

**Quality Educators through Staff development and
Training across North Carolina:**

NC QUEST

Request for Proposals

Cycle VIII: Closing date December 15, 2009



The University of North Carolina
Division of University-School Programs
UNC Center for School Leadership Development
140 Friday Center Drive
Chapel Hill, NC 27517
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Table of Contents

- I. Background 3
- II. Scope of Grants to be Made by NC QUEST..... 4
- III. Determining Eligibility and Forming Partnerships 6
- IV. Guidelines for Preparing and Submitting Proposals 8
- V. Review Process and Announcement of Awards 11
- VI. Administrative Regulations for Grant Recipients 13
- Appendices 14

| Program Timeline | |
|-------------------------|--|
| September 15, 2009 | Competition announced |
| September 30, 2009 | Technical assistance workshop |
| December 15, 2009 | Deadline for receipt of proposals |
| February 2010 | Award notification |
| March 1, 2010 | Start date for new awards |
| September 30, 2011 | End date for project activities requiring funds from grant |

NC QUEST is a program of subgrants awarded by the US Department of Education through state agencies of higher education (SAHEs) to eligible educational partnerships, under the *No Child Left Behind Act* {Title II-A, Subpart 3}, US Dept. of Ed Award # S367B060048.

I. Background

1.1 Authorizing Legislation

In January 2002, the No Child Left Behind Act (NCLB) was signed into law, reauthorizing the Elementary and Secondary Education Act (ESEA) of 1965.¹ *No Child Left Behind* has ushered in many changes, not the least of which is the revised “Title II,” which places major emphasis on teacher quality as a factor in improving student achievement.² Comprised of four major initiatives, Title II focuses on preparing, training, and recruiting **HIGHLY QUALIFIED TEACHERS**,³ **PARAPROFESSIONALS**, and **PRINCIPALS** and requires States to develop plans with annual measurable objectives that will ensure that all teachers teaching in **CORE ACADEMIC SUBJECTS** are highly qualified by the end of the 2005-2006 school year. (Terms in **bold** are defined in Appendix C according to the standards of NCLB. Applicants are encouraged to read these carefully and apply them in project design.)

Title II-A, “Improving Teacher Quality State Grants,” the first of the Title II programs, aims to increase the academic achievement of all students by helping schools and school districts improve teacher and principal quality and ensure that all teachers are highly qualified. This new program replaces the previous requirement to focus on professional development for mathematics and science (i.e., the Eisenhower Program) in favor of support for **HIGH QUALITY PROFESSIONAL DEVELOPMENT** across all core academic subjects. The importance of math and science remains a high priority, but many other activities are now allowed as well. For the first time, States and local educational agencies (LEAs) are required to ensure that their strategies and funded activities are grounded in **SCIENTIFICALLY BASED RESEARCH** so that students benefit from teaching practices and methods that are based on what is known to work.

Title II-A provides funds to State educational agencies (SEAs), local educational agencies (LEAs), and state agencies for higher education (SAHEs) on a formula basis, as follows:

- (Subpart 1) 95% to LEAs (distributed through the SEA) to support teacher and principal quality improvement;
- (Subpart 2) 2.5%, to SEAs, for similar purposes, but on a statewide scale;
- (Subpart 3) 2.5% to SAHEs, to award competitive grants to **ELIGIBLE PARTNERSHIPS** comprised of, at minimum, an **INSTITUTION OF HIGHER EDUCATION** (IHE) (including representation from both the division responsible for teacher preparation as well as at least one department from the **ARTS AND SCIENCES**), and one or more **HIGH-NEED LEAs**, or **CHARTER SCHOOLS**.

1.2 NC’s SAHE-sponsored Competitive Grants to Partnerships Program (NC QUEST)

To obtain ESEA funds [Section 9302], the North Carolina Department of Public Instruction submitted a “state consolidated plan” on June 12, 2002 to the US Department of Education. Development of NC’s plan involved many DPI administrators and staff, with input from the Governor’s Office and professional associations throughout the state.⁴ The plan sets five performance goals (with indicators and targets) with regard to the entire act, including Performance Goal #3, which is consistent with ESEA’s new Title II mandate and states that “By 2005-06, all students will be taught by highly qualified teachers.” (See Appendix A for relevant excerpts from the plan.)

¹ Please refer to US Department of Education, Office of Elementary and Secondary Education, No Child Left Behind: A Desktop Reference, available at <http://www.ed.gov/admins/lead/account/nclbreference/index.html?src=nr>

² Much of the text in this RFP is excerpted or adapted from the document, No Child Left Behind. Improving Teacher Quality State Grants. Title II, Part A, Non-Regulatory Guidance, issued August 3, 2005 by the US Department of Education, Office of Elementary and Secondary Education.

³ Terms in bold are defined in Appendix C as they are used in the No Child Left Behind Act.

⁴ 2004 State Consolidated Plan (NCLB) for North Carolina, June 3, 2004.
<http://www.ncpublicschools.org/docs/nclb/federal/consolidated/20040703application.pdf>

As part of NC's 2009-11 appropriations under the act, the US Department of Education directly allocated over \$1.6 million to NC's SAHE to make awards, through a competitive statewide "subgranting" process, to eligible IHE-LEA partnerships for quality professional development. In response, the University of North Carolina, through its Division of University-School Programs and Center for School Leadership Development, and in partnership with the NC Department of Public Instruction, is issuing this request for proposals, entitled **N**orth **C**arolina **Q**uality **E**ducators through **S**taff development and **T**raining, or "NC QUEST."

The collective goal of all Title II, Part A funds is to support professional development activities in core academic subjects to ensure that highly qualified teachers, paraprofessionals, and principals have subject matter knowledge in 1) the academic subjects they teach and 2) computer-related technology to enhance instruction. However, the legislation provides latitude to SAHEs to establish competitive priorities within the overall framework of Title II-A that meet the specific needs they deem most critical to their state and that are consistent with the state's consolidated plan.

II. Scope of Grants to be Made by NC QUEST

2.1 Overall Goal of Title II-A⁵

As stated in the ESEA "Improving Teacher Quality State Grants" Guidelines, the goal of partnership grants nationwide is to support:

- 1) Professional development activities in core academic subjects to ensure that:
 - Teachers and highly qualified paraprofessionals (and, when appropriate, principals) have subject matter knowledge in the academic subjects that the teachers teach (including knowledge of how to use computers and other technology to enhance student learning); and
 - Principals have the instructional leadership skills to help them work more effectively with teachers to help students master core academic subjects.
- 2) Development and provision of assistance to LEAs and to their teachers, highly qualified paraprofessionals, or school principals, in providing sustained, high-quality professional development activities that:
 - Ensure that those individuals can use challenging State academic content standards, student academic achievement standards, and State assessments to improve instructional practices and student academic achievement;
 - May include intensive programs designed to prepare individuals to provide instruction related to the professional development described in the preceding paragraph to others in their schools; and
 - May include activities of partnerships between one or more LEAs, one or more of the LEAs' schools, and one or more IHEs for the purpose of improving teaching and learning at **LOW-PERFORMING SCHOOLS**.

⁵ The law requires any partnership receiving both a subgrant from a SAHE and an award under the *Partnership Program for Improving Teacher Preparation* in Section 203 of Title II of the Higher Education Act (HEA) to coordinate activities conducted under the two awards.

2.2 Specific Priorities of Competition

NC QUEST seeks applicants who focus the development and delivery of scientifically-based professional development programs, within the framework in 2.1 above, on one or more of three areas of critical need in North Carolina:

- 1) Assisting K-12 teachers to become highly qualified, appropriately licensed, highly knowledgeable about and pedagogically skilled in effectively instructing students in literacy.
- 2) Assisting K-12 teachers to become highly qualified, appropriately licensed, highly knowledgeable about and pedagogically skilled in effectively instructing students in mathematics.
- 3) Assisting K-12 teachers to become highly qualified, appropriately licensed, highly knowledgeable about and pedagogically skilled in effectively instructing students in science.

Each proposal, regardless of content area, must incorporate both of the following two professional development “threads”:

a) provision of instructional interventions for low-performing students, and b) utilization of teacher leaders in sharing acquired instructional skills with other faculty.

The review process will be based on quantitative and qualitative assessment. Applicants will have the opportunity to receive points within the proposal element section based on how well they make a case for the need for the project and their particular project focus, as well as the thread (see Section V, Need and Project Design, for further detail). Applicants may synthesize activities from two or more priorities, but they must make a compelling argument for how the integration of activities to meet these needs is a more effective strategy than a focus on one area.

2.3 Expected Quality of Professional Development Activities

According to the ESEA, effective teacher professional development is more than just coursework designed to fill a state or district requirement. It is a set of activities that produces a demonstrable and measurable effect on student academic achievement. ESEA emphasizes that it must be grounded in scientifically based research, which involves the application of rigorous, systematic, and objective procedures to obtain reliable and valid knowledge relevant to education activities and programs.⁶ Those designing and implementing professional development activities need to ensure that they adhere to ESEA principles 34 (A)—“that professional development improve and increase teachers’ knowledge of the academic subjects that the teachers teach, and enable teachers to become highly qualified,” and “are an integral part of broad school-wide and district-wide educational improvement plans.”

Professional development activities should not consist of one-day or short-term workshops or conferences held for a high volume of participants. Rather, applicants should structure an intensive instructional experience (aiming for 15-20 days over a calendar year) for a smaller number of participants (maximum 30). Funds may be used to pay the costs associated with short-term workshops or conferences only if they are part of, and integral to, the professional development activities. A “professional development day” is expected to consist of six hours of instruction.

2.4 Other Significant Award Characteristics

Funding period. Awards will begin in March 2010. Applicants must set an end date no later than September 30, 2011. *Size and number of awards.* The total grant amount for Cycle VIII is \$1,681,795. The number of new awards may range from four to six, with award amounts ranging from \$100,000 to \$300,000 over the entire Cycle VIII period: Awards will also be made for continuation of Cycle VII grants with award amounts ranging from \$100,000 to \$150,000. Applicants for continuation funding must complete an application for Cycle VIII. Funding may not be carried forward from one cycle to the next, e.g. money from Cycle VII may not be used in a Cycle VIII continuation project.

⁶ Section 9101 (34) ESEA, as Amended by the [No Child Left Behind Act](http://www.ed.gov/policy/elsec/leg/esea02/pg107.html#sec9101).
<http://www.ed.gov/policy/elsec/leg/esea02/pg107.html#sec9101>

Facilities and administrative (F&A) costs. F&A charges (a.k.a. indirect costs) are allowable in accordance with the institution's federally negotiated rate agreement.

Cost-sharing. No cost-sharing is required. Applicants are discouraged from committing and itemizing any specific matching funds. Reviewers will be instructed not to consider committed funds in assessing the merit of proposals.

2.5 Limits on Institutional Applications and Awards

Management requirements. An IHE must serve as the awardee institution and therefore will be the lead fiscal agent. Each project must have at least one Project Director and at least two Co-Directors. The Project Director must either be employed by a college/school/department of education at the lead IHE or by a department from its college of arts and sciences. The lead IHE must list a Co-Director from whichever of those divisions just mentioned that is not the department/division of the Project Director. Each partnering agency must designate one person to serve as its Project Co-Director, who will serve as the lead representative for that agency in the partnership. Refer to Section IV for more details about management requirements.

Institutional limits. Only one new proposal may be submitted per IHE where that IHE serves as the awardee institution. Faculty serving as Project Director or Co-Director from the lead IHE or any partnering agency may not serve in a directorial capacity on another proposal. Otherwise, there is no limit as to how many proposals IHE faculty may participate in, nor is there a limit on how many partnerships high-need LEAs, charter schools, or other agencies may enter at the proposal stage. However, applicants are advised to fully communicate with all of their project partners to avoid the submission of proposals where high-need LEAs and charter schools are involved in proposed activities that duplicate each other or are otherwise uncoordinated.

2.6 Contact Information and Technical Assistance Workshop

Contact Information. NC QUEST will be managed out of the UNC Division of University-School Programs. Please visit the program web site at <http://ncquest.northcarolina.edu> for program updates and selected links and resources to assist in completing your application. For technical questions regarding program design and project focus please contact Dr. Mike Williams at mwilliams@northcarolina.edu or Alisa Chapman at chapman@northcarolina.edu. For budget and administrative matters, please contact Ms. Sarah Smith, The University of North Carolina's Office of Research and Sponsored Programs, at smsmith@northcarolina.edu.

Technical Assistance Workshop. A workshop to review the RFP, answer questions, and discuss applicant plans will be held on September 30, 2009, at UNC-CSLD. Attendance is encouraged.

III. Determining Eligibility and Forming Partnerships

3.1 Partnership Requirement

Eligibility is limited to partnerships that are at minimum comprised of (1) a private or public institution of higher education and the division of the institution that prepares teachers and principals; (2) a school of arts and sciences; and (3) a "high-need LEA" or "high-need charter school" (see 3.3 below). (NOTE: It is important for IHEs to be aware of other grant-funded projects in their service area/university that may address the same priorities so there will not be duplication of efforts.)

An eligible partnership may also include, as an additional partner, another high-need LEA, another high-need charter school, a low-performing charter school, a low-performing elementary school or secondary school in a non-high-need LEA, an educational service agency, a nonprofit educational organization, another IHE, a school of arts and sciences within that

IHE, the division of that IHE that prepares teachers and principals, a community college, a nonprofit cultural organization, an entity carrying out a pre-kindergarten program, an education organization, or a business.

All of NC's LEAs and charter schools (including those to be designated high-need) are being notified of this request for proposals as well as all of NC's public and private IHEs with accredited teacher education programs. It is expected that any number of agencies or institutions may take the initiative in calling upon or building partnerships for the purpose of submitting this proposal. However, the official "awardee institution," which will serve as the lead fiscal agent in the partnership, must be one IHE.

3.2 Eligibility of IHEs

The Higher Education Act [HEA, Section 101(a)] defines an "institution of higher education" as an educational institution in any State that:

1. Admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such a certificate;
2. Is legally authorized within such State to provide a program of education beyond secondary education;
3. Provides an educational program for which the institution awards a bachelor's degree or provides not less than a 2-year program that is acceptable for full credit toward such a degree;
4. Is a public or other nonprofit institution; and
5. Is accredited by a nationally recognized accrediting agency or association or, if not so accredited, is an institution that has been granted preaccreditation status by such an agency or association that has been recognized by the Secretary for the granting of preaccreditation status, and the Secretary has determined that there is a satisfactory assurance that the institution will meet the accreditation standards of such an agency or association within a reasonable time.

3.3 Eligibility of and Guidelines Governing Participation of LEAs and Charter Schools

A high-need LEA is defined as an LEA:

- (A) (i) that serves not fewer than 10,000 children from families with incomes below the poverty line; or
(ii) for which not less than 20 percent of the children served by the agency are from families with incomes below the poverty line; and
- (B) (i) for which there is a high percentage of teachers not teaching in the academic subjects or grade levels that the teachers were trained to teach; or
(ii) for which there is a high percentage of teachers with emergency, provisional, or temporary certification or licensing. [Section 2102]

A high-need charter school is defined as a public charter school:

- (A) for which not less than 20% of the children enrolled are from families with incomes below the poverty line as determined by NCDPI equated from free lunch; and
- (B) for which there is a high percentage of teachers with emergency, provisional, or temporary certification or licensing.

As of the publication date of this Request for Proposals, a list of North Carolina's high-need LEAs and high-need charter schools will be posted to the program web site (<http://ncquest.northcarolina.edu>).

Low-performing schools in other LEAs. As long as a high-need LEA or charter school is a principal partner, low-performing schools in districts that do not meet the definition of "high need" may serve as additional partners [Section 2131(1)(B)], and their teachers and principals may participate in the project.

Public charter schools. A non-high-need public charter school would need to be an additional member of an otherwise eligible partnership in order to participate.

Private schools. Private school teachers and principals are eligible to participate in the *Improving Teacher Quality State Grants* program to the extent that the LEA uses funds to provide for professional development for teachers and others. In keeping with ESEA Title IX, partnerships must ensure that services are offered on an equitable basis to public and private school teachers [Section 9501(a)].

The requirement for the equitable participation of private school teachers and other educational personnel applies only to the LEA's *Improving Teacher Quality State Grants* funds to the extent that the LEA uses these funds for professional development of its teachers and other staff. To determine what amount constitutes "equitable services" and for much greater detail on this issue, please refer directly to the Highly Qualified Teachers, Improving Teacher Quality State Grants, ESEA Title II Part A: Non-Regulatory Guidance at the URL provided in Appendix B.

Student teachers. Funds may be used to enable student teachers in schools included in the partnership to participate in professional development activities in the schools where they are teaching.

IV. Guidelines for Preparing and Submitting Proposals

NOTE: *Applicants for continuing funding must complete the application and include progress to date of projects from Cycle VII. (Funding may not be carried forward from one cycle to the next, e.g. money from Cycle VII may not be used in a Cycle VIII continuation project.)*

4.1 Formatting Requirements

Excluding the forms and appendices (identified in Section 4.2), the proposal narrative should be no more than 15 single spaced pages, 1 inch margins on all sides, using a font no less than 10 points. Pages must be numbered consecutively.

4.2 Contents of Proposal

- A. Cover page and statements of assurances,** signed by the awardee institution's authorized signatory or designated central sponsored programs office (use Form A and Forms B-1 and B-2, provided in Appendix D of this RFP and on the program web site).
- B. Letters of commitment** from each participating institution and agency, signed by its respective senior-most executive officer, e.g., the President, Chancellor, Superintendent, Chairperson, or Principal.
- C. Partner profile and collaborative history forms.** One Form C (which is provided here in Appendix D and on the program web site) should be completed and signed by each partner. The form completed by the awardee institution should include signatures of the Project Director, Project Co-Director, and the Chief Academic Officer (e.g. Provost or Vice President for Academic Affairs), not the Chief Executive Officer (e.g. Chancellor or President.) Forms completed by the remaining partners, irrespective of type of institution, should be signed by that partner's "Co-Director" only, in the column identified as "Co-Project Director."
- D. Project Summary (600 word limit, on separate page)** Please write an abstract suitable for use in announcement of awards, to include name of project and names of lead institution and project partners, focus area of professional development, a sentence justifying need for that intervention, anticipated number of participants to directly and indirectly benefit, and other project highlights.
- E. Narrative (15-page limit)**

- 1) Describe the need for your proposed project, citing relevant research literature and local, statewide, and national data to support your argument.
- 2) Identify the priority area (or areas) that your partnership will address, as well as any other elements as outlined in the Title II-A program purpose that your project entails.
- 3) Describe the process by which the lead institution and project partners, as a team, determined this need and planned the activities to be described later in the proposal. Highlight in particular the role of arts and sciences faculty in identifying this need and assisting in planning proposed activities.
- 4) List each specific goal that will be accomplished by your project, accompanied by measurable objectives for each goal. Be specific about how many individuals your project will directly serve and estimate the number of persons who will indirectly benefit from these activities.
- 5) Describe the activities to be conducted, organizing the discussion either according to or accompanied by a project timeline. If not already explained in Section 1, cite relevant scientifically-based research that underpins your project design. In addition, indicate how activities are tied to subject matter state content standards (where applicable) and how they will require participants to apply them in the classroom.
- 6) Using the excerpt from the State plan available in Appendix A, detail how you will align your proposed activities with existing and/or planned professional development activities at local and regional levels.
- 7) Describe how the partnership is structured and will be managed. Also describe the communication plan for the project indicating what steps will be taken to keep all partners informed and how findings and lessons learned will be incorporated into the project, mid-course if necessary. List the lead project personnel for each partner (no more than five per lead institution, including the project director and co-director; no more than two per partner institution, including the co-director) and include 1-2 sentences for each professional identifying their current role and their proposed role on the project.
- 8) Describe the institutional resources of the IHE and any of the project partners that will be used in implementing your project. As noted in Section II, *no cost-sharing is required* by applicants and should therefore *not* be itemized in the budget. However, applicants should detail the infrastructure (current or planned) within which activities will take place and should contextualize their project within related projects and programs, whether externally or internally funded, if they believe this will strengthen their case. Applicants should remember that the itemization/commitment of any matching funds will be disregarded in the evaluation of proposals.
- 9) Discuss the project evaluation plan, including how to obtain sustained feedback from participants and other school professionals about the quality of the professional development and the plan to assess the impact of program activities on student learning.
- 10) Provide up to a one-half page description of the total NC QUEST resources (budget) needed to complete this project.
- 11) List the works cited throughout your proposal.

F. Résumé. Provide resumés (no more than 2 pages each) for the awardee institution's Project Director and Co-Director and for each partner's Co-Director. Provide one-page biographical sketches for remaining senior personnel as listed in Narrative - Section 7. All documents in this section should include at minimum the individual's position,

institution, recent professional history, academic preparation and highlight their accomplishments and experiences that relate to the proposed project.

- G. Budget and budget justification.** One budget form should be completed for the lead IHE and one budget form should be completed for each partner, with a brief budget justification statement to accompany each form explaining the requested costs, by category. (Please use Form D in Appendix D of this RFP and duplicate as necessary.) In addition, the lead IHE should complete a Form D for the total project budget. It is only in the total project budget that Section F should be completed.

Allowable costs. Funds may be requested to support faculty and staff release time, summer salary, and benefits; participant support costs such as teacher stipends, tuition for graduate course credit, and subsistence for participants; the stipend and benefits of a graduate student; in-state travel expenses; travel expenses to national conferences (no international travel allowed) at which results directly related to the proposed activity will be presented; travel and subsistence for teacher-participants to workshops/conferences that will directly relate to the structured professional development in which they are engaging; materials and supplies to be used by teacher-participants and that will reside with the LEA post-award; consultant or other costs associated with project evaluation activities, and F&A (indirect costs) at the institution’s federally negotiated rate.

Rules from Title II-A. Section 2132(c) (the “special rule”) requires that no single participant in an eligible partnership, (i.e., no single high-need LEA or charter school, no single IHE and its division that prepares teachers and principals, no single school of arts and sciences, and no single other partner), may “use” more than 50 percent of the subgrant. The provision does not focus on which partner receives the funds, but which partner directly benefits from them. Please refer to the following examples provided by the Non-Regulatory Guidance to assist in allocating requests.

Example: Correct Use of Funds

Jefferson University, its College of Education, and its College of Arts and Sciences partner with the Lincoln high-need school district to provide professional development in instructional leadership for 20 principals. Jefferson University’s Grants Office receives **100%** of the Title II, Part A funds for the partnership. The Grants Office gives:

- the College of Education **25%** of the funds to use to pay its faculty to deliver professional development in instructional leadership methodologies for 20 principals at Lincoln school district;
- the College of Arts and Sciences **25%** of the funds to use to pay its faculty to deliver professional development content knowledge in instructional leadership for 20 principals at Lincoln School District;
- Lincoln School District **50%** of the funds to use to pay stipends for its principals to participate in the professional development offered by faculty from the College of Education and College of Arts and Sciences at Jefferson University.

In this example no partner uses more that 50% of the funds for its own benefit.

Example: Incorrect Use of Funds

Jefferson University, its College of Education, and its College of Arts and Sciences partner with the Lincoln high-need school district to provide professional development in instructional leadership for 20 principals. Jefferson University’s Grants Office receives **100%** of the Title II, Part A funds for the partnership. The Grants Office gives:

- the College of Education **10%** of the funds to use to pay its faculty to deliver a professional development summer course in instructional leadership methodologies for 20 principals at Lincoln school district;
- the College of Arts and Sciences **10%** of the funds to use to pay its faculty to deliver a professional development summer course in instructional leadership content knowledge for 20 principals at Lincoln school district;
- a mentor principal **10%** of the funds to work with the 20 Lincoln school district principals, in their buildings, applying what they learned in the professional development summer courses;
- Lincoln school district **70%** of the funds to pay tuition for the 20 principals to attend the professional development summer courses offered by the faculty from the College of Education and College of Arts and Sciences at Jefferson University.

In this example one partner uses more than 50% of the funds for its own benefit.

Other guidelines. Each partner budget sheet should reflect the full funding needed to support the activities of the partner. Specifically,

- Tuition assistance for a teacher’s professional development, if requested, may be budgeted by the LEA partner that employs the teacher or the IHE, at the partnership’s discretion. Tuition for assistance for participating teachers counts toward the “50%” rule.
- Costs associated with developing professional development materials, IHE faculty time, and other expenses that the IHE incurs to conduct the professional development should be budgeted by the IHE and appear on their budget form.
- When IHE faculty members receive “release time” to serve LEAs, their salaries should be budgeted by the specific IHE partner. If a full-time faculty member is on a 9- or 10-month contract, summer faculty salary in service of the LEA may either be budgeted by the LEA or by the IHE in question, at the partnership’s discretion.
- Funds used to pay salaries of mentor teachers should be budgeted by the LEA, if those individuals are working at, or for, the LEA.
- The cost of IHE employees traveling to LEA sites should be budgeted by the LEA partner.
- F&A should be budgeted according to each participating partner’s approved and current federally negotiated rate.

4.3 Submitting Application

Please submit the completed proposal, to include items A-G detailed in 4.2 above, in the order in which they are listed (see checklist). Do not include any other materials except those allowed according to form instructions. Proposals that exceed the 15 page maximum of the narrative, are incomplete, include extraneous materials, or fall outside the scope of the priorities established by NC QUEST, will not be reviewed.

Proposals should be submitted electronically to: <http://ncquest.northcarolina.edu>. Electronic and paper copies of the proposals must be received no later than December 15, 2009. Late proposals will not be reviewed. Please submit one original, suitable for copying (unbound) to:

Patsy Long, Assistant to the NC QUEST Director
UNC Center for School Leadership Development
140 Friday Center Drive
Chapel Hill, NC 27517
(919) 843-4110

V. Review Process and Announcement of Awards

5.1 Review Process

NC QUEST is governed by Education Department General Administrative Regulations (EDGAR) (Sections 76.770 and 76.400(c) and by ESEA [Section 2132(a)] in reviewing and approving subgrant applications, ensuring an equitable and efficient process of review. Equitable geographic distribution will also be taken into consideration in the final awarding process. Reviewers will assign points to specific portions of the proposal as well as make holistic judgments about each proposal’s merit. The rating sheet will be similar to the following:

| Proposal Evaluation Worksheet for NC QUEST Reviewers | | |
|--|------------------|---|
| Proposal Element | Score/ Rating | Corresponding Sections of Application |
| I. Need. Is the argument for addressing the priority area grounded in evidence-based research literature and/or compelling local/regional data? How well does the partnership understand this critical need and seem to be committed to addressing it? | 25 pts | Narrative: 1-2,11; Form C |
| II. Project design. Is the project design clearly thought out, with clear goals and measurable objectives, and is it grounded in evidence-based research? | 30 pts | Narrative: 4-5 |
| III. Alignment. Is the project aligned with other activities locally or in the state? Is its curriculum aligned with statewide and national standards? | 15 pts | Narrative: 5-6 |
| IV. Strength and capacity of partnership. Do the partners demonstrate either a history of and/or clear capacity for successful collaboration? Is their management plan sound? Is the leadership qualified? Is there sufficient commitment from their respective institutions to facilitate successful project implementation? | 20 pts | Narrative: 3, 7, 8, Form C, letters of commitment, resumes |
| V. Evaluation. How feasible and appropriate is the applicant's plan to formatively and summatively evaluate activities? | 5 pts | Narrative: 9 |
| VI. Budget. Is the approach cost-effective without sacrificing quality? | 5 pts | Narrative: 10, Form D |
| What is the potential of this proposal to substantially improve the quality of performance of the participants it serves and help students achieve? | | Superior Excellent Good Fair Poor |
| <i>(To be completed after reviewing all proposals.)</i> How would you rate this proposal overall as compared to the others you have reviewed? | | Superior Excellent Good Fair Poor |
| Would you recommend funding this proposal? Please provide comments on the back of this page to help explain your decision. | | Yes Yes, with reservations Probably not No |

A panel of educational experts external to North Carolina will conduct a quantitative and qualitative review of the proposals. Reviewers may be drawn from a range of institutions, such as universities and colleges, LEAs, individual public and charter schools, businesses, non-profits, state agencies, professional organizations, and community colleges.

5.2 Announcement of Awards

We anticipate notifying all applicants of final award decisions in February 2010. Awards are subject to the availability of federal funds. Consistent with Federal Register Vol. 54, No. 153, Subpart B, Section 208.11(b)(3)(ii)(B), Rules and Regulations, decisions regarding proposal awards are considered final.

VI. Administrative Regulations for Grant Recipients

Awardees will be issued subagreements to contain all the details pertaining to the reporting period, audit requirements and other federal requirements. The Awardee IHE must establish written subagreements with the partner Local Education Agencies. The subagreements should flow to the LEA the appropriate federal terms and conditions, reporting and audit requirements. An awardee technical assistance meeting will be held to cover a variety of management issues, including programmatic and administrative questions. An email list is established to keep awardees notified of administrative regulations, assessment activities, and other updates, as well as to promote cross-fertilization of ideas and strategies throughout the project period.

An interim progress report will be required in December 2010, and a final report 75 days after the project end date. Awardees are subject to requirements to keep records to show their compliance with program requirements. Record keeping should permit an “audit trail” beginning with preparation of the application and should include records to support the application (Sections 76.730 and 76.731 of EDGAR). NC QUEST will monitor project progress and compliance through on-site visits, periodic reports, telephone/email communication, and awardee meetings. Generally speaking, subgrantees must keep records that fully show:

- The amount of funds under the grant or subgrant;
- How the grantee or subgrantee uses the funds;
- The total cost of project activities;
- Other records to facilitate an effective audit.

Appendix A: Excerpts from NC's Consolidated State Plan

Performance Goals (pp. 11-12)

1. All students will reach high standards, at a minimum attaining proficiency or better in reading and mathematics by 2013-2014.
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 and mathematics.
3. By 2005-06, all students will be taught by highly qualified teachers.
4. All students will be educated in learning environments that are safe, drug-free, and conducive to learning.
5. All students will graduate from high school.

Current Activities to Promote Quality Professional Development (p. 58)

Several activities are currently in place at the state level to promote quality professional development. All certified personnel employed in the public schools are required to renew their licenses every five years. To do this, they must complete 15 renewal hours of professional development activities. Local school systems must approve all activities used to fulfill these requirements. All teachers complete professional development/individual growth plans. These plans are to be updated on an annual basis and peer review of the plans is encouraged.

An *ad hoc* committee on teacher quality is developing a framework for professional development based on developmental levels (beginning, experienced, advanced, master) and the knowledge and skills (e.g., content knowledge, pedagogy, technology, unique learners, leadership, etc.) needed by quality professionals to meet the needs of all students. The framework will provide a context for planning professional development.

Staff within DPI have developed training materials and routinely conduct professional development activities for school personnel. These activities are conducted on state, regional, and local levels. They focus on a variety of topics including curriculum, instructional strategies, and assessment techniques.

The UNC Center for School Leadership Development is funded by the General Assembly to provide quality professional development programs for teachers and school administrators. A number of programs are housed within the Center. They include the Mathematics and Science Education Network, the Principal Fellows Program, the NC Model Teacher Education Consortium, NC TEACH and Learn NC, an affiliated program of UNC-CH. Through the Center's programs, public school personnel are provided opportunities for residential and on-site study. Additionally, programs are taken to school systems throughout the state.

Appendix B: Additional Resources

US Department of Education Resources

- No Child Left Behind web site: <http://www.ed.gov/policy/elsec/leg/esea02/index.html>
- US Department of Education, Office of Elementary and Secondary Education, No Child Left Behind: A Desktop Reference, 2002, available at: <http://www.ed.gov/admins/lead/account/nclbreference/page.html>
- Highly Qualified Teachers, Improving Teacher Quality State Grants. Title II, Part A, Non-Regulatory Guidance, recently issued (August 2005) by the US Department of Education, Office of Elementary and Secondary Education, available at <http://www.ed.gov/programs/teacherqual/guidance.pdf>
- Bringing Evidence-Driven Progress to Education: A Recommended Strategy for the U.S. Department of Education. Report of the Coalition for Evidence-Based Policy. November 2002, available at <http://www.excelgov.org/usermedia/images/uploads/PDFs/coalitionFinRpt.pdf>

North Carolina Resources

- NC QUEST web site: <http://ncquest.northcarolina.edu>
- UNC Center for School Leadership Development web site: <http://csld.northcarolina.edu>
- NC State Improvement Project; Improving Instruction for Exceptional Students: <http://www.ncsip.org/>
- NC Department of Public Instruction No Child Left Behind: <http://www.ncpublicschools.org/nclb/>
- NC Department of Public Instruction Program Areas/Resources: <http://www.ncpublicschools.org/dpilinks/>
- NC Department of Public Instruction, NC State Consolidated Plan: <http://www.ncpublicschools.org/docs/nclb/federal/consolidated/20040703application.pdf>

Appendix C: Definitions of Terms used in NCLB Legislation

ARTS AND SCIENCES

When referring to an organizational unit of an institution of higher education, any academic unit that offers one or more academic majors in disciplines or content areas corresponding to the academic subjects in which teachers teach; and B) when referring to a specific academic subject, the disciplines or content areas in which an academic major is offered by an organizational unit [*Title II, Part A, Section 2102(1)*].

CHARTER SCHOOL

The term “charter school” means a public school that:

1. In accordance with a specific State statute authorizing the granting of charters to schools, is exempt from significant State or local rules that inhibit the flexible operation and management of public schools, but not from any rules relating to the other requirements of this paragraph;
2. Is created by a developer as a public school, or is adapted by a developer from an existing public school, and is operated under public supervision and direction;
3. Operates in pursuit of a specific set of educational objectives determined by the school's developer and agreed to by the authorized public chartering agency;
4. Provides a program of elementary or secondary education, or both;
5. Is nonsectarian in its programs, admissions policies, employment practices, and all other operations, and is not affiliated with a sectarian school or religious institution;
6. Does not charge tuition;
7. Complies with the Age Discrimination Act of 1975, Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, and part B of the Individuals with Disabilities Education Act;
8. Is a school to which parents choose to send their children, and that admits students on the basis of a lottery, if more students apply for admission than can be accommodated;
9. Agrees to comply with the same Federal and State audit requirements as do other elementary schools and secondary schools in the State, unless such requirements are specifically waived for the purpose of this program;
10. Meets all applicable Federal, State, and local health and safety requirements;
11. Operates in accordance with State law; and
12. Has a written performance contract with the authorized public chartering agency in the State that includes a description of how student performance will be measured in charter schools pursuant to State assessments that are required of other schools and pursuant to any other assessments mutually agreeable to the authorized public chartering agency and the charter school [*Title II, Part A, Section 5210(1)*].

CORE ACADEMIC SUBJECTS

The term “core academic subjects means English, reading or language arts, mathematics, science, foreign languages, civics and government, economics, arts, history, and geography [*Title IX, Part A, Section 9101(11)*].

ELIGIBLE PARTNERSHIP

This term includes a private or State institution of higher education and the division of the institution that prepares teachers and principals; a school of arts and sciences; and a high-need local educational agency; and may include another LEA, a public charter school, an elementary school or secondary school, an educational service agency, a nonprofit educational organization, another institution of higher education, a school of arts and sciences within such an institution, the division of

such an institution that prepares teachers and principals, a nonprofit cultural organization, an entity carrying out a pre-kindergarten program, a teacher organization, a principal organization, or a business [Title II, Part A, Section 2131].

HIGH-NEED LEA

An LEA that serves not fewer than 10,000 children from families with incomes below the poverty line; or for which not less than 20 percent of the children served by the agency are from families with incomes below the poverty line; and for which there is a high percentage of teachers not teaching in the academic subjects or grade levels that the teachers were trained to teach; or for which there is a high percentage of teachers with emergency, provisional, or temporary certification or licensing [Title II, Part A, Section 2102(3)].

HIGHLY QUALIFIED TEACHER

1. When the term “highly qualified teacher” is used with respect to any public elementary school or secondary school teacher teaching in a State, it means that:
 - a. The teacher has obtained full State certification as a teacher (including certification obtained through alternative routes to certification) or passed the State teacher licensing examination, and holds a license to teach in such State, except that when the term is used with respect to any teacher teaching in a public charter school, the term means that the teacher meets the certification or licensing requirements set forth in the State's public charter school law (*see entry below for the definition of a highly qualified charter school teacher*); and
 - (i) The teacher has not had certification or licensure requirements waived on an emergency, temporary, or provisional basis.
2. When the term “highly qualified teacher” is used with respect to:
 - a. An elementary school teacher who is new to the profession, it means that the teacher has met the requirements of paragraph (a) above, and:
 - (i) Holds at least a bachelor's degree; and
 - (ii) Has demonstrated, by passing a rigorous State test, subject knowledge and teaching skills in reading, writing, mathematics, and other areas of the basic elementary school curriculum (which may consist of passing a State-required certification or licensing test or tests in reading, writing, mathematics, and other areas of basic elementary school curriculum); or
 - b. A middle school or secondary teacher who is new to the profession, it means that the teacher has met the requirements of paragraph (a) above, holds at least a bachelor's degree, and has demonstrated a high level of competency in each of the academic subjects in which the teacher teaches by:
 - (i) Passing a rigorous State academic subject test in each of the academic subjects in which the teacher teaches (which may consist of a passing level of performance on a State-required certification or licensing test or tests in each of the academic subjects in which the teacher teaches); or
 - (ii) Successful completion, in each of the academic subjects in which the teacher teaches, of an academic major, a graduate degree, coursework equivalent to an undergraduate academic major, or advanced certification or credentialing.
3. When the term “highly qualified teacher” is used with respect to an elementary, middle, or secondary school teacher who is not new to the profession, it means that the teacher has met the requirements of paragraph (a) above, holds at least a bachelor's degree, and:
 - a. Has met the applicable standard in the clauses of subparagraph (B), which includes an option for a test; or

- b. Demonstrates competency in all the academic subjects in which the teacher teaches based on a high objective uniform State standard of evaluation that:
 - (i) Is set by the State for both grade appropriate academic subject matter knowledge and teaching skills;
 - (ii) Is aligned with challenging State academic content and student academic achievement standards and developed in consultation with core content specialists, teachers, principals, and school administrators;
 - (iii) Provides objective, coherent information about the teacher's attainment of core content knowledge in the academic subjects in which a teacher teaches;
 - (iv) Is applied uniformly to all teachers in the same academic subject and the same grade level throughout the State;
 - (v) Takes into consideration, but not be based primarily on, the time the teacher has been teaching in the academic subject;
 - (vi) Is made available to the public upon request; and
 - (vii) May involve multiple, objective measures of teacher competency [*Title IX, Part A, Section 9101(23)*].

HIGHLY QUALIFIED CHARTER SCHOOL TEACHER

Charter school teachers who teach core academic subjects must comply with any provision in a State's charter school law regarding certification or licensure requirements. A teacher in a charter school does not have to be licensed or certified by the State if the State does not require such licensure or certification. However, teachers of core academic subjects in charter schools must meet the other requirements that apply to public school teachers, including holding a four-year college degree and demonstrating competency in the subject area in which they teach. (See definition above for information on how teachers can demonstrate subject area competence.)

LOW-PERFORMING SCHOOL

The term "low-performing school" means an elementary school or secondary school that is identified under Section 1116 of ESEA.

OUT-OF-FIELD TEACHER

A teacher who is teaching an academic subject or a grade level for which the teacher is not highly qualified [*Title II, Part A, Section 2102(5)*].

PARAPROFESSIONAL

A paraprofessional is an individual with instructional duties. Individuals who work solely in non-instructional roles, such as food service, cafeteria or playground supervision, personal care services, and non-instructional computer assistance are not considered to be paraprofessionals for Title I purposes.

PRINCIPAL

The term "principal" includes an assistant principal [*Title II, Part A, Section 2102(6)*].

PROFESSIONAL DEVELOPMENT [SECTION 9101(34)]

The term "professional development"

- 1) includes activities that:
 - a) Improve and increase teachers' knowledge of the academic subjects the teachers teach, and enable teachers to become highly qualified;

- b) Are an integral part of broad schoolwide and districtwide educational improvement plans;
 - c) Give teachers, principals, and administrators the knowledge and skills to provide students with the opportunity to meet challenging State academic content standards and student academic achievement standards;
 - d) Improve classroom management skills;
 - e) Are high quality, sustained, intensive, and classroom-focused in order to have a positive and lasting impact on classroom instruction and the teacher's performance in the classroom and are not 1-day or short-term workshops or conferences;
 - f) Support the recruiting, hiring, and training of highly qualified teachers, including teachers who became highly qualified through State and local alternative routes to certification;
 - g) Advance teacher understanding of effective instructional strategies that are:
 - i) Based on scientifically based research (except that this subclause shall not apply to activities carried out under Part D of Title II); and
 - ii) Strategies for improving student academic achievement or substantially increasing the knowledge and teaching skills of teachers; and
- 2) Are aligned with and directly related to:
 - i) State academic content standards, student academic achievement standards, and assessments; and
 - ii) The curricula and programs tied to the standards described in subclause (a) [except that this subclause shall not apply to activities described in clauses (ii) and (iii) of Section 2123(3)(B)];
 - 3) Are developed with extensive participation of teachers, principals, parents, and administrators of schools to be served under this Act;
 - 4) Are designed to give teachers of limited English proficient children, and other teachers and instructional staff, the knowledge and skills to provide instruction and appropriate language and academic support services to those children, including the appropriate use of curricula and assessments;
 - 5) To the extent appropriate, provide training for teachers and principals in the use of technology so that technology and technology applications are effectively used in the classroom to improve teaching and learning in the curricula and core academic subjects in which the teachers teach;
 - 6) As a whole, are regularly evaluated for their impact on increased teacher effectiveness and improved student academic achievement, with the findings of the evaluations used to improve the quality of professional development;
 - 7) Provide instruction in methods of teaching children with special needs;
 - 8) Include instruction in the use of data and assessments to inform and instruct classroom practice; and
 - 9) Include instruction in ways that teachers, principals, pupil services personnel, and school administrators may work more effectively with parents; and
 - 10) May include activities that:
 - a) Involve the forming of partnerships with institutions of higher education to establish school-based teacher training programs that provide prospective teachers and beginning teachers with an opportunity to work under the guidance of experienced teachers and college faculty;
 - b) Create programs to enable paraprofessionals (assisting teachers employed by a local educational agency receiving assistance under Part A of Title I) to obtain the education necessary for those paraprofessionals to become certified and licensed teachers; and

- c) Provide follow-up training to teachers who have participated in activities described in subparagraph (a) or another clause of this subparagraph that is designed to ensure that the knowledge and skills learned by the teachers are implemented in the classroom [*Title IX, Part A, Section 9101(34)*].

SCIENTIFICALLY BASED RESEARCH

The term “scientifically based research:”

1. Means research that involves the application of rigorous, systematic, and objective procedures to obtain reliable and valid knowledge relevant to education activities and programs; and
2. Includes research that-
 - a. Employs systematic, empirical methods that draw on observation or experiment;
 - b. Involves rigorous data analyses that are adequate to test the stated hypotheses and justify the general conclusions drawn;
 - c. Relies on measurements or observational methods that provide reliable and valid data across evaluators and observers, across multiple measurements and observations, and across studies by the same or different investigators;
 - d. Is evaluated using experimental or quasi-experimental designs in which individuals, entities, programs, or activities are assigned to different conditions and with appropriate controls to evaluate the effects of the condition of interest, with a preference for random-assignment experiments, or other designs to the extent that those designs contain within-condition or across-condition controls;
 - e. Ensures that experimental studies are presented in sufficient detail and clarity to allow for replication or, at a minimum, offer the opportunity to build systematically on their findings; and
 - f. Has been accepted by a peer-reviewed journal or approved by a panel of independent experts through a comparably rigorous, objective, and scientific review [*Title IX, Part A, Section 9101(37)*].

Appendix D. Forms



Form A: Application for NC QUEST, Cycle VIII [Underline the priority(ies) addressed by proposal: (1) Literacy, (2) Mathematics, (3) Science]

Project Title: _____

Start date: ___/___/2010 **End date:** ___/___/2011

Total Requested: \$ _____

1. Name and Address of Lead Institution

Legal Name _____

Address _____

City _____ County _____ State _____ Zip Code _____

2. Project Director from Lead Institution

Name _____ Title _____

Department and Address _____

City _____ State _____ Zip Code _____

Phone _____ E-mail _____

3. Co-Project Director from Lead Institution

Name _____ Title _____

Department and Address _____

City _____ State _____ Zip Code _____

Phone _____ E-mail _____

4. Partner Institutions

Name _____

Name _____

Name _____

Name _____

Name _____

Name _____

5. Assurances

1. Is the applicant delinquent on any federal debt?
____no ____yes (if yes, attach explanation on separate page)

2. a) Are any research activities involving human subjects planned at any time during the proposed project period?
____no ____yes

b) If yes, does applicant agree to comply with 34 CFR 97 (federal regulations for protection of human subjects) and to obtain necessary approvals through its Institutional Review Board if grant is awarded? ____yes
____no

3. Have the attached assurances (ED 80-0013) and US Department of Education Standard Form 424B been signed? ____yes ____no (if no, STOP; application cannot proceed)

Authorized Representative Information

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

Name of Institution's Authorized Representative (please print or write clearly) _____ Title _____

Campus Address _____

City _____ State _____ Zip Code _____ Phone _____ E-mail _____

Signature _____ Date _____

Instructions for Form A: Cover Sheet.

Priority. Underline the priority/priorities addressed by the proposal.

Project Title. Enter a descriptive title for the partnership project.

Start Date. Enter the beginning day and month for the project.

End Date. Enter the ending day and month for the project.

Total Requested. Enter the total amount requested by the entire partnership (the number that will appear on the lead institution's budget form, line 40). Round to the nearest dollar.

1. **Legal Name and Address.** Enter the legal name of the lead "awardee" institution and the name of the primary organizational unit (division, college, or department) that will undertake the activity.
2. **Project Director.** Provide the name, title, department, campus address, phone number, and e-mail address of the project director from the lead institution.
3. **Co-Project Director.** Provide the name, title, department, campus address, phone number, and e-mail address of the co-project director from the lead institution.
4. **Partner Institutions.** List the full names of up to six partner institutions, ensuring that the name used provides as much descriptive detail as possible. Applicants are not limited to six partners. However, applicants should note that sufficient justification must be made for the role of each partner in the narrative and that reviewers are more concerned with the quality of the collaboration than the quantity of partners.
5. **Assurances.**
 1. **Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. Please attach a detailed explanation. (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."
 2. **Human Subjects Research.**
 - a) Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. Proceed to 5 (3) "Assurances." **If Human Subjects Research.** Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if you believe the research will be exempt from the regulations for the protection of human subjects.
 - b) If Yes has been checked in (a), check Yes in (b) to indicate that applicant is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated UNC official. If the application is recommended/selected for funding, the designated UNC official will request that the applicant obtain the assurance within 60 days after the specific formal request.

Note about Institutional Review Board Approval. UNC and the US Department of Education do not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated UNC official will request that the applicant obtain and send the certification to UNC within 60 days after the formal request.

3. **Signature of attached assurances.** Ensure that assurances published by the US Department of Education and included in this application package (ED 80-0013— "Certifications Regarding Lobbying, Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements," and Standard Form 424 B "Assurances—Non-Construction Programs") have been signed by the authorized institutional representative of the lead institution and follow this cover sheet. If these are not signed and included, the application will not be reviewed.

Authorized Representative. This cover sheet must be signed by the authorized representative of the lead applicant, certifying the contents of the full proposal package. A copy of the governing body's authorization for this person to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, please enter the month, day, and four (4) digit year (e.g., 12/12/2001) in the date signed field.

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

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

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or

performing a public (Federal, State, or local) transaction or contract

under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

**DRUG-FREE WORKPLACE
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

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

| | |
|--|--|
| Name of Applicant | PR/Award Number and/or Project Name |
| Printed Name and Title of Authorized Representative | |
| Signature | Date |

ED 80-0013, 12/98

Form B, Part 2: Assurances. (Adopted for use in NC QUEST Application, Division of University-School Programs.)

ASSURANCES - NON-CONSTRUCTION PROGRAMS

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

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

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

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

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

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. "1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. "276a to 276a-7), the Copeland Act (40 U.S.C. "276c and 18 U.S.C. "874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. " 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. "1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. "7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of

endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. "1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. '470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. "469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. "2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. "4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, AAudits of States, Local Governments, and Non-Profit Organizations.@
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

| | |
|---|----------------|
| SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL | TITLE |
| APPLICANT ORGANIZATION | DATE SUBMITTED |

Standard Form 424B (Rev. 7-97)
 Authorized for Local Reproduction
 Prescribed by OMB Circular A-102



Form C: Partner Profile and Collaborative History Form (one form per partner)

Name of Institution _____ (check one) Lead: _____ Partner _____

1. Address of Institution

Address _____

City _____ County _____ State _____ Zip Code _____

2. Collaborative History (Please list one collaborative activity related to K-12 education between faculty/staff at your institution and other project partners, including—for lead applicant— between colleges of education and of arts and sciences at your own institution. You may use up to one additional page if necessary.)

3. Data to Establish LEA as High-Need (Per instructions in the RFP, provide data to substantiate any claim you are making that your LEA has been incorrectly omitted from the high-need LEA list. You may use up to one additional page if necessary.)

4. Project Director (lead institution only)

Name _____ Title _____

Department and Address _____

City _____ State _____ Zip _____

Phone _____ E-mail _____

Signature _____ Date _____

5. Co-Project Director (for lead institution or partners)

Name _____ Title _____

Department and Address _____

City _____ State _____ Zip _____

Phone _____ E-mail _____

Signature _____ Date _____

Certification by Institution's Chief Academic Officer (Lead Institution Use Only)

To the best of my knowledge, all information and data on this profile page are true and correct.

Name of Institution's Chief Academic Officer (please print or write clearly) _____ Title _____

Campus Address _____

Signature _____ Date _____

| Form D: Budget Summary (1 form for Each Partner & 1 form for Total Project Budget) | | | |
|---|---|------------------------|-------------------|
| 1 | Institution (type name below) Check one: ___Lead ___Partner ___Total Project | Requested Funds | Agency Use |
| 2 | Project Director (type name below and formal title) | | |
| 3 | A. Salary & Wages (e.g., Director, Co-Director, faculty, system staff, grad students) | | |
| 4 | a. | | |
| 5 | b. | | |
| 6 | c. | | |
| 7 | d. | | |
| 8 | e. | | |
| 9 | Total Personnel | | |
| 10 | B. Fringe Benefits (explain rate(s) and the basis for each rate in budget justification) | | |
| 11 | Total Fringe | | |
| 12 | C. Travel Costs for Project Personnel | | |
| 13 | a. In-state and Out-of-State Travel (_____in-state?) (_____out-of-state?) | | |
| 14 | Total Travel | | |
| 15 | D. Participant Support Costs (_____estimated number of participants over project) | | |
| 16 | a. Materials and books | | |
| 17 | b. Room and board | | |
| 18 | c. Travel | | |
| 19 | d. Fees (e.g. tuition) | | |
| 20 | e. Stipends | | |
| 21 | f. Other | | |
| 22 | Total Participant Support Costs | | |
| 23 | E. Other Direct Costs for Project Personnel | | |
| 24 | a. Computer technology | | |
| 25 | b. Books/published materials | | |
| 26 | c. Evaluation consulting | | |
| 27 | d. Technical support | | |
| 28 | e. Other (e.g., graduate student tuition; itemize in budget justification) | | |
| 29 | Total Other Direct Costs for Project Personnel | | |
| 30 | F. Subcontracts (Complete only on Form D for the Total Project) | | |
| 31 | a. Partner I | | |
| 32 | b. Partner II | | |
| 33 | c. Partner III | | |
| 34 | d. Partner IV | | |
| 35 | e. Partner V | | |
| 36 | f. Total Other Partner Subcontracts | | |
| 37 | Total Subcontract | | |
| 38 | G. Total Direct Costs | | |
| 39 | H. Total Facilities and Administrative Costs (state rates and bases in budget justification) | | |
| 40 | I. Total Project Costs | | |

Instructions for Completing Form D: Budget Summary and Budget Justification.

Budget Summary

Line 1. Type the name of the institution and indicate whether this form is for the lead (awardee) or a partner institution. One form must be completed for each institution or partner that wishes to receive funds under the proposal. One form must be completed for the total project budget.

Line 2. For the awardee institution, type the full name of the project director and his/her full title. For a partner institution, list the name and full title of the Co-Director.

A [Lines 3-9]. Salary and wages. List the name and brief title of up to five persons or groups of persons (e.g., graduate research assistants) for whom funds are requested. If there are more than five persons, then include the total request for the fifth and remaining persons on line (e) under “requested funds” and write “other” next to (e). List the total funds requested for personnel on line 9.

B [Lines 10-11]. Fringe benefits. List the total fringe benefits requested and the rate and basis upon which they are calculated. Explain if different rates and bases are used for different groups (e.g., graduate students) and provide those figures as well.

C [Lines 12-14]. List the total travel funds requested for all in-state and out-of-state travel requested for project personnel (to be distinguished from participants in professional development workshops). Specify on line 13 if this is for in-state or out-of-state or both.

D [Lines 15-22]. Participant support costs. The term participant refers to teachers or other personnel who are the target group for professional development. Indicate the number of participants on line 16 and itemize funds requested for them below. Funds that do not fall into a-e should be combined into Line 24 (f) “Other.” If tuition or fees for graduate credit will be budgeted with the LEA, they should be listed in this section on the LEA partner budget form. If tuition or fees for graduate credit will be budgeted with the IHE, they should be listed in this section on the IHE partner budget form.

E [Lines 23-29]. Other Direct Costs for Project Personnel. Partnerships may request funds for computer technology or other materials not classified under facilities and administrative costs that are critical to the project if each item is no more than \$5,000 each. It may be necessary to purchase certain books or published instructional booklets, which should be listed under line 25 (b). Outsourcing evaluation is not required, but funds requested for external evaluation (no more than 10% of direct costs) should be budgeted on line 26 (c). Technical support at an hourly, non-wage rate may be required for those partnerships developing on-line modules to support professional development, and should be itemized on line 27 (d). All other direct costs, including, for example, graduate student tuition, should be budgeted on line 28 (e).

F [Lines 30-37]. Subcontracts. Presumably, only the lead (awardee) institution will issue subcontracts, and thus partner institutions will leave this section blank. The awardee institution should name the partners to which it will issue subcontracts, beginning with the partner receiving the largest subaward. If number of partners exceeds lines available, they should be itemized in the budget justification.

H [Line 39]. Facilities and administrative costs. List the total allowable F&A costs on this line.

Budget Justification

Following each institution’s budget form, please attach a 1-2 page justification that addresses the following:

A. Salary and Wages. For each person listed, please note how the amount requested was derived (their base salary and their anticipated time commitment to the project.) Indicate if this is summer, academic year, or calendar year salary. Indicate if an inflationary factor has been included.

B. Fringe Benefits. Provide the rate and basis upon which fringe benefits requested are calculated. Explain if and why there are two or more different rates. Include graduate student health insurance in this figure if graduate research assistantships will be fully supported under a graduate enrollment plan.

C. Travel Costs for Project Personnel. Limited in-state travel for project personnel is permitted if it is integral to the project. We presume that out-of-state travel (such as to conferences) will only be budgeted for project personnel if they are to disseminate findings related to the project to professional audiences. Funds may be budgeted for travel between partner sites, particularly for the professional development days. Please indicate the mileage rate, number of miles anticipated to be traveled, and names of the sites, where possible. International travel is not an allowable expenditure.

D. Participant Support Costs. Please itemize the funds the institution named on this budget form is requesting for participant support costs, remembering the “special rule” of this competition. Partnering LEAs will probably itemize more on this page than the awardee (lead) institutions. Please specify the approximate number of participants, anticipated cost per materials/book and total, subsistence rates and number of days/nights for which accommodations may be requested, mileage for which reimbursement is requested, travel if it is a critical part of the professional development experience, graduate course tuition or fees for teacher participants and any other participant support costs that you anticipate.

E. Other Direct Costs for Project Personnel. Materials are defined as any item costing \$5,000 or less. This may include computer technology. Title to computer technology rests with the recipient to whom it is budgeted to further project goals. Other allowable materials might be requested to support the development of on-line professional development modules. If you are employing an external evaluator, please list their name and brief qualifications in this section of the budget justification. Itemize the number of hours for which they will be paid and the hourly rate. This rate should be reasonable and well within any guidelines established by the IHE.. Technical support, in the form of an hourly wage without benefits, may be requested to assist in the development of on-line materials. Please itemize the number of hours anticipated and the hourly wage. Explain any other funds requested for consulting. Finally, explain any funds for other direct costs that are requested, including graduate student tuition if it is an institutional requirement for graduate research assistantships.

F. Subcontracts. Awardee institutions should list subcontract totals from the other institution’s budget pages here. If the awardee institution at its discretion wishes to place budget justifications for each of the partner budget forms in this section of its budget justification, it may do so, instead of including them on separate pages behind each partner’s form.

H. Total Facilities and Administrative Costs. Each institution must list any F&A charged and the federally approved rate and the direct costs upon which it based, including any cap on subcontracts. Institutions may be asked to provide evidence of this rate before an award can be made.

Application Checklist – RFP Required Documents

Grant Title/Concept: _____

Lead IHE: _____

Contact Name: _____ Phone: _____ E-mail: _____

| | REQUIREMENT | COMMENTS |
|--|---|----------|
| FORMS/CONTENT OTHER THAN PROPOSAL NARRATIVE | | |
| | Form A – Cover sheet (1 total) – NOTE: Check Lead IHE Project Director and Co-Director – must have one from School of Education and one from Arts & Sciences | |
| | Form B-1 – Assurances (1 total) | |
| | Form B-2 – Assurances (1 total) | |
| | Form C – Partner profiles & collaborative history (1 for <u>each</u> partner) <ul style="list-style-type: none"> ▪ Awardee institution form: signed by Project Director, Project Co-Director, Chief Academic Officer ▪ Other partners’ form(s): signed by that partner’s “Co-Director” only, in the column identified as “Co-Project Director.” | |
| | Form D – Budget summaries (1 for <u>each</u> partner <u>AND</u> 1 for Total Project) <ul style="list-style-type: none"> ▪ Section F filled out only on the Total Project Budget ▪ Projects exceeding 12 months should include costs for the entirety of the project on one page and do not need to prepare a second page for the few months that will extend into a second year. | |
| | 1-2 Page Budget Justification (1 for <u>each</u> partner) – Explanation of costs | |
| | Resumé – each Project Director and Co-Director – no more than 2 pages each | |
| | 1-Page Biographical sketch – each remaining senior personnel as listed in Section 7 <ul style="list-style-type: none"> ▪ Must include the individual’s position and institution, recent professional history, and academic preparation. | |
| | Letter of commitment – (1 for <u>each</u> partner) <ul style="list-style-type: none"> ▪ Must be signed by the respective senior-most executive officer, e.g., the President, Chancellor, Superintendent, Chairperson, or Principal | |

(continued)

| REQUIREMENT | | COMMENTS |
|-------------------------|---|----------|
| PROJECT SUMMARY | | |
| | 600 words or less | |
| | Name of project | |
| | Names of lead institution and project partners <ul style="list-style-type: none"> ▪ Are all partners appropriate (e.g. awardee institution is 4-year IHE with accredited teacher education program, etc.)? | |
| | Focus area(s) of professional development <ul style="list-style-type: none"> ▪ Does proposal focus on at least one of priority areas as well as the two professional development “threads?” ▪ Does proposal focus on areas that are not priority areas? | |
| | Sentence justifying need for intervention | |
| | Anticipated number of participants to directly and indirectly benefit | |
| NARRATIVE FORMAT | | |
| | Does it meet formatting requirements? | |