 1113(a)(5) of the ESEA (20 U.S.C. 6313(a)(5)). For middle and high schools, eligibility may be calculated on the basis of comparable data from feeder schools. Eligibility as a high-need school under this definition is determined on the basis of the most currently available data.

A **human capital management system (HCMS)** is a system by which an LEA makes and implements human capital decisions, such as decisions on recruitment, placement, retention, compensation, professional development, and promotion.

Other personnel are school-based personnel who are not serving in a teacher or principal position. Other personnel may include, for example, school counselors, media specialists, or para-educators.

Performance-based compensation system (PBCS) means a system that--

(a) Provides additional compensation for teachers and principals in one of the following circumstances--

(1)(i) Additional compensation for teachers and principals who receive an overall rating of effective or higher under the evaluation systems described in the application; and

(ii) Of those teachers and principals eligible for compensation under paragraph (a)(1)(i) of this definition, additional compensation for teachers and, at the applicant's discretion, for principals, who take on additional responsibilities and leadership roles; or

(2)(i) Additional compensation for teachers who receive an overall rating of effective or higher under the evaluation system described in the application and who take on career ladder positions; and

(ii) Additional compensation for (A) principals who receive an overall rating of effective or higher under the evaluation system described in the application, or (B) principals who receive an overall rating of effective or higher under the evaluation system described in the application and who take on additional responsibilities and leadership roles.

(b) May provide the following compensation:

(1) Compensation for educators (which at the applicant's option may be for teachers or principals or both) who receive an overall rating of effective or higher under the evaluation systems described in the application or under comparable evaluation systems in another LEA, and who either: (i) transfer to a high-need school from a school of the LEA that is not high-need, or, (ii) for educators who previously worked in another LEA, are hired to work in a high-need school.

(2) Compensation for other personnel who are not teachers or principals under performance standards established by the LEA so long as those standards, in significant part, include student growth, which may be school-level student growth.

Principal is any person who meets the definition of that term under State or local law. At an LEA's discretion, it may also include an assistant or vice principal or a person in a position that contributes to the organizational management or instructional leadership of a school.

Student growth means the change in student achievement for an individual student between two or more points in time. For the purposes of this definition, student achievement means--

(a) For grades and subjects in which assessments are required under section 1111(b)(3) of ESEA: (1) a student's score on such assessments and may include (2) other measures of student learning, such as those described in paragraph (b) of this definition, provided those measures are rigorous and comparable across schools within an LEA.

(b) For grades and subjects in which assessments are not required under section 1111(b)(3) of ESEA: alternative measures of student learning and performance such as student results on pre-tests, end-of-course tests, and objective performance-based assessments; student learning objectives; student performance on English language proficiency assessments; and other measures of student achievement that are rigorous and comparable across schools within an LEA.

A **teacher** is any person who meets the definition of that term under State or local law.

A **vision of instructional improvement** is a summary of the key competencies and behaviors of effective teaching that an LEA views as necessary to produce high levels of student achievement.

Selection Criteria

The points or weights assigned to each criterion are indicated in parentheses. Non-Federal peer reviewers will review each application. They will be asked to evaluate and score each program narrative against the following selection criteria.

Selection Criteria (a) through (f) apply to <u>both</u> the General TIF Competition and the TIF Competition with a Focus on STEM. *(Selection Criteria (g) applies only to applicants applying to the TIF Competition with a Focus on STEM)*

(a) A Coherent and Comprehensive Human Capital Management System (HCMS) (Points TBD)

We will consider the quality of each participating LEA's HCMS as described in the application. In determining the quality of the HCMS, as it currently exists and as the applicant proposes to modify it during the grant period, we will consider the extent to which the HCMS described in the application is--

(1) Aligned with each participating LEA's clearly described vision of instructional improvement; and (Points TBD)

(2) Likely to increase the number of effective educators in the LEA's schools, especially in high-need schools, as demonstrated by-- (Points TBD)

(i) The weight given to educator effectiveness--based on the educator evaluation systems described in the application--when human capital decisions are made;

(ii) The feasibility of the HCMS described in the application, including the extent to which the LEA has prior experience using information from the educator evaluation systems described in the application to inform human capital decisions;

(iii) The commitment of the LEA leadership to implementing the described HCMS, including all of its component parts; and

(iv) The adequacy of the financial and nonfinancial strategies and incentives, including the proposed PBCS, for attracting effective educators to work in high-need schools and retaining them in those schools.

(b) Rigorous, Valid, and Reliable Educator Evaluation Systems (Points TBD)

We will consider, for each participating LEA, the quality of the educator evaluation systems described in the application. In determining the quality of each evaluation system, we will consider the extent to which--

(1) Each participating LEA has finalized a high-quality evaluation rubric, with at least three performance levels (e.g., highly effective, effective, developing, unsatisfactory), under which educators will be evaluated; (Points TBD)

(2) Each participating LEA has made substantial progress in developing a high-quality plan for multiple teacher and principal observations, including identification of the persons, by position and qualifications, who will be conducting the observations, the observation tool, the events to be observed, and the procedures for ensuring a high degree of inter-rater reliability; (Points TBD)

(3) The participating LEA has experience measuring student growth at the classroom level, and has already implemented components of the proposed educator evaluation systems; (Points TBD)

(4) In the case of teacher evaluations, the proposed evaluation system-- (Points TBD)

(i) Bases the overall evaluation rating for teachers, in significant part, on student growth;

(ii) Evaluates the practice of teachers, including general education teachers and teachers of special student populations, in meeting the needs of special student populations, including students with disabilities and English learners;

(5) In the case of principal evaluations, the proposed evaluation system-- (Points TBD)

(i) Bases the overall evaluation rating on, in significant part, student growth; and

(ii) Evaluates, among other factors, a principal's practice in--

(A) Focusing every teacher, and the school community generally, on student growth;

(B) Establishing a collaborative school culture focused on continuous improvement; and

(C) Supporting the academic needs of special student populations, including students with disabilities and English learners, for example, by creating systems to support successful co-teaching practices, providing resources for research-based intervention services, or similar activities.

(c) Professional Development Systems to Support the Needs of Teachers and Principals Identified Through the Evaluation Process (Points TBD)

We will consider the extent to which each participating LEA has a high-quality plan for professional development to help all educators in high-need schools served by the PBCS improve their effectiveness. In determining the quality of this plan for professional development, we will consider the extent to which each participating LEA describes a high-quality plan to-

(1) Use the disaggregated information generated by the proposed educator evaluation systems to identify the professional development needs of individual educators and schools; (Points TBD)

(2) Provide professional development in a timely way; and (Points TBD)

(3) Provide professional development that is likely to improve instructional and leadership practices. (Points TBD)

(d) Involvement of Educators (Points TBD)

We will consider the quality of educator involvement in the development and implementation of the proposed PBCS and educator evaluation systems described in the application. In determining the quality of such involvement, we will consider the extent to which--

(1) The application contains evidence that educator involvement in the design of the PBCS and the educator evaluation systems has been extensive and will continue to be extensive during the grant period; and (Points TBD)

(2) The application contains evidence that educators support the elements of the proposed PBCS and the educator evaluation systems described in the application. (Points TBD)

(e) Project Management (Points TBD)

We will consider the quality of the management plan of the proposed project. In determining the quality of the management plan, we will consider the extent to which the management plan--

(1) Clearly identifies and defines the roles and responsibilities of key personnel; (Points TBD)

(2) Allocates sufficient human resources to complete project tasks; (Points TBD)
(3) Includes measurable project objectives and performance measures; and (Points TBD)
(4) Includes an effective project evaluation plan;
(5) Specifies realistic and achievable timelines for: (Points TBD)
(i) Implementing the components of the HCMS, PBCS, and educator evaluation systems, including any proposal to phase in schools or educators.
(ii) Successfully completing project tasks and achieving objectives.

(f) Sustainability (Points TBD)
We will consider the quality of the plan to sustain the proposed project. In determining the quality of the sustainability plan, we will consider the extent to which the sustainability plan--
(1) Identifies and commits sufficient non-TIF resources, financial and non-financial, to support the PBCS and educator evaluation systems during and after the grant period; and (Points TBD)
(2) Is likely to be implemented and, if implemented, will result in a sustained PBCS and educator evaluation systems after the grant period ends. (Points TBD)

Selection criterion (g) applies only to the TIF Competition with a Focus on STEM.

(g) Innovative Approach to Improving STEM Instruction (Points TBD)
To meet Priority 3, we will consider the quality of an applicant's plan for improving educator effectiveness in STEM instruction. In determining the quality of the plan, we will consider the extent to which--
(1) The financial and nonfinancial strategies and incentives, including the proposed PBCS, are adequate for attracting effective STEM educators to work in high-need schools and retaining them in these schools; (Points TBD)
(2) The proposed professional development opportunities-- (Points TBD)
(i) Will provide college-level content knowledge to STEM teachers while modeling for teachers pedagogical methods for teaching that content at the appropriate grade level; and
(ii) Will enable STEM teachers to provide students in high-need schools with increased access to rigorous and engaging STEM coursework appropriate for their grade level, including college-level material in high schools;
(3) The applicant will significantly leverage STEM-related funds across other Federal, State, and local programs to implement a high-quality, comprehensive, and innovative STEM plan; and (Points TBD)
(4) The applicant provides evidence (e.g., letters of support) that the LEA has or will develop extensive relationships with STEM experts in industry, academic institutions, or associations to effectively implement its STEM plan and ensure that instruction prepares students to be college-and-career ready. (Points TBD)

Procurement Practices

Applicants that intend to use procurement transactions in implementing proposed projects should be familiar with the requirements in the Education Department General Administrative Regulations (EDGAR) that establish minimum standards for procurement activities of State and local governments (34 C.F.R. § 80.36). Applicants that are non-profit organizations should become familiar with comparable procurement requirements of EDGAR applicable to them in 34 C.F.R. § 74.43 and 34 C.F.R. § 74.44.

For example, as a general matter, 34 C.F.R. § 80.36, and the comparable requirements for non-profits organizations, govern competition in procurement transactions by grantees, including a requirement that all procurement transactions be conducted in a manner "providing full and open competition" consistent with the standards in that regulation. 34 C.F.R. § 80.36(c). Although grantees use “their own procurement procedures which reflect State and local laws and regulations” to the extent those procedures are consistent with the Federal requirements, all TIF grantees must follow the minimum requirements in 34 C.F.R. § 80.36. (See 34 C.F.R. 80.36(b)(1))

The requirements in 34 C.F.R. § 80.36 are designed to protect the competitive procurement process from undue influence, and have been in effect for many years. According to 34 C.F.R. § 80.36(c), all transactions must be conducted in a manner “providing full and open competition” consistent with the standards in the regulation. Several situations are listed in 34 C.F.R. § 80.36(c)(1) that would be considered to be restrictive of competition, although it is important to understand that the list is not exhaustive. Examples include:

1. Placing unreasonable requirements on firms in order for them to qualify to do business;
2. Requiring unnecessary experience and excessive bonding;
3. Organizational conflicts of interest; and
4. Specifying only a “brand name” product instead of allowing “an equal” product to be offered.

If a vendor has already assisted the applicant in preparing an application for a grant, and subsequently is interested in providing contract services after the applicant receives the grant award, a close examination of all activities is warranted to ensure that the vendor did not act as an agent of the grantee, that the vendor does not have an organizational conflict of interest in the procurement, and that the requirements for full and open competition have not been violated.

Please note that the requirements regarding full and open competition could be violated even if a vendor’s participation in the application process were limited and the vendor were not acting as an agent of the grantee. For example, a vendor that provides specifications that are then included in a grant application could have a competitive advantage over other vendors. Grantees should carefully examine all interactions with vendors to ensure that these interactions do not violate the requirement concerning full and open competition.

The grantee is responsible for complying with the procurement requirements in 34 C.F.R. § 80.36, which take precedence over State and local procedures in those cases where the minimum requirements in section 80.36 provide greater protection of the procurement process.

Because grantees must use appropriate procurement procedures to select contractors, **an applicant should not preselect specific contractors or vendors, or identify the names of specific contractors or vendors in its grant application**. An applicant may include information about the scope of work to be completed by outside contractors and the contractor qualifications; however, it should not pre-identify a specific contractor or enter into an agreement with any contractor(s) until after the grant has been awarded.

Cooperation with Potential Evaluation Studies

The Department is currently considering options for evaluating the activities that would be supported by the grants awarded through this competition. Under 34 C.F.R. part 75.591, grantees are required to cooperate with any evaluations of Department programs conducted by the Secretary. Should the Department decide to undertake one or more evaluations of activities funded with FY 2012 TIF funds, grantees could be required to cooperate in a variety of ways, including but not limited to the following:

1) Providing appropriate access by the Department, or its agent, to relevant program and project data (e.g.,

administrative data, student achievement data, and information on educator evaluation ratings);

2) Hosting site visits to enable the Department, or its agent, to observe activities related to the educator evaluation process;

3) Facilitating the collection of information from teachers, principals, and other stakeholders through interviews, focus groups, or surveys.

Reporting and Accountability

Successful applicants must submit an **annual performance report** demonstrating their progress in meeting approved project objectives during the reporting period. Grantees must also provide the most current financial and performance measure data for each year of the project.

At the end of the project period, applicants will also be required to submit a **final performance report**.

Under the Government Performance and Results Act (GPRA), the following performance indicators have been established to evaluate the overall effectiveness of the TIF Program:

[GPRA MEASURES ARE BEING REVISED. THE FINAL MEASURES WILL BE ADDED TO FINAL APPLICATION PACKAGE.]

For specific requirements on grantee reporting, please go to the ED Performance Report Form 524B at http://www.ed.gov/fund/grant/apply/appforms/appforms.html

Technical Assistance

Pre-Application Webinars
The Department intends to assist applicants in preparing the application and to respond to questions. Please visit the TIF web site at: http://www2.ed.gov/programs/teacherincentive/applicant.html for dates and links to the resources.

Frequently Asked Questions
The Department has also prepared frequently asked questions (FAQs) in order to assist applicants in completing an application. They are included in the FAQs section of this application and are available online at:TBD.

Competition Contact Information
All questions regarding the TIF competition should be directed to Braden Goetz at: (202) 202-205-5224 or via e-mail at TIF@ed.gov Applicants are asked to review the application package, the NIA, the NFP, and the FAQs in their entirety prior to forwarding questions pertaining to the competition.

Transparency
After awards are made under this competition, all of the submitted applications, together with reviewer scores and comments for those applications, may be posted on the Department's web site.

APPLICATION SUBMISSION PROCEDURES

The deadline for submission of TIF program applications through Grants.gov is TBD .

Application Transmittal Instructions

Attention Electronic Applicants: This program **requires** the electronic submission of applications--specific requirements and instructions can be found in the Federal Register notice. Please note that you **must** follow the Application Procedures as described in the Federal Register notice announcing the grant competition.

We will reject your application if you submit it in paper format unless, as described in the Federal Register notice for this competition, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions.

Applications Submitted Electronically
Applications for grants under this program must be submitted electronically using the government-wide site at http://www.Grants.gov. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may **not** e-mail an electronic copy of a grant application to us.

Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system **no later than 4:30:00 p.m., Washington, DC time, on the application deadline date.** Except as otherwise noted in Federal Register notice for this competition, we will not consider your application if it is date and time stamped by the Grants.gov system later than 4:30:00 p.m., Washington, DC time, on the application deadline date.

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

Please note the following:

- You must upload any attachments, including the Project Narrative, in a **.pdf** (Portable Document) format. **If you upload a file type other than a .pdf file, or submit a password-protected file, we will not review that material**.

- Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.

- When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters. The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.

- Your electronic application must comply with any page-limit requirements described in this application package.

- If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

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

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

U.S. Department of Education
Application Control Center
Attention: (CFDA Number Error: Reference source not found)
LBJ Basement Level 1
400 Maryland Avenue, SW.
Washington, DC 20202-4260

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

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:
(1) A private metered postmark.
(2) A mail receipt that is not dated by the U.S. Postal Service.
If your application is postmarked after the application deadline date, we will not consider your application.

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

Submission of Paper Applications by Hand Delivery:
If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number Error: Reference source not found or 84.374B)

550 12th Street, SW.
Washington, DC 20202-4260

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

Note for Mail or Hand Delivery of Paper Applications:
If you mail or hand deliver your application to the Department--
(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and
(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

Submitting Applications with Adobe Reader Software

The Department of Education, working with Grants.gov, is currently moving from using PureEdge software to using Adobe Reader software exclusively and applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Applicants will no longer need to use the PureEdge software to create or submit an application.

Please note: The compatible version of Adobe Reader is **required** for viewing, editing and submitting a complete grant application package for the Department of Education through Grants.gov. Applicants should confirm the compatibility of their Adobe Reader version **before** downloading the application. To ensure applicants have a version of Adobe Reader on their computer that is compatible with Grants.gov, applicants are encouraged to use the test package provided by Grants.gov that can be accessed at http://www.grants.gov/applicants/AdobeVersioningTestOnly.jsp.

Important issues to consider:

- If the applicant opened or edited the application package with any software other than the compatible version of Adobe Reader, the application package may contain errors that will be transferred to the new package even if you later download the compatible Adobe Reader version.
- Applicants **cannot** copy and paste data from a package initially opened or edited with an incompatible version of Adobe Reader and will need to download an **entirely new package** using the compatible version of Adobe Reader.
- Some applicants using an incompatible version of Adobe Reader **may have trouble** opening and viewing the application package while others may find they can open, view and complete the application package but **may not be able to submit** the application package through Grants.gov.
- Grants.gov **does not** guarantee to support versions of Adobe Reader that are not compatible with Grants.gov.
- Any and all edits made to the Adobe Reader application package **must** be made with the compatible version of Adobe Reader.

For your convenience, the latest version of Adobe Reader is available for free download at

http://grantsgov.tmp.com/static2007/help/download_software.jsp#adobe811.

We strongly recommend that you review the information on computer and operating system compatibility with Adobe available at http://www.grants.gov/applicants/applicant_faqs.jsp#software **before** downloading, completing or submitting your application.

Applicants are reminded that they should submit their application a day or two in advance of the closing date as detailed in the Federal Register Notice. If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726

Grants.gov Submission Procedures and Tips for Applicants

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

ATTENTION – Adobe Forms and PDF Files Required
Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 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 before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Also, applicants are required to upload their attachments in .pdf format only. (See details below under "Attaching Files – Additional Tips.") If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

Also, applicants should be aware that on October 11, 2010, Grants.gov implemented a new security build which requires each organization's e-Biz POC (Point of Contact) update their Grants.gov registration. To complete this step, the e-Biz POC must have their DUNS number and CCR 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. [Note: Your organization will need to update its Central Contractor Registry (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 and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully 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 (Central Contractor Registry). If you do not enter the same DUNS number on your application as the DUNS you registered with, Grants.gov will reject your application.

3) **VERIFY SUBMISSION IS OK –** You will want to verify that Grants.gov and the Department of Education receive your Grants.gov submission timely 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. 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 timely and validated successfully.

Submission Problems – What should you do?

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or http://www.grants.gov/contactus/contactus.jsp, or use the customer support available on the Web site: 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 for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Application FAQs found on the Grants.gov at 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. **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 Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files. 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

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.

Applicants should limit the size of their file attachments. Documents 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.

APPLICATION INSTRUCTIONS

Applications for grants under this competition must be submitted electronically, unless you qualify for an exception to the electronic submission requirement in accordance with the instructions in this application package.

In accordance with EDGAR §75.216 (b) and (c), an application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the program.

*Important note***:** 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. Also, please review the "Submitting Applications with Adobe Reader Software" and "Grants.gov Submission Procedures and Tips for Applicants" sections found within this package for further information and guidance related to this requirement.

We strongly recommend that you review these details on www.Grants.gov before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Applicants will no longer need to use the PureEdge software to create or submit an application. If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

Instructions for all parts and forms of the application are found either on the following pages of the application package or individually, for each form, on Grants.gov.

Note: Please do not attach any narratives, supporting files, or application components to any forms unless it is specifically required by the instructions for the individual section of the application. Although several forms accept attachments, the Department of Education will only review materials/files attached in accordance with the instructions provided within this application package.

Guidance Regarding the Application Format

Your electronic application should be organized in the manner described in the following form, the "Electronic Application Submission Checklist." Following that form this section contains details regarding the items that appear on the checklist. Instructions for all sections of the application are found either on the following pages of this application package or, in the case of individual forms, on Grants.gov.

Electronic Application Submission Checklist

Review your electronic application to ensure you have completed the following forms and sections:

Part 1: Preliminary Documents

- ❑ Application for Federal Assistance (form SF 424)
- ❑ ED Supplemental Information for SF 424

Part 2: Budget Information

- ❑ ED Budget Information Non-Construction Programs (ED Form 524)
    - o Applicants should provide a break-down of U.S. Department of Education Funds in Section A of the 524 Form.
    - o Applicants should provide a break-down of program match in Section B of the 524 Form.
    - o Applicants should refer to the instructions provided in Part 5, Budget Narrative, on allowable program costs.

Part 3: ED Abstract Form

- ❑ Project Abstract

Part 4: Project Narrative Attachment Form

- ❑ Application Narrative

Part 5: Budget Narrative Attachment Form

- ❑ Budget Narrative

Part 6: Other Required Attachments

- ❑ **Application Reference Chart describing where each priority and application requirement is addressed in the application, and the applicant's eligibility classification**
    - o Applicants should reference the section and page in the application in which each priority and requirement is addressed.
    - o In creating this chart, applicants should use the template provided in Appendix 2.
- ❑ **High Need Documentation**
    - o Applicants must provide a list of the high-need schools in which the proposed PBCS will be implemented.
    - o For each school listed, applicants must provide the most current data on the percentage of each identified school's students who are eligible for free or reduced-price lunch subsidies under the Richard B. Russell National School

Lunch Act or are considered students from low-income families based on other measures that the LEA uses (see section 1113(a)(5) of the ESEA (20 U.S.C. 6313(a)(5)).

- ❑ **Charter School Documentation**, if applicable
    - o Applicants, including group applicants, that are charter schools, should include a letter from the authorized chartering agency or SEA that confirms their status in the State as an LEA.
- ❑ **Memorandum of Understanding (MOU) or Binding Agreement**
    - o Group applicants must provide an MOU or other binding agreement that specifies the roles and responsibilities of each applicant.
    - o A sample MOU for group applicants is provided in Appendix 1.
- ❑ **Commitment letters, surveys, or other evidence** demonstrating educator support
- ❑ **Indirect Cost Rate Agreement**: All applicants should attach a copy of their current indirect cost rate agreement. Group applicants should only include the indirect cost rate agreement of the lead applicant. Similarly, group applicants should only budget for indirect costs under the lead applicant's agreement.
- ❑ **Individual Resumes for Project Directors and Key Personnel**: Provide brief resumes or job descriptions that describe their qualifications for the responsibilities they will carry out under the project.

Part 7: Assurances and Certifications

- ❑ Assurances for Non-Construction Programs (SF 424B Form)
- ❑ Disclosure of Lobbying Activities (Standard Form LLL)
- ❑ Grants.gov Lobbying Form
- ❑ General Education Provisions Act (GEPA) Requirements – Section 427 (ED GEPA427 form)
- ❑ Survey on Ensuring Equal Opportunity for Applicants (form 1890-0014)

Part 8: Intergovernmental Review (Executive Order 12372)

- ❑ State Single Point of Contact (SPOC) List

Part 1: Preliminary Documents

- ❑ Application for Federal Assistance (Form SF 424)
- ❑ ED Supplemental Information for SF 424

These forms require basic identifying information about the applicant and the application. Please provide all requested applicant information (including name, address, e-mail address and DUNS number).

When applying electronically via Grants.gov, you will need to ensure that the DUNS number you enter on your application is the same as the DUNS number your organization used when it registered with the Central Contractor Registry.

Applicants are advised to complete the Application for Federal Assistance (Form SF 424) first. Grants.gov will automatically insert the correct CFDA and program name automatically wherever needed on other forms.

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 only review materials/files attached in accordance with the instructions provided within this application.

Instructions for the SF-424

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

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

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

Item	Entry:
1.	**Type of Submission:** (Required): Select one type of submission in accordance with agency instructions. • Preapplication • Application • Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.
2.	**Type of Application**: (Required) Select one type of application in accordance with agency instructions. • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify)
3.	**Date Received:** Leave this field blank. This date will be assigned by the Federal agency.
4.	**Applicant Identifier**: Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.
5a	**Federal Entity Identifier**: Enter the number assigned to your organization by the Federal Agency, if any.
5b.	**Federal Award Identifier**: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.
6.	**Date Received by State:** Leave this field blank. This date will be assigned by the State, if applicable.
7.	**State Application Identifier:** Leave this field blank. This identifier will be assigned by the State, if applicable.
8.	**Applicant Information**: Enter the following in accordance with agency instructions:
	a. Legal Name: (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.
	b. Employer/Taxpayer Number (EIN/TIN): (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.

Item	Entry:
10.	**Name Of Federal Agency**: (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
11.	**Catalog Of Federal Domestic Assistance Number/Title:** Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
12.	**Funding Opportunity Number/Title:** (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
13.	**Competition Identification Number/Title:** Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
14.	**Areas Affected By Project:** List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
15.	**Descriptive Title of Applicant's Project:** (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
16.	**Congressional Districts Of**: (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5th district, CA-012 for California 12th district, NC-103 for North Carolina's 103rd district. • If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. • If nationwide, i.e. all districts within all states are affected, enter US-all. • If the program/project is outside the US, enter 00-000.
17.	**Proposed Project Start and End Dates**: (Required) Enter the proposed start date and end date of the project.
18.	**Estimated Funding:** (Required) Enter the amount requested or to be contributed during the first funding/budget period by

	c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.		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.
	d. Address: Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).	19.	**Is Application Subject to Review by State Under Executive Order 12372 Process?** 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
	e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable**)** that will undertake the assistance activity, if applicable.		
	f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.	20.	**Is the Applicant Delinquent on any Federal Debt?** (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. If yes, include an explanation on the continuation sheet.
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions. A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)	21.	**Authorized Representative**: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

[**U.S Department of Education note:** 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.]

Instructions for the ED 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.”)

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.”

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

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, DC 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street, S.W. Room 7076, Washington, DC 20202-4260.

Definitions:

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

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

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

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

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

—**Research**

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

—Human Subject

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

B. Exemptions.

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

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

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of

criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.
If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed. [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

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

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

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

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

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

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

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

B. Nonexempt Research Narrative.

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

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

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

(3) **Recruitment and Informed Consent**: Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if

the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

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

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

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

(7) **Collaborating Site(s)**: If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, DC 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site: http://www.ed.gov/about/offices/list/ocfo/humansub.html

NOTE: The **State Applicant Identifier** on the SF 424 is for State Use only. Please complete it on the OMB Standard 424 in the upper right corner of the form (if applicable).

Part 2: Budget Information

- ❑ ED Budget Information Non-Construction Programs (ED Form 524)
  - o Applicants should provide a break-down of the funds they are requesting from the U.S. Department of Education in Section A of ED Form 524.
  - o Applicants should provide a break-down of program match funds in Section B of ED Form 524.
  - o Applicants should refer to the instructions provided in Part 5, Budget Narrative, on allowable program costs.

U.S. Department of Education Funds - *ED Form 524 Section A*
This part of your application contains information about the Federal funding you are requesting.

Non-Federal Funds *(Program Match) - ED Form 524 Section B*
This part of your application contains information about the program match you will be providing.

This information should be consistent with the information provided in Part 5, Budget Narrative. (Please refer to the instructions for the Budget Narrative in Part 5 of this application package.) For example, the total line item dollar amount for year 1 in your Budget Narrative should be the same as the dollar amount for the same year and line item in ED Form 524. Remember that you must provide all requested budget information for each year of the project (up to 60 months) and the total column in order to be considered for Federal funding. Specific instructions for completing the budget forms are provided within this application package.

Name of Institution/Organization: Enter the name of the applicant in the space provided.

To determine allowable costs for the following line items, applicants must refer to instructions in Part 5: Budget Narrative, of this application package.

Personnel (line 1)
Fringe Benefits (line 2)
Travel (line 3)
Equipment (line 4)
Supplies (line 5)
Contractual (line 6)
Construction (line 7): Not applicable.
Other (line 8)
Total Direct Costs (line 9): The sum of lines 1-8.
Indirect Costs (line 10)
Training Stipends (line 11): Not allowable for this program.
Total Cost (line 12): This should equal the sum of lines 9-11 (total direct costs + indirect + stipends). The sum for column one, labeled *Project Year 1 (a),* should also be equal to item 15a on the application cover sheet (SF Form 424).

Instructions for ED 524

General Instructions

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

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

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

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

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

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

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

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

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

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

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

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

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

Section B - Budget Summary
Non-Federal Funds

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

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

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

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

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

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

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

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

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

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

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

4. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

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

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

5. Provide other explanations or comments you deem necessary.

Paperwork Burden Statement

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

Part 3: ED Abstract Form

This section should be attached as a single document to the ED Abstract Form in accordance with the instructions found on Grants.gov and should be organized in the following manner and include the following parts in order to expedite the review process.

Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (read-only, non-modifiable .pdf files). Also, do not upload any password-protected files to your application.

Please note that Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.

When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.

❑ **Project Abstract**

The project abstract should not exceed **two** pages and should include a concise description of the following information in the order presented here:

- Whether the application is for the General TIF Competition or the TIF Competition with a Focus on STEM
- A summary statement of the project objectives and activities
- The name and eligibility classification of each applicant (see below)
- The total number of participating LEAs
- The total number of schools in the participating LEAs
- The total number of high-need schools to be served by the proposed PBCS

The Eligibility Classification of the Applicant

If the application is from a single eligible applicant, please indicate that fact and the applicant's eligibility classification (e.g., an LEA). If the application is from a group applicant, including a partnership, please indicate that fact and describe the group members' eligibility classification (e.g., an SEA, an LEA, and a nonprofit).

Note: Grants.gov may include a note that indicates that the project abstract may not exceed one page; however, an abstract of more than one page may be uploaded.

Part 4: Project Narrative Attachment Form

*This section should be attached as a **single** document to the Project Narrative Attachment Form in accordance with the instructions found on Grants.gov and should be organized in the following manner and include the following parts in order to expedite the review process.*

Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (read-only, non-modifiable .pdf files). Also, do not upload any password-protected files to your application.

When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.

❑ Table of Contents

The Table of Contents shows where and how the important sections of your proposal are organized and should not exceed **one** double spaced page.

❑ Application Narrative

The Application Narrative should respond to the selection criteria found in this application package and should, as a general matter, follow the order of the selection criteria. It should contain clear headings to help the Department staff and peer reviewers match the narrative with the selection criteria.

It is also important that applicants clearly address the absolute priorities and requirements. Depending on the priority or requirement, an applicant may be able to address a priority or requirement fully within the context of its selection criteria discussion. In other cases, an applicant may wish to address a priority or requirement outside of the selection criteria discussion.

All applicants should include the Application Reference Chart, which is an attachment described in Part 6, Other Attachment Forms, in which applicants are to clearly indicate where each of the priorities and requirements are discussed in the application. This will be helpful to the Department staff and peer reviewers during the application eligibility and review processes.

Page Guidelines

We encourage applicants to limit this section of the application to the equivalent of no more than **<u>60</u>** pages and adhere to the following guidelines:

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, including titles, headings, and quotations.
- 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.

The page recommendation does not apply to the cover sheet; the budget section, including the Budget Narrative; the assurances and certifications; the one-page abstract; or the appendices.

However, the recommended page limit does apply to the entire "Application Narrative" section

Part 5: Budget Narrative

This section should be attached as a ***single*** *document to the Budget Narrative Attachment Form in accordance with the instructions found on Grants.gov. It should be organized in the following manner and include the following parts in order to expedite the review process.*

Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (read-only, non-modifiable .pdf files). Also, do not upload any password-protected files to your application.

.

When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.

In the single document attached to the Budget Narrative Attachment Form, each application must provide two budget narratives. One Budget Narrative must explain how the TIF funds requested for each budget item will be spent. This Budget Narrative will serve to meet the requirements of Section C of ED Form 524. This document must also contain a Budget Narrative that explains how any non-Federal funds committed to the proposed project will be spent.

Each Budget Narrative should include an **itemized budget breakdown** for each project year and the **basis for estimating the costs** of personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs and any other projected expenditures. Be sure to complete an itemized budget breakdown and narrative for each year of the proposed project (up to 60 months).

The applicant should provide sufficient detail to enable reviewers and project staff to understand how requested funds will be used, how much will be expended, and the relationship between the requested funds and project activities and outcomes. The following section, "Suggested Guidelines for the Budget Narrative," illustrates the expected format and level of detail.

Important Notes

- Applicants are encouraged to review OMB Circular A-21, *Cost Principles for Educational Institutions* [OMB Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments* or OMB Circular A-122, *Cost Principles for Nonprofit Organizations*] in preparing their budget and budget narrative.
- OMB Circular A-21 may be found at the following link:
  http://www.whitehouse.gov/omb/circulars/a021/a21_2004.html
- OMB Circular A-87 may be found at the following link:
  http://www.whitehouse.gov/omb/circulars/a087/a87_2004.html
- OMB Circular A-122 may be found at the following link:
  http://www.whitehouse.gov/omb/circulars/a122/a122_2004.html

Suggested Guidelines for the Budget Narratives

In accordance with 34 CFR 75.232, Department of Education staff perform a cost analysis of the each recommended project to ensure that costs relate to the activities and objectives of the project, are reasonable, allowable and allocable. Applicants should refer to Requirements 6 and 7 in the "Application Requirements" section of this application package for more information about the allowable uses of TIF funds. We may delete or reduce costs from the budget during this review.

Two Budget Narratives

One Budget Narrative must break down the costs budgeted in Section A of ED Form 524, and the other must break down the costs budgeted in Section B of ED Form 524. Section A relates to costs to be supported by the requested TIF grant. Section B relates to costs to be supported with non-Federal funds.

Non-Federal Funds (Program Match)

Applicants should provide a Budget Narrative that reflects non-Federal resources, financial and non-financial, to support the PBCS, the educator evaluation systems, and other project costs during the grant period. In this Budget Narrative, applicants should reflect all of the applicable non-TIF resources referenced in their Project Narrative related to Selection Criteria (f), Sustainability.

Instructions for the Budget Narratives: To facilitate the review of your Budget Narratives, we encourage each applicant to include the following information for each year of the project.

Explaining Performance-Based Compensation Costs

There are two options for how an applicant treats the compensation provided to teachers, principals, and other personnel under its proposed PBCS. If a fringe benefits rate will be applied to the added compensation or incentives for teachers, principals, and other personnel, an applicant should include the performance-based compensation in the "personnel" line item and the costs generated by applying the fringe benefit rate in the "fringe benefits" line item.

Applicants must state the number of positions designated for teachers and principals who take on additional responsibilities and leadership roles **(**including career ladders) and how they will be compensated (e.g. salary or salary augmentation amount per person). This information should be clearly displayed in the budget section of the application and explained in the narrative.

If you do not plan to apply a fringe rate to the performance-based compensation costs, you should include this cost in the "other" line item.

Performance-based compensation costs should not be listed in the "training stipends" line item.

An applicant must clearly explain in the Budget Narrative why it has chosen to list performance-based compensation costs in the "personnel" and "fringe benefits" line items or the "other" line item. See section below for more information.

1. Personnel: *Include fees and expenses for consultants under contractual.*

- Provide the title and duties of each position to be compensated under this project.
- Provide the salary for each position under this project.
- Provide the amounts of time, such as hours or percentage of time to be expended by each position under this project.
- Explain the importance of each position to the success of the project.
- Provide the basis for cost estimates or computations.
- Provide performance-based compensation costs if fringe benefits will be applied.
- If applicable, provide a detailed explanation of the performance-based compensation costs. These costs should be clearly broken out by teachers, principals, and other personnel.
- An example includes:

Personnel: The following requested personnel will all be hired as employees of the project.	% FTE	Base Salary	Total
Project Director (1): John Doe will be responsible for the overall leadership and management of the Performance-Based Teacher and Principal Compensation Program. His qualifications are described in detail in the project on page 24 of the application.	80%	$65,000	$52,000
Performance-based compensation costs for effective teachers: 100 teachers will earn an average award amount of $3,000/year.			$300,000
Performance-based compensation costs for effective teachers who assume career ladder positions: 20 teachers will earn $8,000/year in salary augmentation/year.			$160,000

2. Fringe Benefits

- Give the fringe benefit percentages of all personnel included under Personnel.
- Include fringe benefits applied to incentive awards if such expenditures are included under Personnel.
- Provide the rate and base on which fringe benefits are calculated.
- Do not include fringe benefits for salaries and wages that are treated as part of the indirect cost.

3. Travel

- Explain the purpose of the travel, how it relates to project success, how it aligns with the project goals and objectives and which program participants or staff will participate.
- Submit an estimate for the number of trips, points of origin and destination, and purpose of travel.

- Submit an itemized estimate of transportation and/or subsistence costs for each trip.
- Provide the basis for cost estimates or computations.
- Applicants must budget for attendance at two required annual meetings. There are no registration fees for these meetings. For planning purposes, applicants should include funds for transportation, lodging, and per diem costs for the following meetings:
  Required Meeting: *Teacher Incentive Fund Grantee Meeting*
  This 1.5 day meeting will provide participants with key information needed to manage and implement a discretionary grant awarded by ED and technical assistance from experts. Grantee meetings will be held annually in a major U.S. city.
- Include travel of persons such as consultants under consultants, in line 6.

  Required Participants: Please budget for three participants including the project director.

  Expenses for this meeting include:
  - Round-trip airfare for three participants to a major U.S. city
  - Lodging expenses for three participants for up to four nights in a major U.S. city
  - Per diem expenses for three participants for up to five days in a major U.S. city
  - Funds for local ground transportation

  Required Meeting: *Teacher Incentive Fund Topical Meeting*
  This 1.5 day meeting will provide participants with in depth information on a topic related to implementing PBCSs. Topical meetings will be held annually in a major U.S. city.

  Required Participants: Please budget for two participants including the project director.

  Expenses for this meeting include:
  - Round-trip airfare for two participants to a major U.S. city
  - Lodging expenses for two participants for up to four nights in a major U.S. city
  - Per diem expenses for two participants for up to five days in a major U.S. city
  - Funds for local ground transportation

- One example includes:

Travel: Travel expenses include the average airfare of $400 each, in addition to a hotel room at $150/night for two nights, local transportation of $50, and per diem of $40	# Trips	$ per Trip	Total
TIF Annual Grantee Meeting: This meeting will provide technical assistance for our grant site and provide collaboration among all TIF grantees. The total trip will last 1.5 full days.	3 (1 Project Dir. & 2 other key personnel)	$790	$2,370

4. **Equipment**
   - Indicate the cost of tangible, non-expendable personal property that has a usefulness greater than one year and acquisition costs that are the lesser of the capitalization level established by the applicant entity for financial statement purposes or $5,000 per article. Lower limits may be established to maintain consistency with the applicant's policy.
   - Indicate the estimated unit cost for each item to be purchased.
   - Identify each type of equipment.
   - Provide adequate justification of the need for items of equipment to be purchased.
   - Explain the purpose of the equipment, and how it relates to project success.
   - Provide the basis for cost estimates or computations.
   - One example includes:

Equipment: Consistent with our organization's policy, equipment is defined as tangible, non-expendable, personal property having a useful life of more than one year and an acquisition cost of $1,000 or more per unit.	Cost of Item	Item Description	Total
Desktop Computers (3): Three desktop computers will be needed to expand our current office and supply the needs of 3 new employees.	$1,500	Desktop computer including monitor & printer	$4,500

5. **Supplies**
   - Show all tangible, expendable personal property. Direct supplies and materials differ from equipment in that they are consumable, expendable, and of a relatively low unit cost. *Supplies purchased with grant funds should directly benefit the grant project and be necessary for achieving the goals of the project.*
   - Provide an itemized estimate of materials and supplies by nature of expense or general category (e.g., instructional materials, office supplies, etc.).
   - Explain the purpose of the supplies and how they relate to project success.
   - Provide the basis for cost estimates or computations.
   - Individual pieces of equipment that are under $5,000 per unit are generally considered supplies. However, as noted in the example under Equipment, an applicant's organization may have a different equipment policy.

6. **Contractual**
   - The contractual category should include all costs specifically incurred with actions that the applicant takes in conjunction with an established internal procurement system. Include consultant fees, expenses, and travel costs in this category if the consultant's services are obtained through a written binding agreement or contract.
   - Provide the purpose and relation to project success.
   - Describe the products to be acquired, and/or the professional services to be provided.
   - Provide a brief justification for the use of the contractors selected.

Contractors are not to be named in an application since contracts will be competed following the award of a grant. If an applicant proposes in its application to use an existing contract or prior selection of any vendor for any activities to be supported with Federal TIF funds (or other Federal grant funds), the applicant must be prepared to demonstrate how it is in compliance with the "Procurement Practices" described in the “Application Information” section of this application package. Among other things, in awarding any contract or selecting any vendor prior to submission of the application, the applicant must have met the same EDGAR requirements that govern the need of fair and open competition that apply after receipt of a TIF award.

- Provide the cost per contractor.
- Provide the amount of time that the project will be working with the contractor(s).
- For professional services contracts, provide the amounts of time to be devoted to the project, including the costs to be charged to this proposed grant award.
- Provide a brief statement that you have followed the procedures for procurement under 34 CFR Parts 74.40 - 74.48 and Part 80.36.
- Provide the basis for cost estimates or computations.
- One example includes:

Contractual:	Timing of Costs	Total
ABC District plans to contract with an external evaluator to conduct the local evaluation, using both qualitative and quantitative data analysis. ABC expects to receive bi-annual evaluation reports and surveys from the new contractor. Please see page 37 of the project proposal for more information on the evaluation design.	Bi-Annual	$XXXX

7. **Construction**
   - Not applicable.

8. **Other**
   - Provide performance-based compensation costs if fringe benefits will not be applied.
   - Indicate all direct costs not covered on lines 1-6. For example, include costs such as space rental, required fees, honoraria and travel (where a contract is not in place for services), training, and communication and printing costs. *Do not include costs that are included in the indirect cost rate.*
   - List and identify items by major type or category (e.g., communications, printing, postage, equipment rental, etc.).
   - Provide the cost per item (printing = $500, postage = $750).
   - Provide the purpose for the expenditures and relation to project success.
   - Provide the basis for cost estimates or computations.

9. **Total Direct Costs**
   - The amount that is the sum of expenditures, per budget category, of lines 1-8.

10. **Indirect Costs**
   - Indicate the applicant’s approved indirect cost rate, per sections 75.560 – 75.564 of

EDGAR. If an applicant does not have an approved indirect cost rate agreement with a cognizant Federal agency, the applicant must apply to the Department for a temporary indirect cost rate if it wishes to charge indirect costs to the grant. For more information, go to the Department's website at: http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html.

- Identify indirect cost rate (if the applicant will charge indirect costs to the grant)
- *Note*: remember to provide a copy of the most recent approved indirect cost agreement in the "Other Attachments form" section of the application.

11. Training Stipends

- This line item is not applicable to this program. The training stipend line item only pertains to costs associated with long term training programs and college or university coursework, not workshops or short-term training supported by this program.

12. Total Costs

- Sum total of direct costs, indirect costs, and stipends.
- Please provide total costs for each year of the project as well as grand total cost for the entire project period (up to 60 months)

Important Information Regarding Indirect Cost Rates

The Department of Education (ED) reimburses grantees for its portion of indirect costs that a grantee incurs on projects funded by the Teacher Incentive Fund program (CFDA 84.374A or 84.374B). In order to charge indirect costs to this program, a grantee must have a currently approved Indirect Cost Rate (ICR) agreement. The ICR must be negotiated with and approved by the grantee's cognizant agency, i.e., either (1) the federal agency from which it has received the most direct funding, subject to indirect cost support; (2) the federal agency specifically assigned cognizance by the Office of Management and Budget; or (3) the State agency that provides the most subgrant funds to the grantee (if no direct federal awards are received).

Note: Applicants should pay special attention to specific questions on the application budget form (ED 524) about their cognizant agency and the ICR being used in the budget. Applicants should be aware that ED is very often not the cognizant agency for its grantees. Rather, ED accepts the currently approved ICR established by the appropriate cognizant agency.

Applicants are encouraged to have an accountant calculate a proposed ICR using current information in the audited financial statements, actual cost data or the Internal Revenue Service Form 990. Applicants should use this proposed rate in the application materials and indicate the documentation used to calculate the rate. Guidance related to calculating an ICR can be found on ED's website at http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html

An applicant selected for funding, that does not have a currently approved ICR, must review and follow the final regulations published at 34 CFR 75.560 in the Federal Register on December 7, 2007 (72 FR 69145). The rules allow for a temporary ICR of 10% of budgeted salaries and wages and require the grantee to submit an ICR proposal within 90 days after issuance of the grant award notification.

Applicants with questions about charging indirect costs on this program should contact the program contact person noted elsewhere in this application package.

Applicants should include their indirect cost rate agreement in Part 6: Other Attachment Form.

Part 6: Other Attachment Form

Attach one or more documents to the Other Attachments Form in accordance with the instructions found on Grants.gov. You may provide all of the required information in a single document, or in multiple documents.

Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (read-only, non-modifiable .pdf files). Also, do not upload any password-protected files to your application.

.

Please note that Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.

When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.

- ❑ **Application Reference Chart describing where each priority and application requirement is addressed in the application, and the applicant's eligibility classification**
  - Applicants should reference the section and page in the application in which each priority and requirement is addressed.
  - In creating this chart, applicants should use the template provided in Appendix 2.
- ❑ **High Need Documentation**
  - Applicants must provide a list of the high-need schools in which the proposed PBCS will be implemented.
  - For each school listed, applicants must provide the most current data on the percentage of each identified school's students who are eligible for free or reduced-price lunch subsidies under the Richard B. Russell National School Lunch Act or are considered students from low-income families based on other measures that the LEA uses (see section 1113(a)(5) of the ESEA (20 U.S.C. 6313(a)(5)).
- ❑ **Charter School Documentation**, if applicable
  - Charter school applicants, including group applicants that are charter schools, should include a letter from the authorized chartering agency or SEA that confirms their status in the State as an LEA.
- ❑ **Memorandum of Understanding (MOU) or Binding Agreement**
  - Group applicants must provide an MOU or other binding agreement that specifies the roles and responsibilities of each applicant.
  - A sample MOU for group applicants is provided in Appendix 1.
- ❑ **Commitment letters, surveys, or other evidence** demonstrating educator support
- ❑ **Indirect Cost Rate Agreement**: All applicants should attached a copy of their current indirect cost rate agreement. Group applicants should only include the indirect costs rate agreement of the lead applicant. Similarly, group applicants should only budget for indirect costs under the lead applicant's agreement.

- ❑ **Individual Resumes for Project Directors and Key Personnel**: Provide brief resumes or job descriptions that describe their qualifications for the responsibilities they will carry out under the project.

Part 7: Assurances and Certifications

Be certain to complete all required assurances and certifications in [Grants.gov](), and include all required information in the appropriate place on each form. The assurances and certifications required for this application are:

- ❑ Assurances for Non-Construction Programs (SF 424B Form)
- ❑ Disclosure of Lobbying Activities (SF LLL Form)
- ❑ Certification Regarding Lobbying (ED 80-0013 Form)
- ❑ General Education Provisions Act (GEPA) Requirements – Section 427
- ❑ Survey on Ensuring Equal Opportunity for Applicants (form 1890-0014)

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

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

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a 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.

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

Instructions for Meeting the General Education Provisions Act (GEPA) Section 427 Requirements

All applicants for new awards **<u>must</u>** include information in their applications to address this new provision in order to receive funding under this program.

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.

A general statement of an applicant's nondiscriminatory hiring policy is **<u>not</u>** sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers.

Please review the Notice to all Applicants (included in the electronic application package in Grants.gov) for further information on meeting the provisions in the Department of Education's General Education Provisions Act (GEPA).

Applicants are **required** to address this provision by attaching a statement (not to exceed three pages) to the **ED GEPA427 form** that is included in the electronic application package in Grants.gov.

Survey Instructions on Ensuring Equal Opportunity for Applicants

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.

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

Part 8: Intergovernmental Review of Federal Programs (Executive Order 12372)

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 (SPOC) process and a list of names by State can be found at:

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# Error: Reference source not found, 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.***

Not all states have chosen to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located in a State that does not have a SPOC, you may send application materials directly to the Department as described in the *Federal Register* notice.

FREQUENTLY ASKED QUESTIONS

[TO BE ADDED]

LEGAL AND REGULATORY INFORMATION

Notice Inviting Applications

[TO BE ADDED]

Notice of Final Priorities

[TO BE ADDED]

Program Statute

The Teacher Incentive Fund is authorized in P.L. 112-74-- FY 2012 Consolidated Appropriations Act of 2012, Title V, Part D.

Provided further, That $300,000,000 of the funds for subpart 1 of part D of title V of the ESEA shall be for competitive grants to local educational agencies, including charter schools that are local educational agencies, or States, or partnerships of: (1) a local educational agency, a State, or both; and (2) at least one nonprofit organization to develop and implement performance-based compensation systems for teachers, principals, and other personnel in high-need schools: Provided further, That such performance-based compensation systems must consider gains in student academic achievement as well as classroom evaluations conducted multiple times during each school year among other factors and provide educators with incentives to take on additional responsibilities and leadership roles: Provided further, That recipients of such grants shall demonstrate that such performance-based compensation systems are developed with the input of teachers and school leaders in the schools and local educational agencies to be served by the grant: Provided further, That recipients of such grants may use such funds to develop or improve systems and tools (which may be developed and used for the entire local educational agency or only for schools served under the grant) that would enhance the quality and success of the compensation system, such as high-quality teacher evaluations and tools to measure growth in student achievement. Provided further, That applications for such grants shall include a plan to sustain financially the activities conducted and systems developed under the grant once the grant period has expired: Provided further, That up to 5 percent of such funds for competitive grants shall be available for technical assistance, training, peer review of applications, program outreach, and evaluation activities.

APPENDIX 1

Sample Memorandum of Understanding (MOU) for Group Applicants

---

Under Requirement 4 of the Notice Inviting Application (NIA), all applicants other than a single LEA would need to include with their applications a Memorandum of Understanding (MOU) that describes the activities each entity proposes to undertake, and that includes—

(1) A commitment by each participating LEA to implement the HCMS, including the educator evaluation systems and the PBCS, described in the application;

(2) An identification of the lead applicant;

(3) A description of the responsibilities of the lead applicant in managing any grant funds and ensuring overall implementation of the proposed project as described in the application, if approved by the Department;

(4) A description of the activities that each member of the group will perform; and

(5) A statement binding each member of the group to every statement and assurance made in the application.

This is a sample MOU that illustrates the terms that group applicants may wish to include in their agreement. Applicants are free to use their own binding agreement or to modify this sample to reflect the terms of their own agreement.

This Memorandum of Understanding (MOU) is entered into by and between the following entities: ________________, _______________, ____________, and _______________.

These entities are applying to the U.S. Department of Education (ED) as group applicants for a grant award under the fiscal year (FY) 2012 Teacher Incentive Fund (TIF) competition. The purpose of this agreement is to establish the framework through which the group applicants intend to collaborate and to articulate the specific roles and responsibilities of each applicant in implementing the proposed TIF project.

I. Scope of Work

Each group applicant agrees to participate in the proposed TIF project that is set forth in this group application for the FY 2012 TIF competition and conduct activities and carry out responsibilities as may be identified in that application.

II. If Funded, Each Applicant Agrees That It Will Be a Grantee

Each group applicant understands that, if the group application is funded, it will be, and assume the legal responsibilities of, a grantee.

III. Lead Applicant and Fiscal Agent

______ will serve as the lead applicant. As the lead applicant, ____ will apply for the grant on behalf of the group and will serve as the fiscal agent for the group in the event a grant is awarded. As fiscal agent, ____ understands that it is responsible for the receipt and distribution of all grant funds; for ensuring that the project is carried out by the group in accordance with Federal requirements; and for ensuring that indirect cost funds are determined as required under section 75.564(e) of the Education Department General Administrative Regulations (EDGAR).

IV. Use of Funds

Each group applicant agrees to use the funds it receives under the agreement in accordance with all Federal requirements that apply to the grant, including any restrictions on the use of TIF funds set forth in the Notice Inviting Applications (NIA) or in applicable provisions of EDGAR, such as section 74.27 (applicable to non-profit organizations) and section 80.22 (applicable to SEAs and LEAs).

V. Participating LEA Responsibilities

Each participating LEA agrees to--

1) Implement the human capital management system (HCMS), evaluation systems, performance-based compensation system (PBCS), and other project components described in the application.
2) Participate, as requested, in any evaluations of this grant conducted by ED or by evaluators working at the request of the group; and
3) TBD (To be filled in according to the agreement of the members of the group and the design of the project. These additional responsibilities may include member responsibilities related to project implementation and coordination, data submission, data analysis, participation in conferences or teleconferences, and the like.)

VI. Other Members' Responsibilities

TBD (To be filled in according to the agreement of the members and the design of the project. These might include one or more of the responsibilities listed as examples in V.3. above.)

VII. Joint Responsibilities

Each member of the group agrees to the following joint responsibilities--

1) Each member of the group will appoint a key contact person for the TIF grant.
2) These key contacts will maintain frequent communication to facilitate cooperation under this MOU.
3) These key contacts will work together to determine appropriate timelines for project updates

and status reports throughout the whole grant project period.

VIII. Working Relationship Among Group Members

TBD (To be filled in according to the agreement of the members and the design of the project. This section might address the members' agreement on the steps to be taken in the event one member is not fulfilling its responsibilities.)

IX. Assurances

Each member of the group hereby assures and represents that it:

1) Agrees to be bound to every statement and assurance made by the lead applicant in the application;
2) Has all requisite power and authority to execute this MOU;
3) Is familiar with the group's TIF application and is supportive of and committed to working on all or significant portions of it, as described in the application;
4) Will comply with all the terms of the Grant and all applicable Federal and State laws and regulations, including laws and regulations applicable to the Program, and the applicable provisions of EDGAR.

X. Modifications

This MOU may be amended only by written agreement signed by each of the group members. Because any award of TIF funds by ED to support the group application is contingent upon the execution by each member of this Agreement, the members also agree that they will not modify this MOU prior to the end of the project without ED approval.

XI. Duration/Termination

This MOU shall be effective beginning with the date of the last signature hereon, and, if aTIF grant is received, ending upon the expiration of the grant project period. Because any award of TIF funds by ED to support the group application is contingent upon the execution by each member of this Agreement, the members also agree that they will not terminate this MOU prior to the end of the grant project period without ED approval. This MOU shall terminate of its own accord should the US Department of Education not approve the group application.

XII. Signatures

1) *LEA Superintendent (or equivalent authorized signatory) -- required*

   ____
   Signature/Date

   ____
   Print Name/Title/Name of LEA

2) *LEA Superintendent (or equivalent authorized signatory) -- required*

____
Signature/Date

____
Print Name/Title/Name of LEA

3) *Nonprofit organization CEO (or equivalent authorized signatory* -- *required*

____
Signature/Date

____
Print Name/Title/Name of organization

4) *SEA Chief State School Officer (or equivalent authorized signatory)* -- *required*

____
Signature/Date

____
Print Name/Title/Name of SEA

APPENDIX 2

Application Reference Chart

Instructions: Applicants should complete and include this chart as an attachment with their application. Go to www.ed.gov/.... to download a Microsoft Word version of this template. Fill out the Word document and submit it as a PDF attachment with your application.

Please indicate your eligibility classification

Instructions: Check the eligibility classification that applies to your application.

Applications from a single entity:
In the case of a single applicant that is an LEA, check this box.

___ *LEA*

Group Applications:
Group applications involve two or more eligible entities. In the case of a group application, check the box that describes the eligibility classification of all of the applicants. Select only one box.

___ *2 or more LEAs*
___ *One or more SEAs and one or more LEAs*
___ *One or more nonprofit organizations and one or more LEAs (no SEA)*
___ *One or more nonprofit organizations and one or more LEAs and one or more SEAs*

Instructions: In each column, please indicate where your application discusses each priority or requirement. For example, in the first column, indicate the title of the section or subsection in which the priority or requirement is discussed. In the second column, indicate the page number or numbers. If an attachment discusses all or a part of a priority or requirement, identify the attachment.

Identify every section, page, and/or attachment in which the priority or requirement is discussed. More than one section, subsection, page, or attachment may appear in each cell.

Requirement or Priority	1) Title of Section or Subsection in which this priority or requirement is discussed	2) Page Number(s) on which this requirement or priority is discussed	3) Attachment on which this priority or requirement is discussed
Priority 1: HCMS			
Priority 2: Educator Evaluation Systems			
Priority 3: STEM Plan (if applicable)			
Requirement 1: PBCS Description			

Requirement 2: Teacher and Principal Involvement			
Requirement 3: Identification of High-Need Schools			
Requirement 4: Group Applicants			
Requirement 5: Choice of Competition			
Requirement 6: Use of TIF Funds			
Requirement 7: Assurance Related to Use of Funds for Schools Served by Current TIF Grant			