

Consolidated State Application

**for State Grants under Title IX, Part C, Section 9302 of the Elementary and
Secondary Education Act**



**U. S. Department of Education
Office of Elementary and Secondary Education
Washington, D.C. 20202**

**Requested Application Submission:
MATERIAL-OPEN IMMEDIATELY**

Public 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. Public reporting burden for this collection of information is estimated to average 80 hours 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. The obligation to respond to this collection is required to obtain or retain benefit under Title IX, Part C, Sections 9301-9306, of the Elementary and Secondary Education Act (ESEA), as amended. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20202-4536 or email ICDocketMgr@ed.gov and reference the OMB Control Number 1810-0576. Note: Please do not return the completed Consolidated State Application to this address.

CONSOLIDATED STATE APPLICATION

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The Consolidated State Application is on the Department of Education's website at <http://www.ed.gov/admins/lead/account/consolidated/index.html>.

GENERAL INTRODUCTION

AUTHORITY

The Elementary and Secondary Education Act of 1965 (ESEA), as amended, Title IX, Part C, Sections 9301-9306. The ESEA can be found at:

<http://www.ed.gov/legislation/ESEA02/>

OFFICIAL DOCUMENTS NOTICE

The official document governing this application is the Federal Register Notice of final requirements for the consolidated application published in the Federal Register on May 22, 2002. This Notice is available electronically at the following web sites:

<http://www.access.gpo.gov/nara/index.html> and

<http://www.ed.gov/legislation/FedRegister>.

ELIGIBILITY

The State educational agency, after consultation with the Governor, may submit a consolidated State application for each of the covered programs (Section 9101(13)) in which the State participates, and such other programs as the Secretary may designate. (Note: Section 9305 extends local educational agencies receiving funds under more than one covered program the option of submitting a consolidated plan or application to the State educational agency. The SEA, in consultation with the Governor, is required to collaborate with LEAs in establishing procedures for submission of these plans or applications, and to require “only descriptions, information, assurances, and other material that are absolutely necessary for the consideration of the [LEA] plan or application.”)

PURPOSE OF THE CONSOLIDATED STATE APPLICATION

Section 9302 of ESEA provides to States the option of applying for multiple ESEA program funds through a single consolidated application. Although a central, practical purpose of the Consolidated State Application is to reduce “red tape” and burden on States, the Consolidated Application is also intended to have the important pedagogical purpose of encouraging the integration of State, local, and ESEA programs in comprehensive planning and service delivery and enhancing the likelihood that the SEA will coordinate planning and service delivery across multiple State and local programs.

The combined goal of all educational agencies -- State, local, and federal -- is a more coherent, well-integrated educational plan that will result in improved teaching and learning.

The design of the Consolidated State Application fosters the goal of a coherent, well-integrated, and comprehensive educational plan in the following ways:

1. Part I of the Application provides Goals and Indicators that focus on student achievement, leaving no child behind. The five goals address levels of academic proficiency that all students would meet the special needs of certain populations of

students, and factors such as qualified teachers and school safety that are critical to improved teaching and learning. Underlying the five goals is the presumption that all State, local, and federal educational resources will be integrated and coordinated to reach the overarching goal of improved student achievement.

2. Part II of the Application continues the theme of comprehensive, coordinated planning and service delivery. In addition to providing the framework for standards, assessments, and accountability, Part II suggests that State strategies and activities undertaken with administrative funds from ESEA programs reflect in their implementation cross-program efforts. For example, the part of the State plan providing for technical assistance to local districts might be one consolidated plan that provides for comprehensive service delivery for all programs rather than that the process of technical assistance be fragmented and dependent on specific, individual program requirements.
3. Part III of the Application, “Key Programmatic and Fiscal Information,” addresses the Department’s overall responsibility for ensuring the programmatic and fiscal integrity of the ESEA programs. To meet this responsibility, the Department needs to review and approve information on how the State would comply with a few key requirements of the individual ESEA programs included in the Application. Part III is intended to provide information that will assist the Department in its work but also to support comprehensive, integrated State planning and service delivery by aligning with the five goals of Part I. Each of the ESEA programs included in the consolidated application can assist States in addressing one or more of the ESEA goals described in Part I of the application. One model for the relationship between the five goals of Part I and the individual programmatic and fiscal requirements in Part III is suggested in the chart below. The chart, “Alignment between ESEA Programs and ESEA Goals,” shows in the shaded cells how one or more of the five ESEA goals are supported by the individual ESEA programs included in the application.

Alignment between ESEA Programs and ESEA Goals

ESEA Goals

Program	Goal 1: Reading and Math	Goal 2: English for LEP students	Goal 3: Qualified Teachers	Goal 4: Learning Environments	Goal 5: Graduation
Title I, Part A	XXXXXXXXXXXX	XXXXXXXXXXXX	XXXXXXXXXXXX X		XXXXXXXXXXXX
Title I, Part B, 3	XXXXXXXXXXXX X	XXXXXXXXXXXX X			XXXXXXXXXXXX
Title I, Part C	XXXXXXXXXXXX X	XXXXXXXXXXXX X			XXXXXXXXXXXX
Title I, Part D	XXXXXXXXXXXX X	XXXXXXXXXXXX X			XXXXXXXXXXXX
Title I, Part F	XXXXXXXXXXXX X	XXXXXXXXXXXX X			
Title II, Part A	XXXXXXXXXXXX X	XXXXXXXXXXXX X	XXXXXXXXXXXX X		XXXXXXXXXXXX
Title II, Part D	XXXXXXXXXXXX X	XXXXXXXXXXXX X	XXXXXXXXXXXX X		
Title III, Part A	XXXXXXXXXXXX X	XXXXXXXXXXXX X	XXXXXXXXXXXX X		XXXXXXXXXXXX
Title IV, Part A, 1				XXXXXXXXXXXX	
Title IV, Part A, 2				XXXXXXXXXXXX	
Title IV, Part B	XXXXXXXXXXXX X	XXXXXXXXXXXX			XXXXXXXXXXXX
Title V, Part A	XXXXXXXXXXXX X	XXXXXXXXXXXX	XXXXXXXXXXXX X	XXXXXXXXXXXX X	XXXXXXXXXXXX
Title VI, Part A, 1, 6111	XXXXXXXXXXXX X	XXXXXXXXXXXX	XXXXXXXXXXXX X		XXXXXXXXXXXX
Title VI, Part A, 1, 6112	XXXXXXXXXXXX X	XXXXXXXXXXXX	XXXXXXXXXXXX X		XXXXXXXXXXXX
Title VI, Part B, 2	XXXXXXXXXXXX X	XXXXXXXXXXXX	XXXXXXXXXXXX X		XXXXXXXXXXXX

Submission of Information and Date

Descriptive information and data requested in Parts I through III of the Application will be submitted at different times. The information about the individual ESEA programs included in Part III (“Key Programmatic and Fiscal Information”) of the application and the strategies or timelines for implementing them in ways that focus on increased student achievement (Part II, “State Activities to Implement ESEA Programs”) were due **June xx, 201x**. The State’s agreement to adopt the five ESEA Goals and the related Indicators (Part I), as well as a statement that the State will identify performance targets and submit baseline data for the targets when requested in 2003, was due **June 12, 2002**.

In **January of 2003**, a description of how the State calculated its “starting point” as required for adequate yearly progress (AYP), the State definition of AYP, and the minimum number of students the State has determined to be sufficient to yield statistically reliable information were submitted.

The States performance targets, related to the ESEA Goals and Indicators, were due in the **spring of 2003**. Baseline data for AYP data and for related performance targets were also submitted in the **spring of 2003**. Baseline data for non-AYP performance targets were submitted in the **fall of 2003**.

Timelines that States submit for standards, assessments and accountability systems or other data requirements must describe the major milestones or key steps the State will carry out to meet the requirement. The timeline should provide enough information to demonstrate that all critical steps will be carried out in a timely way and that the State will be able to meet the requirement.

The Timeline Submission Chart below shows actual estimated due dates for submission of application information.

Timeline for Submission of Components of the Consolidated State Application

Application Section	Topic*	Date Due							
		6-12-02	9-15-02	1-31-03	5-01-03	9-01-03	5-01-06	12-01-06	12-01-08
Part I	Goals and Indicators								
	Adoption of Goals and Indicators	√							
	Setting State Targets				√				
	AYP Baseline Data				√				
	Non-AYP Baseline Data					√			
Part II	State Activities								
	1a	Adopting academic content standards/grade-level expectations in math and reading	Timeline of major milestones			Evidence			
	1b	Adopting academic content standards/grade-level expectations in science	Timeline of major milestones			Detailed timeline		Evidence	
	1c	Developing and implementing required assessments	Timeline of major milestones			Detailed timeline			Evidence of 3-8 Evidence of science
	1d	Setting academic achievement standards	Timeline of major milestones			Detailed timeline			Evidence of 3-8 Evidence of science
	1e	Calculating starting point			√				
	1f	Definition of AYP			√				
	1g	Minimum number for statistical reliability & justification			√				
	1h	Evidence of single accountability system	Plan			Evidence			
	1i	Languages present, assessments in, assessments needed in	√						
	1j	LEA assessment of English proficiency	√						
	1k	Standards and objective for English proficiency	Status of efforts			Measurable objective			
	2	Subgrant process for each program with competitive subgrants	√						
	3	State system for monitoring, professional development, and technical assistance	√						
	4	Statewide system of support under Sec 1117	√						
5	Activities related to: schoolwides, teacher quality, technology, parental and community involvement, securing baseline and follow-up data	√							

	6	Coordination of programs	√							
	7	Strategies for determining subgrantee progress	√							
Part III		Programmatic Requirements and Fiscal Information								
		ALL	√							
		Assurances & Certifications								
		ALL	√							
Appendix		Sec 6112 Enhanced State Assessments								
		ALL		√						

* Topics are listed in abbreviated form. See body of application package for full text of submission requirements.

Data Management

Additional considerations that guide the procedures for the consolidated State application include the Department's data management initiatives for the electronic collection of data and information. During 2002 and beyond, the Department will work with LEAs and SEAs to establish data standards for performance indicators and other information collected from States and districts. The Department will also confer with LEA and SEA officials, the research community information technology vendors, and other interested parties on ways in which States, LEAs, and schools can collect and record useful baseline and follow-up data through an Internet-based format. The new format will accommodate the measurement of success relative to the various indicators that the Department and States have adopted. Future application and reporting guidelines, therefore, will encourage electronic reporting and provide States with additional options in fulfilling federal information requests.

TRANSMITTAL INSTRUCTIONS

To expedite the receipt, review and approval of applications, please send your application via the Internet as a .doc file or an .rtf or .txt file or provide (to marcia.kingman@ed.gov) the URL for the site where your application is posted on the Internet. Send to conapp@ed.gov. Please send a follow-up, signed paper copy of "Consolidated State Application Signature Page" and "Safe and Drug Free Schools and Communities Act Chief Executive Officer Cover Sheet" via an express carrier.

A State that submits only a paper application must include one signed original and two additional copies.

Mail to

Enid Marshall
U.S. Department of Education
400 Maryland Ave.
Washington, D.C. 20202-6400

According to the Paperwork Reduction Act of 1965, 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 1810-0576. The time required to complete this information collection is estimated to average 150 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 estimates(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have any comments or concerns regarding the status of your individual submission of this form, write directly to Consolidated State Application, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3E307, Washington, D.C. 20202-6400.

INSTRUCTIONS FOR COMPLETING SIGNATURE PAGE

1. Legal Name of Applicant. Enter the legal name of applicant and the name of the primary organizational unit that will undertake the assistance activity.
 - a. D-U-N-S Number. Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:
<http://www.dnb.com>.
Taxpayer Identification Number. Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
 - b. Address. Enter the address of the Applicant Agency (#1).
 - c. Program Contact. Name, address, telephone and fax numbers, and email address of the person to be contacted on matters involving this application.
 - d. Federal Debt Delinquency. Check "Yes" if the SEA is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
 - e. Certification of Assurances and Application Contents. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office.

SAFE DRUG-FREE SCHOOLS AND COMMUNITIES ACT STATE GRANTS

Chief Executive Officer Cover Sheet

1. Legal Name of Applicant Agency (Chief Executive Office):	2. DUNS Number:
3. Address (including zip code):	4. Contact Person Name: Position: Telephone: Fax: E-Mail Address:
5. Reservation of Funds: ___% Indicate the amount the Governor wishes to reserve (up to 20%) of the total State SDFSCA State Grant allocation.	
6. By signing this form the Governor certifies the following: a. The following assurances and certifications covering the Safe and Drug-Free Schools and Communities Act State Grants program have been filed with the U.S. Department of Education (either as a part of this Application or through another submission from the State): i. <u>Section 14303 and EDGAR</u> . The assurances in Section 9304(a) of the ESEA, and Section 76.104 of the Education Department General Administrative Regulations (EDGAR). ii. <u>ESEA Program Assurances</u> . Any assurances or certifications included in the statutes governing the Safe and Drug-Free Schools and Communities Act State Grants program. iii. <u>Assurances and Certification</u> . Any assurances or certifications included in the Application under “Assurances and Certifications.” iv. <u>Cross-Cutting</u> . As applicable, the assurances in OMB Standard Form 424B (Government-wide Assurances for Non-Construction Programs.)v. <u>Lobbying; debarment/suspension; drug-free workplace</u> . The three certification in ED Form 80-0013 and 80-0014, relating to lobbying, debarment/suspension, and drug-free workplace. (For more information, see 61 <i>Fed. Reg.</i> 1412 (01.19.96.) b. As of the date of submission of this Application, none of the facts has changed upon which those certifications and assurances were made.	
7. To the best of my knowledge and belief, all data are true and correct. The governing body of the applicant has duly authorized the document and the applicant will comply with the assurances and certification provided in this package if the assistance is awarded.	
8. Typed name of Chief Executive Officer	9. Telephone Number:
10. Signature of Chief Executive Officer	11. Date

**ESEA PROGRAMS INCLUDED IN
THE CONSOLIDATED STATE APPLICATION**

CHECKLIST

The State of _____ requests funds for the programs indicated below:

- _____ Title I, Part A: Improving Basic Programs Operated by Local Educational Agencies
- _____ Title I, Part B, Subpart 3: Even Start Family Literacy
- _____ Title I, Part C: Education of Migrant Children
- _____ Title I, Part D: Prevention and Intervention Programs for Children and Youth Who Are Neglected, Delinquent, or At-Risk
- _____ Title I, Part F: Comprehensive School Reform
- _____ Title II, Part A: Teacher and Principal Training and Recruiting Fund
- _____ Title II, Part D: Enhancing Education Through Technology
- _____ Title III, Part A: English Language Acquisition, Language Enhancement, and Academic Achievement
- _____ Title IV, Part A, Subpart 1: Safe and Drug Free Schools and Communities
- _____ Title IV, Part A, Subpart 2: Community Service Grants
- _____ Title IV, Part B: 21st Century Community Learning Centers
- _____ Title V, Part A: Innovative Programs
- _____ Title VI, Part A, Subpart 1, Section 6111: State Assessment Program
- _____ Title VI, Part A, Subpart 1, Section 6112: Enhanced Assessment Instruments Competitive Grant Program
- _____ Title VI, Part B, Subpart 2: Rural and Low-Income Schools

SEA CONTACTS FOR ESEA PROGRAMS

ESEA Program Title	SEA Program Contact		
	Name	Phone	E-Mail address
Title I, Part A			
Title I, Part B, 3			
Title I, Part C			
Title I, Part D			
Title I, Part F			
Title II, Part A			
Title III, Part A			
Title IV, Part A (SEA)			
Title IV, Part A (Governor)			
Title IV, Part A, Subpart 2			
Title IV, Part B			
Title V, Part A			
Title VI, Part A, Subpart 1, 6111			
Title VI, Part A, Subpart 1, 6112			
Title VI, Part B, Subpart 2			

CONSOLIDATED STATE APPLICATION CONTENTS

PART I: ESEA GOALS, ESEA INDICATORS, STATE PERFORMANCE TARGETS

Accountability, especially as it is reflected in student achievement results, drives the consolidated application's contents. The following ESEA performance goals and indicators cut across the ESEA programs included in the application and reflect the key goal of improved achievement for all students.

Instructions:

In the June 2002 submission, write a statement indicating that the State has adopted the five goals, the corresponding indicators and had agreed to submit targets and baseline data related to the goals and indicators identified in the application. States were permitted to submit any additional State goals and indicators that the State identified as overall goals for improving student achievement.

In the May 2003 submission, states were instructed to provide performance targets for each indicator and baseline data for the targets, unless previously submitted.

(In organizing this portion of your application, please use the same headings and numbering that we have provided so that reviewers can quickly and accurately locate your response to each item.)

Note: The SEA will be asked to provide data in the annual performance report to indicate progress on the ESEA goals as well as the additional State goals.

ESEA Goals and Indicators

1. **Performance goal 1:** By 2013-2014, all students will reach high standards, at a minimum attaining proficiency or better in reading/language arts and mathematics.
 - 1.1. Performance indicator: The percentage of students, in the aggregate and for each subgroup, who are at or above the proficient level in reading/language arts on the State's assessment. (Note: These subgroups are those for which the ESEA requires State reporting, as identified in section 1111(h)(1)(C)(i).)
 - 1.2. Performance indicator: The percentage of students, in the aggregate and in each subgroup, who are at or above the proficient level in mathematics on the State's assessment. (Note: These subgroups are those for which the ESEA requires State reporting, as identified in section 1111(h)(1)(C)(i).)
 - 1.3. Performance indicator: The percentage of Title I schools that make adequate yearly progress.
2. **Performance goal 2:** All limited English proficient students will become proficient in English and reach high academic standards, at a minimum attaining proficiency or better in reading/language arts and mathematics.

- 2.1. Performance indicator: The percentage of limited English proficient students, determined by cohort, who have attained English proficiency by the end of the school year.
- 2.2. Performance indicator: The percentage of limited English proficient students who are at or above the proficient level in reading/language arts on the State's assessment, as reported for performance indicator 1.1.
- 2.3. Performance indicator: The percentage of limited English proficient students who are at or above the proficient level in mathematics on the State's assessment, as reported for performance indicator 1.2.
3. **Performance goal 3:** By 2005-2006, all students will be taught by highly qualified teachers.
- 3.1. Performance indicator: The percentage of classes being taught by "highly qualified" teachers (as the term is defined in section 9101(23) of the ESEA), in the aggregate and in "high-poverty" schools (as the term is defined in section 1111(h)(1)(C)(viii) of the ESEA).
- 3.2. Performance indicator: The percentage of teachers receiving high-quality professional development. (as the term, "professional development," is defined in section 9101 (34).)
- 3.3. Performance indicator: The percentage of paraprofessionals (excluding those with sole duties as translators and parental involvement assistants) who are qualified. (See criteria in section 1119(c) and (d).)
4. **Performance goal 4:** All students will be educated in learning environments that are safe, drug free, and conducive to learning.
- 4.1. Performance indicator: The number of persistently dangerous schools, as defined by the State.
5. **Performance Goal 5:** All students will graduate from high school.
- 5.1. Performance indicator: The percentage of students who graduate from high school each year with a regular diploma,
 --disaggregated by race, ethnicity, gender, disability status, migrant status, English proficiency, and status as economically disadvantaged;
 --calculated in the same manner as used in National Center for Education Statistics reports on Common Core of Data.
- 5.2. Performance indicator: The percentage of students who drop out of school,
 --disaggregated by race, ethnicity, gender, disability status, migrant status, English proficiency, and status as economically disadvantaged;
 --calculated in the same manner as used in National Center for Education Statistics reports on Common Core of Data.
- (Note: ESEA section 1907 requires States to report all LEA data regarding annual school dropout rates in the State disaggregated by race and ethnicity according to procedures that conform with the National Center for Educational Statistics'(NCES) Common Core of Data. Consistent with this requirement, States must use NCES'

definition of “high school dropout,” i.e., a student in grades 9-12 who (a) was enrolled in the district at sometime during the previous school year; (b) was not enrolled at the beginning of the succeeding school year; (c) has not graduated or completed a program of studies by the maximum age established by the State; (d) has not transferred to another public school district or to a non-public school or to a State-approved educational program; and (e) has not left school because of death, illness, or school-approved absence.

(Note: As it develops regulations or guidance for the Title I, Part A program, the Department will determine what, if any, modifications to Indicators 5.1 and 5.2 are needed to ensure conformance with Title I requirements.)

State Performance Targets

State established performance targets represent the progress the State expects to make with respect to each ESEA indicator and any additional goals and indicators the State has added to the five ESEA goals and corresponding indicators by specified dates.

Examples of hypothetical State performance targets:

- 1.1.1 (ESEA goal 1): The percentage of students, in the aggregate and in each subgroup, who will be at or above the proficient level in reading/language arts consistent with the State’s annual measurable objectives (e.g., “x” percent for 2002-03, “y” percent for 2003-04 for ensuring that all students reach this level by the end of the 2013-14 school year. (Note: The State annual measurable objectives for all students in reading/language arts are the same as those the State includes in its definition of adequate yearly progress.)
- 1.3.1 (ESEA goal 1): The percentage of Title I schools that make adequate yearly progress will increase from the baseline established in 2001-2002 by “x” percent each subsequent year.
- 3.1.1. (ESEA goal 3): The percentage of classes being taught by highly qualified teachers, in the aggregate and in high-poverty schools, will increase from the baseline of “x” percent in 2001-2002 to “y” percent in 2002-2003, “z” percent in 2003-2004, etc.

PART II: STATE ACTIVITIES TO IMPLEMENT ESEA PROGRAMS

States will conduct a number of activities to ensure effective implementation of the ESEA programs included in the consolidated application. Many of these State-level activities serve multiple programs. For example, a State may develop a comprehensive approach to monitoring and technical assistance that would be used for several (or all) programs. Part II encourages a comprehensive approach to program planning and implementation and suggests that information submitted for Part II of the application be done so across programs wherever possible.

Instructions: Describe State-level activities according to the requirements that follow. Responses to each item in this section shall be assumed to cover all programs included in the consolidated application unless otherwise indicated. When submitting a timeline, the timeline must describe the major milestones or key steps the State will carry out to meet the requirement. The timeline should provide enough information to demonstrate that all critical steps will be carried out in a timely way and that the State will be able to meet the requirement. Where applicable, States may include Web site references, electronic files, or other existing documentation to comply with the requirements listed in the application. (All electronic references and hyperlinks should point explicitly to applicable content.)

1. Describe the State's system of standards, assessments, and accountability and provide evidence that it meets the requirements of the ESEA. In doing so –
 - a. In the **June 2002 submission**, provide a timeline of major milestones, for either:
 - adopting challenging content standards in reading/language arts and mathematics at each grade level for grades 3 through 8, consistent with section 1111(b)(1) or
 - disseminating grade-level expectations for reading/language arts and mathematics for grades 3 through 8 to LEAs and schools if the State's academic content standards cover more than one grade level.¹

By **May 1, 2003**, provide evidence that the State has adopted such standards or grade-level expectations.

If the State already has standards or has disseminated grade-level expectations that meet the requirements, so state in June 2002 and provide evidence when it is requested, which will be in the fall of 2002, after the Department issues final regulations and guidance.

- b. In the **June 2002 submission**, provide a timeline of major milestones, for adopting challenging academic content standards in science that meet the requirements of section 1111(b)(1).

By **May 1, 2003**, provide a detailed timeline for the above.

No later than **May 1, 2006**, but as soon as available, provide evidence that the State has adopted challenging content standards in science that meet the requirements of section 1111(b)(1).

If the State already has adopted science standards that meet the requirements of 1111(b)(1), so state in the June 2002 submission and provide evidence when it is requested, which will be in the fall of 2002, after the Department issues final regulations and guidance.

¹ Consistent with final regulations, expected to be released in August 2002.

- c. In the **June 2002 submission**, provide a timeline of major milestones for the development and implementation, in consultation with LEAs, of assessments that meet the requirements of section 1111(b)(3) in the required subjects and grade levels.

By **May 1, 2003**, provide a detailed timeline for the above.

No later than indicated in the **following schedule**, but as soon as available, provide evidence that the State has developed and implemented, in consultation with LEAs, assessments that meet the requirements of section 1111(b)(3) in the required subjects and grade levels.

Assessments			
Subject	Grades	Implement By	Submit Evidence By
Math	3-8	2005-2006	December 2006
Rdg/LA	3-8	2005-2006	December 2006
Science	Elem (3-5), Middle (6-9); & High School (10-12)	2007-2008	December 2008

If the State has already implemented some or all of these assessments, so state in the June 2002 submission and provide evidence when it is requested, which will be in the fall of 2002, after the Department issues final regulations and guidance.

- d. In the **June 2002 submission**, provide a timeline of major milestones for setting, in consultation with LEAs, academic achievement standards in mathematics, reading/language arts, and science that meet the requirements of section 1111(b)(1).

By **May 1, 2003**, provide a detailed timeline for this.

No later than indicated in the **following schedule**, but as soon as available, provide evidence that the State, in consultation with LEAs, has set academic achievement standards in mathematics, reading/language arts, and science that meet the requirements of section 1111(b)(1).

Academic Achievement Standards			
Subject	Grades	Implement By	Submit Evidence By
Math	3-8; Middle (6-9); & High School (10-12)	2005-2006	December 2006
Rdg/LA	3-8 ; Middle (6-9); & High School (10-12)	2005-2006	December 2006
Science	Elem (3-5), Middle (6-9); & High School (10-12)	2007-2008	December 2008

If the State has already set some or all of these academic achievement standards, so state in the June 2002 submission and provide evidence when it is requested, which will be in the fall of 2002, after the Department issues final regulations and guidance.

- e. By **January 31, 2003**, describe how the State calculated its “starting point” as required for adequate yearly progress consistent with section 1111(b)(2)(E), including data elements and procedures for calculations.
- f. By **January 31, 2003**, provide the State’s definition of adequate yearly progress. The definition must include:
- i. For the percentage of students meeting or exceeding the State’s proficient level, provide for reading/language arts and for mathematics –
 - The starting point value;
 - The intermediate goals;
 - The timeline; and
 - Annual objectives.
 - ii. The definition of graduation rate (consistent with section 1111(b)(2)(c)(vi) and final regulations).
 - iii. One academic indicator for elementary schools and for middle schools.
 - iv. Any other (optional) academic indicators.
- g. By **January 31, 2003**, identify the minimum number of students that the State has determined, based on sound statistical methodology, to be sufficient to yield statistically reliable information for each purpose for which disaggregated data are used and justify this determination.²
- h. In the **June 2002 submission**, provide a plan for how the State will implement a single accountability system that uses the same criteria, based primarily on assessments consistent with section 1111(b), for determining whether a school has made adequate yearly progress, regardless of whether the school receives Title I, Part A, or other federal funds.

By **May 2003**, provide evidence that the State has implemented a single accountability system consistent with section 1111(b) and 1116.

- i. In the **June 2002 submission**, identify the languages present in the student population to be assessed, the languages in which the State administers assessments, and the languages in which the State will need to administer assessments. Use the most recent data available and identify when the data were collected.
- j. In the **June 2002 submission**, provide evidence that, beginning not later than the school year 2002-2003, LEAs will provide for an annual assessment of English proficiency that meets the requirements of section 1111(b)(7) and 3116(d)(4), including assessment of English proficiency in speaking, listening, reading, writing, and comprehension. Identify the assessment(s) the State will designate for this purpose.

² Consistent with final regulations, expected to be released in August 2002.

- k. In the **June 2002 submission**, describe the status of the State's effort to establish standards and annual measurable achievement objectives under section 3122(a) of the ESEA that relate to the development and attainment of English proficiency by limited English proficient children. These standards and objectives must relate to the development and attainment of English proficiency in speaking, listening, reading, writing, and comprehension, and be aligned with the State academic content and student academic achievement standards as required by section 1111(b)(1) of the ESEA. If they are not yet established, describe the State's plan and timeline for completing the development of these standards and achievement objectives.

In the **May 2003 submission**, include the State's annual measurable achievement objectives.

2. In the **June 2002 submission**, describe the process for awarding competitive subgrants for the programs listed below. In a separate response for each of these programs, provide a description of the following items, including how the State will address the related statutory requirements:
- timelines
 - selection criteria and how they promote improved academic achievement
 - priorities and how they promote improved academic achievement.
- (In lieu of this description, the State may submit its RFP for the program.)

The programs to be addressed are:

- 1) Even Start Family Literacy (Title I, Part B).
- 2) Education of Migrant Children (Title I, Part C).
- 3) Prevention and Intervention for Children Who Are Neglected, Delinquent, or At-Risk -- Local Agency Programs (Title I, Part D, Subpart 2).
- 4) Comprehensive School Reform (Title I, Part F).
- 5) Teacher and Principal Training and Recruiting Fund -- subgrants to eligible partnerships (Title II, Part A, Subpart 3).
- 6) Enhanced Education Through Technology (Title II, Part D).
- 7) Safe and Drug-Free Schools and Communities -- reservation for the Governor (Title IV, Part A, section 4112).
- 8) Community Service Grants (Title IV, Part A, section 4126).
- 9) 21st Century Community Learning Centers (Title IV, Part B).

3. In the **June 2002 submission**, describe how the State will monitor and provide professional development and technical assistance to LEAs, schools, and other subgrantees to help them implement their programs and meet the State's (and those entities' own) performance goals and objectives. This description should include the assistance the SEA will provide to LEAs, schools, and other subgrantees in identifying and implementing effective instructional programs and practices based on scientific research.
4. In the **June 2002 submission**, describe the Statewide system of support under section 1117 for ensuring that all schools meet the State's academic content and student

achievement standards, including how the State will provide assistance to low-performing schools.

5. In the **June 2002 submission**, describe the activities the State will conduct to --
 - a. Help Title I schools make effective use of schoolwide programs to improve the achievement of all students, including specific steps the SEA is taking and will take to modify or eliminate State fiscal and accounting barriers so that schools can easily consolidate federal, State, and local funds for schoolwide programs;
 - b. Ensure that all teachers, particularly those in high-poverty areas and those in schools in need of improvement, are highly qualified. This description should include the help the State's will provide to LEAs and schools to --
 - i. Conduct effective professional development activities;
 - ii. Recruit and hire highly qualified teachers, including those licensed or certified through alternative routes; and
 - iii. Retain highly qualified teachers.
 - c. Ensure that all paraprofessionals (excluding those working with parents or as translators) attain the qualifications stated in sections 1119(c) and (d) by the 2005-2006 school year.
 - d. Help LEAs with a high need for technology, high percentages or numbers of children in poverty, and low-performing schools to form partnerships with other LEAs, institutions of higher education (IHEs), libraries, and other private and public for-profit and non-profit entities with technology expertise to improve the use of technology in instruction.
 - e. Promote parental and community participation in schools.
 - f. Secure the baseline and follow-up data for the core ESEA accountability system described in Part I.

6. In the **June 2002 submission**, describe how
 - a. SEA officials and staff consulted with the Governor's office in the development of the State plan;
 - b. State officials and staff will coordinate the various ESEA-funded programs with State-level activities the State administers;
 - c. State officials and staff will coordinate with other organizations, such as businesses, IHEs, nonprofit organizations; and
 - d. State officials and staff will coordinate with other agencies, including the Governor's office, and with other Federal programs (including those authorized by Individuals with Disabilities Education Act, the Perkins Vocational and Technical Education Act, the Head Start Act, the Adult Education and Family Literacy Act, and the McKinney-Vento Homeless Assistance Act).

7. In the **June 2002 submission**, describe the strategies the State will use to determine, on a regular basis, whether LEAs, schools, and other subgrantees are making satisfactory progress in meeting State and local goals and desired program outcomes. In doing so, the SEA should also describe how it will use data it gathers from subgrantees on how well they are meeting State performance targets, and the actions

the State will take to determine or revise interventions for any LEAs, schools, and other subgrantees that are not making substantial progress.

PART III: ESEA KEY PROGRAMMATIC REQUIREMENTS AND FISCAL INFORMATION

The Department has an overall responsibility for ensuring the programmatic and fiscal integrity of the ESEA programs. To meet this responsibility, the Department has determined that before it awards FY 2002 program funds on the basis of the consolidated application, it will review and approve information on how the State will comply with a few key requirements of the individual ESEA programs included in the application. Those programmatic and fiscal requirements are listed below.

In preparing a reply to the Part III request for information, States may find it helpful to align responses to ESEA goals. Funds from some ESEA programs explicitly support all of the ESEA goals (e.g. Title V) while other program funds concentrate on a specific ESEA goal (e.g. Title IV, Part A). To facilitate this alignment, we indicate the number of the ESEA goal(s) that we believe to be related to each program. (See also the “Alignment between ESEA Programs and ESEA Goals” chart in the General Introduction.)

Instructions: In the **June 2002 submission**, for items 1-14 and the two final questions on uses of funds, please provide a brief narrative response. Where applicable, the State may include Web site references, electronic files, or other existing documentation to comply with the requirements listed in the application. (All electronic references and hyperlinks should point explicitly to applicable content.)

1. Title I, Part A -- Improving Basic Programs Operated By LEAs [Goals 1,2,3,5]
 - a. Identify the amount of the reservation in section 1003(a) for school improvement that the State will use for State-level activities and describe those activities.
 - b. For the 95 percent of the reservation in section 1003(a) that must be made available to LEAs, describe how the SEA will allocate funds to assist LEAs in complying with the school improvement, corrective action, and restructuring requirements of section 1116 and identify any SEA requirements for use of those funds.
 - c. Identify what part, if any, of State administrative funds the SEA will use for assessment development under section 1004 of the ESEA, and describe how those funds will be used.
 - d. Describe how the State will inform LEAs of the procedures they must use to distribute funds for schools to use for supplemental services under section 1167(e) (7) and the procedures for determining the amount to be used for this purpose.
 - e. Describe how the State will use the formula funds awarded under section 6113(b) (1) for the development and implementation of State assessments in accordance with section 6111.

2. Title I, Part B, Subpart 3 -- Even Start Family Literacy [Goals 1,2,5]
 - a. Describe how the SEA will use its indicators of program quality to monitor, evaluate, and improve its projects, and to decide whether to continue operating them.

- b. Describe what constitutes sufficient program progress when the SEA makes continuation awards.
 - c. Explain how the State's Even Start projects will provide assistance to low-income families participating in the program to help children in those families to achieve to the applicable State content and student achievement standards.
 - d. Identify the amount of the reservation under subsection 1233(a) that the State will use for each category of State-level activities listed in that section, and describe how the SEA will carry out those activities.
3. Title I, Part C -- Education of Migrant Children [Goals 1,2,5]
- a. Describe the process the State will use to develop, implement, and document a comprehensive needs assessment that identifies the special educational and related needs of migrant children.
 - b. Describe the State's priorities for the use of migrant education program funds in order to have migrant students meet the State's performance targets for indicators 1.1 and 1.2 in Part I (as well as 5.1 and 5.2 that expressly include migrant students), and how they relate to the State's assessment of needs for services.
 - c. Describe how the State will determine the amount of any subgrants the State will award to local operating agencies, taking into account the numbers and needs of migrant children, the statutory priority for service in section 1304(d), and the availability of funds from other federal, State, and local programs. (Applicable only if not previously addressed in Part II, #2.)
 - d. Describe how the State will promote continuity of education and the interstate and intrastate coordination of services for migrant children.
 - e. Describe the State's plan to evaluate the effectiveness of its migrant education program and projects.
 - f. Identify the amount of funds that the SEA will retain from its Migrant Education Program (MEP) allocation, under section 200.41 of the Title I regulations (34 CFR 200.41), to carry out administrative and program functions that are unique to the MEP, and describe how the SEA will use those funds.
4. Title I, Part D -- Children and Youth who are Neglected, Delinquent, or At-Risk [Goals 1,2,5]
- a. Describe the program goals, performance indicators, performance objectives, and data sources that the State has established for its use in assessing the effectiveness of the program in improving the academic and vocational and technical skills of students participating in the program.
 - b. Describe how the SEA is assisting projects funded under the program in facilitating the transition of youth from correctional facilities to locally operated programs.
 - c. Describe how the funds reserved under section 1418 will be used for transition services for students leaving institutions for schools served by LEAs, or postsecondary institutions or vocational and technical training programs.

5. Title I, Part F -- Comprehensive School Reform [Goals 1,2 5]
 - a. Describe the process the State educational agency will use to ensure that programs funded include and integrate all eleven required components of a comprehensive school reform program.
 - b. Describe the process the State will use to determine the percentage of Comprehensive School Reform schools with increasing numbers of students meeting or exceeding the proficient level of performance on State assessments in reading/language arts and mathematics.

6. Title II, Part A -- Teacher and Principal Training and Recruiting Fund [Goals 1,2,3,5]
 - a. If not fully addressed in the State's response to the information on performance goals, indicators, and targets in Part I describe the remainder of the State's annual measurable objectives under section 1119(a)(2).
 - b. Describe how the SEA will hold LEAs accountable both for (1) meeting the annual measurable objectives described in section 1119(a)(2) of the ESEA, and (2) ensuring that the professional development the LEAs offer their teachers and other instructional staff is consistent with the definition of "professional development" in section 9101(34).
 Note: This program, and the financial support it provides to States, LEAs, and schools, is vitally important to ensure that all students have teachers who are highly qualified, and who can help students achieve to their maximum capabilities. The two items identified above supplement other information States need to provide in response to items in Part I, Goal 3; Part II, item 5, and Part III, information on Title II, Part D (Enhancing Education Through Technology program) on how they plan to implement key teacher quality activities.
 - c. Describe the State Educational Agency and the State Agency for Higher Education's agreement on the amount each will retain under section 2113(d) of ESEA. Section 2113(d) allows for one percent of the State's program allocation for administration and planning costs.

In the absence of an agreement between the two agencies to apportion the one-percent in another way, of this amount the Department annually will award to the SAHE for administration and planning the greater of-

1. The amount of FY 2001 funds it had received for administration under the predecessor Title II, ESEA Eisenhower Professional Development Program, or
2. Five percent of the amount available each year for subgrants to partnerships under ESEA section 2113(a)(2).

The Department annually will award the remainder of the one-percent of the State allocation to the SEA for its costs of administration and planning. We will provide further guidance on within-State allocations of Title II, Part A funds reserved for administration in the guidance it is developing for the program.

7. Title II, Part D -- Enhanced Education Through Technology [Goals 1,2,3]
 - a. Describe the program goals, performance indicators, performance objectives, and data sources that the State has established for its use in assessing the effectiveness

- of the program in improving access to and use of educational technology by students and teachers in support of academic achievement.
- b. Provide a brief summary of the SEA's long-term strategies for improving student academic achievement, including technology literacy, through the effective use of technology in the classroom, and the capacity of teachers to integrate technology effectively into curricula and instruction.
 - c. Describe key activities that the SEA will conduct or sponsor with the funds it retains at the State level. These may include such activities as provision of distance learning in rigorous academic courses or curricula; the establishment or support of public-private initiatives for the acquisition of technology by high-need LEAs; and the development of performance measurement systems to determine the effectiveness of educational technology programs.
 - d. Provide a brief description of how –
 - i. The SEA will ensure that students and teachers, particularly those in the schools of high-need LEAs, have increased access to technology, and
 - ii. The SEA will coordinate the application and award process for State discretionary grant and formula grant funds under this program.
8. Title III, Part A -- English Language Acquisition and Language Enhancement [Goals 1,2,3,5]
- a. Describe how the SEA will ensure that LEAs use program funds only to carry out activities that reflect scientifically based research on the education of limited English proficient children while allowing LEAs flexibility (to the extent permitted under State law) to select and implement such activities in a manner that the grantees determine best reflects local needs and circumstances.
 - b. Describe how the SEA will hold LEAs accountable for meeting all annual measurable achievement objectives for limited English proficient children, and making adequate yearly progress that raises the achievement of limited English proficient children.
 - c. Specify the percentage of the State's allotment that the State will reserve and the percentage of the reserved funds that the State will use for each of the following categories of State-level activities: professional development; planning, evaluation, administration, and interagency coordination; technical assistance; and providing recognition to subgrantees that have exceeded their annual measurable achievement objectives. A total amount not to exceed 5 percent of the State's allotment may be reserved by the State under section 3111(b)(2) to carry out one or more of these categories of State-level activities.
 - d. Specify the percentage of the State's allotment that the State will reserve for subgrants to eligible entities that have experienced a significant increase in the percentage or number of immigrant children and youth. A total amount not to exceed 15 percent of the State's allotment must be reserved by the State under section 3114(d)(1) to award this type of subgrant.
 - e. Describe the process that the State will use in making subgrants under section 3114(d) to LEAs that have experienced a significant increase in the percentage or number of immigrant children and youth.

- f. Specify the number of limited English proficient children in the State. (See definitions of "child" in section 3301(1), and "limited English proficient" in section 9101(25).)
- g. Provide the most recent data available on the number of immigrant children and youth in the State. (See definition of "immigrant children and youth" in section 3301(6).)

(Note: Section 3111 of the ESEA requires that State allocations for the Language Acquisition State grants be calculated on the basis of the number of limited English proficient children in the State compared to the number of such children in all States (80 percent) and the number of immigrant children and youth in the State compared to the number of such children and youth in all States (20 percent). The Department plans to use data from the 2000 Census to calculate State shares of limited English proficient students. However, these data on limited English proficient students will not be available for all States until September 2002. To ensure that States have access to funds as soon as they are available, the Department proposes, for FY 2002 only, to provide an initial distribution of 50 percent of the funds under the limited English proficient portion of the formula based on State-reported data. As soon as Census data become available, the Department will recalculate and make final State allocations using 2000 Census data. For the 20 percent of formula funds distributed to States based on State shares of immigrant children and youth, the Department will use the most recent State-reported data year in allocating these funds. Census does not collect data that can be used to calculate State allocations for this part of the formula.)

9. Title IV, Part A -- Safe and Drug-Free Schools and Communities [Goal 4]

- a. Describe the key strategies in the State's comprehensive plan for the use of funds by the SEA and the Governor to provide safe, orderly, and drug-free schools and communities through programs and activities that –
 - i. Complement and support activities of LEAs under section 4115(b) of the ESEA;
 - ii. Comply with the principles of effectiveness under section 4115(a); and
 - iii. Otherwise are in accordance with the purpose of Title IV, Part A.

(Note: The reauthorized provisions of the Safe and Drug-Free Schools and Communities (SDFSC) Program clearly emphasize well-coordinated SEA and Governors Program activities. The statute requires that significant parts of the program application be developed for each State's program, not for the SEA and Governors Programs individually. For this reason, each State must submit a single application for SDFSC SEA and Governors Program funds. States may choose to apply for SDFSC funding through this consolidated application or through a program-specific application.)
- b. Describe the State's performance measures for drug and violence prevention programs and activities to be funded under Title IV, Part A, Subpart 1. These performance measures must focus on student behaviors and attitudes. They must consist of performance indicators for drug and violence prevention programs and activities and levels of performance for each performance indicator. The description must also include timelines for achieving the performance goals

stated, details about what mechanism the State will use to collect data concerning the indicators, and provide baseline data for indicators (if available).

- c. Describe the steps the State will use to implement the Uniform Management Information and Reporting System (UMIRS) required by section 4112(c)(3). The description should include information about which agency(ies) will be responsible for implementing the UMIRS, a tentative schedule for implementing the UMIRS requirements, as well as preliminary plans for collecting required information.

10. Title IV, Part A, Subpart 1, section 4112(a) -- Safe and Drug-Free Schools and Communities: Reservation of State Funds for the Governor [Goal 4]

- a. The Governor may reserve up to 20 percent of the State's allocation under this program to award competitive grants or contracts. Indicate the percentage of the State's allocation that is to be reserved for the Governor's program.
- b. The Governor may administer these funds directly or designate an appropriate State agency to receive the funds and administer this allocation. Provide the name of the entity designated to receive these funds, contact information for that entity (the name of the head of the designated agency, address, telephone number) and the "DUNS" number that should be used to award these funds.

11. Title IV, Part A, Subpart 2, section 4126 -- Safe and Drug-Free Schools and Communities: Community Service Grants [Goal 4]

Describe how the SEA, after it has consulted with the Governor, will use program funds to develop and implement a community service program for suspended and expelled students.

12. Title IV, Part B: 21st Century Community Learning Centers [Goals 1, 2, and 5]

Identify the percentage of students participating in 21st Century Community Learning Centers who meet or exceed the proficient level of performance on State assessments in reading and mathematics. The State must collect baseline data for the 2002-2003 school year, and submit all of these data to the Department no later than early September of 2003 by a date the Department will announce.

13. Title V, Part A -- Innovative Programs [Any goal(s) selected by State]

- a. In accordance with section 5112(a)(1) of the ESEA, provide the SEA's formula for distributing program funds to LEAs. Include information on how the SEA will adjust its formula to provide higher per-pupil allocations to LEAs that have the greatest numbers or percentages of children whose education imposes a higher-than-average cost per child, such as –
 - i. Children living in areas with concentrations of economically disadvantaged families;
 - ii. Children from economically disadvantaged families; and
 - iii. Children living in sparsely populated areas.
 - iv. Identify the amount or percentage the State will reserve for each State-level activity under section 5121, and describe the activity.

14. Title VI, Part A, Subpart 1, Section 6111 – State Assessments Formula Grants [Goals 1,2,3,5]

Describe how the State plans to use formula funds awarded under section 6113(b)(1) for the development and implementation of State assessments in accordance with section 6111(1) and (2).

15. Title VI, Part B, Subpart 2 -- Rural and Low-Income School Program [Goals 1,2,3,5]

- a. Identify the SEA’s specific measurable goals and objectives related to increasing student academic achievement; decreasing student dropout rates; or improvement in other educational factors the SEA may elect to measure, and describe how Rural and Low-Income School program funds will help the SEA meet the goals and objectives identified.
- b. Describe how the State elects to make awards under the Rural and Low-Income School Program:
 - i. By formula proportionate to the numbers of students in eligible districts;
 - ii. Competitively (please explain any priorities for the competition); or
 - iii. By a State-designed formula that results in equal or greater assistance being awarded to school districts that serve higher concentrations of poor students.
(NOTE: If a State elects this option, the formula must be submitted for the Department’s approval. States that elect this option may submit their State-designed formulas for approval as part of this submission.)

GEPA (General Education Provisions Act), Section 427

All applicants for new awards must include information in their applications to address GEPA, Section 427 in order to receive funding under this program. GEPA 427 requires a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted programs for students, teachers, and other program beneficiaries with special needs. For a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 to the State.

Consolidated Administrative Funds

1. Does the SEA plan to consolidate State-level administrative funds?
If yes, please provide information and analysis concerning Federal and other funding that demonstrates that Federal funds constitute less than half of the funds used to support the SEA.
If yes, are there any programs whose funds are available for administration that the SEA will not consolidate?
2. Please describe your plans for any additional uses of funds.

Transferability

Does the State plan to transfer non-administrative State-level ESEA funds under the provisions of the State and Local Transferability Act (sections 6121 to 6123 of the ESEA)? If so, please list the funds and the amounts and percentages to be transferred, the program from which funds are to be transferred, and the program into which funds are to be transferred.

(Note: If the State elects to notify the Department of the transfer in this document, the State's responses to the application's requests for information should reflect the State's comprehensive plan after the transfer. If the State has not elected to transfer funds at this time, it may do so at a later date. To do so, the State must (1) establish an effective date for the transfer, (2) notify the Department (at least 30 days before the effective date of the transfer) of its intention to transfer funds, and (3) submit the resulting changes to the information previously submitted in the State's consolidated application by 30 days after the effective date of the transfer.)

ASSURANCES AND CERTIFICATIONS

Instructions:

The Consolidated State Application Signature Page, signed by the authorized State/SEA representative and **submitted in June 2002**, certifies the State's agreement to the following sets of assurances, the crosscutting certification, and the requirements of GEPA, Section 427.

General and Cross-Cutting Assurances

Description: Section 9304(a) requires States to have on file with the Secretary a single set of assurances, applicable to each program included in the consolidated application, that provide that --

1. Each such program will be administered in accordance with all applicable statutes, regulations, program plans, and applications;
2. The control of funds provided under each such program and title to property acquired with program funds will be in a public agency, a nonprofit private agency, institution, or organization, or an Indian tribe, if the law authorizing the program provides for assistance to those entities; and
3. The public agency, nonprofit private agency, institution, or organization, or Indian tribe will administer those funds and property to the extent required by the authorizing law;
4. The State will adopt and use proper methods of administering each such program, including—
 - a. The enforcement of any obligations imposed by law on agencies, institutions, organizations, and other recipients responsible for carrying out each program;
 - b. The correction of deficiencies in program operations that are identified through audits, monitoring, or evaluation; and
 - c. The adoption of written procedures for the receipt and resolution of complaints alleging violations of law in the administration of the programs;
5. The State will cooperate in carrying out any evaluation of each such program conducted by or for the Secretary or other Federal officials;
6. The State will use such fiscal control and fund accounting procedures as will ensure proper disbursement of, and accounting for, Federal funds paid to the State under each such program;
7. The State will—
 - a. Make reports to the Secretary as may be necessary to enable the Secretary to perform the Secretary's duties under each such program; and
 - b. Maintain such records, provide such information to the Secretary, and afford such access to the records as the Secretary may find necessary to carry out the Secretary's duties; and
 - c. Before the plan or application was submitted to the Secretary, the State afforded a reasonable opportunity for public comment on the plan or application and considered such comment.

Certification

Certification of compliance with Unsafe School Choice Option Requirements

The State certifies that it has established and implemented a statewide policy requiring that students attending persistently dangerous public elementary or secondary schools, as determined by the State (in consultation with a representative sample of local educational agencies), or who become victims of violent criminal offenses, as determined by State law, while in or on the grounds of public elementary and secondary schools that the students attend, be allowed to attend safe public elementary or secondary schools within the local educational agency, including a public charter school.

ESEA Program Specific Assurances

Each SEA that submits a consolidated application also must provide an assurance that it will comply with all requirements of the ESEA programs included in their consolidated applications, whether or not the program statute identifies these requirements as a description or assurance that States would address, absent this consolidated application, in a program-specific plan or application. States are required to maintain records of their compliance with each of those requirements. (Note: For the Safe and Drug Free Schools programs, the SEA must have all appropriate assurances from the Governor on record.)

Through the general assurance and assurance (1) in section 9304 (a), the SEA agrees to comply with all requirements of the ESEA and other applicable program statutes. While all requirements are important, we have identified below a number of key requirements of each program that the SEA is agreeing to meet through this general assurance. This list of program-specific requirements the SEA is assuring is not exhaustive; States are accountable for all program requirements.

1. Title I, Part A – Improving Basic Programs Operated By LEAs

Assurance that –

- a. The State plan for the implementation of Title I, Part A was developed in consultation with LEAs, teachers, principals, pupil services personnel, administrators, other staff and parents and that the plan for Title I, Part A coordinates with other programs under this Act, the Individuals with Disabilities Education Act, the Carl D. Perkins Vocational and Technical Education Act of 1998, the Head Start Act, the Adult Education and Family Literacy Act, and the McKinney-Vento Homeless Assistance Act.
- b. The SEA has a plan for assisting LEAs and schools to develop capacity to comply with program operation and for providing additional educational assistance to students needing help to achieve State standards, including:
 - i. the use of schoolwide programs;
 - ii. steps to ensure that both schoolwide program- and targeted assisted program schools have highly qualified staff (section 1111);
 - iii. ensuring that assessments results are used by LEAs, schools, and teachers to improve achievement (section 1111);
 - iv. use of curricula aligned with state standards (section 1111);

- v. provision of supplemental services, including a list of approved service providers and standards and techniques for monitoring the quality and effectiveness of services (section 1116);
- vi. choice and options (section 1116);
- vii. the state support system under section 1117; and
- viii. teacher and paraprofessional qualifications (section 1119).
- c. The State has a strategy for ensuring that children served by Title I, Part A will be taught the same knowledge and skills in other subjects and held to the same expectations as all children.
- d. The State will implement the accountability requirements of section 1116(f) regarding schools identified for improvement prior to the passage of NCLB.
- e. The State will implement the provisions of section 1116 regarding LEAs and schools in improvement and corrective action.
- f. The State will produce and disseminate an annual State Report Card in accordance with section 1111(h)(1) and will ensure that LEAs that receive Title I, Part A funds produce and disseminate annual local Report Cards in accordance with section 1111(h)(2).
- g. The SEA will ensure that LEAs will annually assess English skills for all limited-English proficient students.
- h. The SEA will coordinate with other agencies that provide services to children, youth and families to address factors that have significantly affected the achievement of students.
- i. The SEA will ensure that assessment results are promptly provided to LEAs, schools, and teachers.
- j. The State will participate in State academic assessments of 4th and 8th grade reading and mathematics under NAEP if the Secretary pays the cost of administering such assessments, and will ensure that schools drawn for the NAEP sample will participate in all phases of these assessments, including having results published.
- k. The SEA, in consultation with the Governor, will produce a plan for carrying out the responsibilities of the State under sections 1116 and 1117, and the SEA's statewide system for technical assistance and support of LEAs.
- l. The SEA will assist LEAs in developing or identifying high-quality curricula aligned with State academic achievement standards and will disseminate such curricula to each LEA and local school within the State.
- m. The State will carry out the assurances specified in section 1111(c).

1. Title I, Part B – Even Start Family Literacy

Assurance that –

- a. The SEA will meet its indicators of program quality developed in section 1240.
- b. The SEA will help each project under this part to fully implement the program elements described in section 1235, including the monitoring of the projects' compliance with staff qualification requirements and usage of instructional programs based on scientifically based reading research for children and adults.

- c. The SEA collaborated with early childhood specialists, adult education specialists, and others at the State and local level with interests in family literacy in the development and implementation of this plan.

2. Title I, Part C – Education of Migrant Children

Assurance that –

In addition to meeting the seven program assurances in Section 1304(c), the SEA will ensure that –

- f. Special educational needs of migratory children, including preschool migratory children, are identified and addressed through – (a) the full range of services that are available for migratory children from appropriate local, State, and Federal educational programs; (b) joint planning among local, State, and Federal educational programs serving migrant children, including language instruction educational programs under part A or B of title III; and (c) the integration of services available under this part with services provided by those other programs, a (d) measurable program goals and outcomes.
- g. State and its local operating agencies will identify and address the special educational needs of migratory children in accordance with a comprehensive State plan as specified in section 1306 (a).
- h. State will provide for educational continuity through the timely transfer of pertinent school records in a manner consistent with procedures the Secretary may require.

4. Title I, Part D – Children and Youth Who Are Neglected, Delinquent or At-Risk

Assurance that the SEA –

- a. Will ensure that programs will be carried out in accordance with the State plan.
- b. Will carry out the evaluation requirements of section 1431.
- c. Has collaborated with parents, correctional facilities, local education agencies, public and private business and other state and federal technical and vocational programs in developing and implementing its plan to meet the educational needs of neglected, delinquent, and at-risk children and youth.
- d. Conducts a process to award Subpart 2 subgrants, to programs operated by local education agencies and correctional facilities.
- e. Will integrate programs and services for neglected, delinquent, and at-risk children and youth with other programs under this Act or other Acts.

a. Title I, Part F – Comprehensive School Reform

Assurance that the SEA will --

- a. Fulfill all requirements relating to the competitive subgranting of program funds.
- b. Awards subgrants of not less than \$50,000 and of sufficient size and scope to support the initial costs of the program.

- c. Award subgrants renewable for 2 additional one year periods if the school is making substantial progress.
 - d. Consider the equitable distribution of subgrants to different geographic regions in the State, including urban and rural areas and to schools serving elementary and secondary students.
 - e. Reserve not more than five (5) percent of grant funds for administrative, evaluation, and technical assistance expenses.
 - f. Use funds to supplement, and not supplant, any other funds that would otherwise be available to carry out these activities.
 - g. Report subgrant information, including names of LEAs and schools, amount of award, and description of award.
 - h. Provide a copy of the State's annual program evaluation.
- b. Title II, Part A – Teacher and Principal Training and Recruiting Fund

Assurance that –

- a. The SEA will take steps to ensure compliance with the requirements for “professional development” as the term is defined in section 9101(34).
 - b. All funded activities will be developed collaboratively and based on the input of teachers, principals, administrators, paraprofessionals, and other school personnel.
 - c. The SEA will implement the provisions for technical assistance and accountability in section 2141 with regard to any LEA that has failed to make adequate yearly progress for two or more consecutive years.
- c. Title II, Part D – Enhanced Education Through Technology

Assurance that the SEA --

- a. Will ensure that each subgrant awarded under section 2412 (a)(2)(B) is of sufficient size and duration, and that the program funded by the subgrant is of sufficient scope and quality, to carry out the purposes of this part effectively.
 - b. Has in place a State Plan for Educational Technology that meets all of the provisions of section 2413 of ESEA.
- d. Title III, Part A – English Language Acquisition, Language Enhancement, and Academic Achievement

Assurance that --

- a. Subgrantees will be required to use their subgrants to build their capacity to continue to provide high-quality language instruction educational programs for LEP students once the subgrants are no longer available.
- b. The State will consult with LEAs, education-related community groups and non-profit organizations, parents, teachers, school administrators, and researchers in developing annual measurable student achievement objectives for subgrantees.
- c. Each subgrantee will include in its plan a certification that all teachers in a Title III language instruction educational program for limited English

proficient children are fluent in English and any other language used for instruction.

- d. In awarding subgrants to eligible entities that have experienced a recent significant increase in the percentage or number of immigrant students, the State will equally consider eligible entities that have limited or no experience in serving immigrant children and youth, and consider the quality of each local plan.
- e. Subgrants will be of sufficient size and scope to support high-quality programs.
- f. Subgrantees will be required to provide for an annual reading or language arts assessment in English of all children who have been in the United States for three or more consecutive years.
- g. Subgrantees will be required to assess annually the English proficiency of all LEP children.
- h. A subgrantee plan will not be in violation of any State law, including State constitutional law, regarding the education of LEP children.
- i. Subgrantee evaluations will be used to determine and improve the effectiveness of subgrantee programs and activities.
- j. Subgrantee evaluations will include a description of the progress made by children in meeting State academic content and student academic achievement standards for each of the two years after these children no longer participate in a Title III language instruction educational program.
- k. A subgrantee that fails to make progress toward meeting annual measurable achievement objectives for two consecutive years will be required to develop an improvement plan that will ensure the subgrantee meets those objectives.
- l. Subgrantees will be required to provide the following information to parents of LEP children selected for participation in a language instruction educational program:
 - 1) How the program will meet the educational needs of their children;
 - 2) Their options to decline to enroll their children in that program or to choose another program, if available;
 - 3) If applicable, the failure of the subgrantee to make progress on the annual measurable achievement objectives for their children.
- m. In awarding subgrants, the State will address the needs of school systems of all sizes and in all geographic areas within the State, including school systems with urban and rural schools.
- e. Title IV, Part A – Safe and Drug-Free Schools and Communities

Assurance that --

- f. The State has developed a comprehensive plan for the use of funds by the State educational agency and the chief executive officer of the State to provide safe, orderly, and drug-free schools and communities through programs and activities that complement and support activities of local educational agencies under section 4115(b), that comply with the principles of effectiveness under

section 4115(a), and that otherwise are in accordance with the purpose of this part.

- g. Activities funded under this program will foster a safe and drug-free learning environment that supports academic achievement.
- h. The application was developed in consultation and coordination with appropriate State officials and others, including the chief executive officer, the chief State school officer, the head of the State alcohol and drug abuse agency, the heads of the State health and mental health agencies, the head of the State child welfare agency, the head of the State board of education, or their designees, and representatives of parents, students, and community-based organizations.
- i. Funds reserved under section 4112(a) will not duplicate the efforts of the State education agency and local educational agencies with regard to the provisions of school-based drug and violence prevention activities and that those funds will be used to serve populations not normally served by the State educational agencies and local educational agencies and populations that need special services, such as school dropouts, suspended and expelled students, youth in detention centers, runaway or homeless children and youth, and pregnant and parenting youth.
- j. The State will cooperate with, and assist, the Secretary in conducting data collection as required by section 4122.
- k. LEAs in the State will comply with the provisions of section 9501 pertaining to the participation of private school children and teachers in the programs and activities under this program.
- l. Funds under this program will be used to increase the level of State, local, and other non-Federal funds that would, in the absence of funds under this subpart, be made available for programs and activities authorized under this program, and in no case supplant such State, local, and other non-Federal funds.
- m. A needs assessment was conducted by the State for drug and violence prevention programs, which shall be based on ongoing State evaluation activities, including data on the incidence and prevalence of illegal drug use and violence among youth in schools and communities, including the age of onset, the perception of health risks, and the perception of social disapproval among such youth, the prevalence of protective factors, buffers, or assets and other variables in the school and community identified through scientifically based research.
- n. The State will develop and implement procedures for assessing and publicly reporting progress toward meeting the performance measures.
- o. The State application will be available for public review after submission of the application.
- p. Special outreach activities will be carried out by the SEA and the chief executive officer of the State to maximize the participation of community-based organizations of demonstrated effectiveness that provide services such as mentoring programs in low-income communities.

- q. Funds will be used by the SEA and the chief executive officer of the State to support, develop, and implement community-wide comprehensive drug and violence prevention planning and organizing activities.
- r. The State will develop a process for review of applications from local educational agencies that includes receiving input from parents.
- s. Title IV, Part B – 21st Century Community Learning Centers

Assure that the SEA will –

- a. Write the State application in consultation and coordination with appropriate State officials, including the chief State school officer, and other State agencies administering before and after school programs, the heads of the State health and mental health agencies or their designees, and representatives of teachers, parents, students, the business community, and community-based organizations.
- b. Award subgrants of not less than three years and not more than five years that are of not less than \$50,000 and of sufficient size and scope to support high quality, effective programs.
- c. Fund entities that propose to serve students who primarily attend schools eligible for schoolwide programs under section 1114 or schools that serve a high percentage of students from low-income families, and the families of such students.
- d. Require local applicants to submit a plan describing how community learning centers to be funded through this grant will continue after the grant period.
- e. Require local applicants to describe in their applications how the transportation needs of participating students will be addressed.
- t. Title V, Part A – Innovative Programs

Assure that --

- a. The State has set forth the allocation of funds required to implement section 5142 (participation of children enrolled in private schools).
- b. The State has made provision for timely public notice and public dissemination of the information concerning allocations of funds required to implement provisions for assistance to students attending private schools.
- c. Apart from providing technical and advisory assistance and monitoring compliance with this part, the SEA has not exercised, and will not exercise, any influence in the decision making processes of LEAs as to the expenditure made pursuant to the LEAs' application for program funds submitted under section 5133.

APPENDIX A

Application for Competitive Grants Under Title VI, Subpart I, Section 6112: Enhanced Assessment Instruments

Proficiency on State assessments required under Title I, Part A, of the ESEA is the primary indicator in the ESEA of student academic achievement and, hence, the primary measure of State success in meeting the goals of No Child Left Behind. In view of the critical importance of these State assessments, section 6111 provides formula grants to all SEAs, and section 6112 authorizes the Secretary to make competitive grant awards to State educational agencies (SEAs) to help them enhance the quality of assessment and accountability systems.

Purpose of Program: To enhance the quality of assessment instruments and systems used by States for measuring the achievement of all students.

Eligible Applicants: State Educational Agencies; Consortia of State Educational Agencies. An application from a consortium of SEAs must designate one SEA as the fiscal agent.

Estimated Available Funds: \$

Estimated Range of Awards: \$

Estimated Average Size of Awards: \$

Estimated Number of Awards:

(Note: The Department is not bound by these estimates. However, in no case will an award be less than the amount specified in §6113(2)(A)(ii) based on the State's enrollment of students ages 5-17.)

Project period: .

Statutory Reference: Public Law 107-110, The No Child Left Behind Act of 2001, §§6112-6113.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

Instructions

To apply for funds under this program, follow all instructions below, complete all items under the "Submission" section, and submit in time that materials are received by us no later than **TBD**. Since section 6112 is a competitive grant program, proposals will be reviewed by field readers and competed in the form in which they are received by the due date. Applicants will not have an additional opportunity to submit clarifications or amplifications or to respond to questions.

Applications for grants under this program may be submitted electronically or in paper format by mail or hand delivery.

Electronic Submission of Applications

Electronic submissions are encouraged. If you choose to submit your application electronically, you must use the Grants.gov Apply site at <http://www.Grants.gov>. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application.

You may not e-mail an electronic copy of a grant application to us. You may access the electronic grant application for the *Title VI - Enhanced Assessments Instruments Program* at: <http://www.grants.gov>. You must search for the downloadable application package for this program by the CFDA number (84.368).

Please note the following:

- Your participation in Grants.gov is voluntary.
- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are time and date stamped.

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

- The amount of time it can take to upload an application will vary depending on a variety of factors including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process through Grants.gov.
- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this program [competition] to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov at <http://e-Grants.ed.gov/help/GrantsgovSubmissionProcedures.pdf>
- To submit your application via Grants.gov, you must complete all of the steps in the Grants.gov registration process (see <http://www.Grants.gov/GetStarted>).

These steps include:

- (1) registering your organization,
- (2) registering yourself as an Authorized Organization Representative (AOR), and
- (3) getting authorized as an AOR by your organization.

Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see <http://www.grants.gov/assets/GrantsgovCoBrandBrochure8X11.pdf>). You also must provide on your application the same D-U-N-S Number used with this registration. Please note that the registration process may take five or more business days to complete, and you must have completed all registration steps to allow you to successfully submit an application via Grants.gov.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you submit your application in paper format.
- You may submit all documents electronically, including all information typically included on the Application for Federal Education Assistance (ED 424), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. If you choose to submit your application electronically, you must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified above or submit a password protected file, we will not review that material.
- Your electronic application must comply with any page limit requirements described in this notice.

- After you electronically submit your application, you will receive an automatic acknowledgment from Grants.gov that contains a Grants.gov tracking number. The Department will retrieve your application from Grants.gov and send you a second confirmation by e-mail that will include a PR/Award number (an ED-specified identifying number unique to your application).
- We may request that you provide us original signatures on forms at a later date.

If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically, or by hand delivery. You also may mail your application by following the mailing instructions as described elsewhere in this notice. If you submit an application after 4:30 p.m., Washington, DC time, on the deadline date, please contact the person listed elsewhere in this notice under For Further Information Contact, and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number (if available). We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your application by 4:30 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

Note: Extensions referred to in this section apply only to the unavailability of or technical problems with the Grants.gov system. We will not grant you an extension if you failed to fully register to submit your application to Grants.gov before the deadline date and time or if the technical problem you experienced is unrelated to the Grants.gov system.

Submission of Paper Applications by Mail

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

By mail through the U.S. Postal Service:

U.S. Department of Education
 Application Control Center
 Attention: (CFDA Number 84.368)
 400 Maryland Avenue, SW.
 Washington, DC 20202-4260
 or

By mail through a commercial carrier:

U.S. Department of Education
 Application Control Center – Stop 4260
 Attention: (CFDA Number 84.368)
 7100 Old Landover Road
 Landover, MD 20785-1506

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

- (1) A legibly dated U.S. Postal Service postmark,
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service,
- (3) A dated shipping label, invoice, or receipt from a commercial carrier, or

(4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

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

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

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

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

Submission of Paper Applications by Hand Delivery

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

U.S. Department of Education
Application Control Center
Attention: (CFDA Number **84.368**)
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

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

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

(1) You must indicate on the envelope and — if not provided by the Department — in Item 4 of the Application for Federal Education Assistance (ED 424) the CFDA number – and suffix letter, if any – of the competition under which you are submitting your application.

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

Absolute Priorities

Section 6112(a) requires that all funded applications demonstrate that States (or consortia of States) will –

1. Collaborate with institutions of higher education, other research institutions, or other organizations to improve the quality, validity, and reliability of State academic assessments beyond the requirements for the assessments described in section 1111(b)(3) of Title I, Part A;
2. Measure student academic achievement using multiple measures of student academic achievement from multiple sources;
3. Chart student progress over time; or
4. Evaluate student academic achievement through the development of comprehensive academic assessment instruments, such as performance and technology-based academic assessments.

Competitive Preferences

Enhancing assessment instruments so that they take into consideration alternatives for assessing students with disabilities and limited English proficient students is one of the pressing needs in the area of assessments. In addition, the complexity of improving assessments calls for collaborative efforts between and among states to yield approaches that can be adapted in varied contexts and for effective dissemination of results to increase the likelihood that the projects funded will contribute to ongoing State efforts to improve their assessment systems.

Toward those ends, the Secretary establishes the following competitive preferences and will award up to 35 points to an applicant based on how well its application meets the following preferences. These preference points will be in addition to points an applicant earns under the selection criteria.

1. Accommodations and alternate assessments. (20 points) Applications that can be expected to significantly advance practice in the area of increasing accessibility and validity of assessments of students with disabilities, particularly assessments aligned with modified academic achievement standards, or students with limited English proficiency, including strategies for test design, administration with accommodations, scoring and reporting.
2. Collaborative efforts. (10 points) Applications that are sponsored by a consortium of States.
3. Dissemination. (5 points) Applications that include an effective plan for dissemination of results.

Submission

Electronic submissions are encouraged. An applicant that submits a paper application must submit one original and four copies of its complete application. The application must include:

1. An indication in the List of Included Programs, (p. 9) of the State's Consolidated State Application that the SEA includes "Section 6112, Enhanced Assessment Instruments" as a program included in its Consolidated State Application. For an application from a consortium of States, this indication must be included in the Consolidated State Application of the SEA that will serve as fiscal agent. If a State does not so indicate when it submits its Consolidated Application June 12, 2002, but later (prior to September 15, 2002) decides to apply for funding under Section 6112, then an amended List of Included Programs for its State Consolidated Application must be submitted with the application for Section 6112 funds. Inclusion of Section 6112 in this checklist indicates that the state agrees that the assurances made for the Consolidated State Application cover its activity under Section 6112.
2. A page that provides the following identifying information:
 - a. The program name and CFDA Number,
 - b. The name(s) of the applicant agency(ies),
 - c. The name of the agency that will serve as fiscal agent,
 - d. The DUNS number for the agency that will serve as fiscal agent,
 - e. The TIN for the agency that will serve as fiscal agent,
 - f. A descriptive title for the project,
 - g. The name and contact information for the project director, and

- h. The name, contact information, and signature of the responsible official for the agency that serves as fiscal agent.
- 3. A one-page abstract that gives an overview of the proposed project; its goals, purposes, and scope; its relationship, if any, to particular states' assessment systems; and any special features.
- 4. A program narrative that
 - a. Identifies which of the four absolute priorities is (are) met by the proposed project and describes how the project will meet such requirement(s).
 - b. If applicable, describes how the proposed project meets one or more of the competitive preferences,
 - c. Addresses each of the selection criteria, and
 - d. Is limited to no more than 40 pages using the following standards:
 - 1) Each "page" is 8.5" x 11" (on one side only) with one-inch margins (top, bottom, and sides)
 - 2) Double space (no more than 3 lines per vertical inch) and use a font no smaller than 10 point for all text in the application narrative, including titles, headings, footnotes, quotations, and captions as well as all text in charts, tables figures, and graphs.
 - 3) Your cover sheet, budget section (chart and narrative), assurances and certifications, response regarding research activities involving human subjects, GEPA 427 response, one-page abstract, personnel resumes, and letters of support are not included in the page limit; however, your responses to 4(a) – 4(c) must be included within the page limit.
 - 4) Our reviewers will not read any pages of your application that –
 - (a) Exceed the page limit if you apply these standards; or
 - (b) Exceed the equivalent of the page limit if you apply other standards.
- 5. A statement of whether any research activities involving human subjects are planned at any time during the proposed project period. Answer clearly "yes" or "no." If your answer is "yes," provide one of the following and the required accompanying narrative:
 - a. Exemption number(s); or
 - b. Assurance of compliance number, IRB approval date, and whether IRB conducted a full or expedited review. If your project will include research activities involving human subjects and has any activities that do not meet the exemption criteria, but you do not have an assurance of compliance, then so state. In this case, the applicant organization, by signature on the application, is declaring that it will comply with 34 CFR 97 within 30 days after a specific formal request from the designated ED official for the assurances and IRB certifications.

For an explanation of the required documentation for item 5, see the discussion that begins on the second page of instructions for Form 424, which is found at <http://www.ed.gov/fund/grant/apply/appforms/ed424.pdf> Do not use form 424, but base your response to item 5 above on the information in the instructions for this form.

For further information about the regulations governing research involving human subjects, see <http://www.ed.gov/about/offices/list/ocfo/humansub.html>

6. A description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted programs for students, teachers, and other program beneficiaries with special needs, as required by GEPA 427.
7. Budget information, using form ED-524. Attach the required budget narrative. [A fillable form is available at: <http://www.ed.gov/fund/grant/apply/appforms/ed524frmfill.pdf> and the instructions are at <http://www.ed.gov/fund/grant/apply/appforms/ed524ins.pdf>]

Selection Criteria

The Secretary will use the following selection criteria to evaluate applications under this competition. The maximum score for each criterion is indicated in parentheses with the criterion. The maximum score for all selection criteria is 100 points. The criteria are as follows:

1. Need (10 points)
 - a. The Secretary considers the need for the proposed project.
 - b. In determining the need for the proposed project, the Secretary considers the following factors:
 - i. The magnitude and severity of the problem to be addressed by the proposed project
 - ii. The extent to which the proposed project will provide services or otherwise address the needs of students at risk of educational failure
 - iii. The extent to which the proposed project will focus on serving or otherwise addressing the needs of disadvantaged individuals.
2. Scope (10 points)
 - a. The Secretary considers the scope of the proposed project.
 - b. In determining the scope of the proposed project, the Secretary considers the following factors:
 - i. The extent to which the goals, objectives, and indicators to be achieved by the proposed project are clearly specified and measurable.
 - ii. The extent to which the goals and objectives are sufficiently broad to be likely to result in significant change or improvement of one or more state assessment systems.
3. Significance (15 points)
 - a. The Secretary considers the significance of the proposed project.
 - b. In determining the significance of the proposed project, the Secretary considers the following factors:
 - i. The potential contribution of the proposed project to increased knowledge or understanding of educational problems, issues, or effective strategies.
 - ii. The potential contribution of the proposed project to the development and advancement of theory, knowledge, and practices in the field of study.
 - iii. The extent to which the proposed project is likely to yield findings that may be utilized by other appropriate agencies and organizations.

- iv. The extent to which the proposed project involves the development or demonstration of promising new strategies that build on, or are alternatives to, existing strategies.
4. Quality of Project Design (30 points)
- a. The Secretary considers the quality of the project design of the proposed project.
 - b. In determining the quality of the project design of the proposed project, the Secretary considers the following factors:
 - i. The extent to which there is a conceptual framework underlying the proposed research or demonstration activities and the quality of that framework.
 - ii. The quality of the proposed demonstration design and procedures for documenting project activities and results.
 - iii. The extent to which the design for implementing and evaluating the proposed project will result in information to guide possible replication of project activities or strategies, including information about the effectiveness of the approach or strategies employed by the project.
 - iv. The extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance.
 - v. The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice.
 - vi. The extent to which the proposed project represents an exceptional approach for meeting statutory purposes and requirements.
 - vii. The quality of the methodology to be employed by the proposed project.
5. Quality of the Management Plan (5 points)
- a. The Secretary considers the quality of the management plan for the proposed project.
 - b. In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:
 - i. The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines and milestones for accomplishing project tasks
 - ii. The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.
6. Quality of Project Personnel (10 points)
- a. The Secretary considers the quality of the personnel who will carry out the proposed project.
 - b. In determining the quality of the personnel who carry out the proposed project, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.
 - c. In addition, the Secretary considers the following factors:
 - i. The qualifications, including relevant training and experience, of the project director or principal investigator

- ii. The qualifications, including relevant training and experience, of key project personnel.
 - iii. The qualifications, including relevant training and experience of project consultants or subcontractors
- 7. Adequacy of Resources (10 points)
 - a. The Secretary considers the adequacy of resources for the proposed project.
 - b. In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:
 - i. The adequacy of support, including facilities, equipment, supplies, and other resources from the applicant organization or the lead applicant organization
 - ii. The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project.
 - iii. The extent to which the budget is adequate to support the proposed project.
- 8. Quality of Evaluation Plan (10 points)
 - a. The Secretary considers the quality of the evaluation plan for the proposed project.
 - b. In determining the quality of the evaluation plan for the proposed project, the Secretary considers the following factors:
 - i. The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project.
 - ii. The extent to which the methods of evaluation are appropriate to the context within which the project operates.
 - iii. The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.
 - iv. The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other situations.

For further information, please send email inquiries to: enhanced.assessment@ed.gov.