

## COMMISSION FOR HIGHER EDUCATION

Thursday, September 12, 2013

**BUSINESS ITEM A-3:**                    **Release of 2013 Improving Teacher Quality Program Request for Proposals (RFP)**

**Staff Recommendation**

That the Commission authorize staff to release the *2013 Application for Competitive Grants under Indiana's Improving Teacher Quality Partnership Program (Public Law 107-110) CFDA 84.367A* and subsequently accept proposals to be funded.

**Background**

The Indiana Commission for Higher Education in cooperation with the Indiana Department of Education under the Title II, Part A, Teacher and Principal Training and Recruitment Fund provided by the United States Department of Education, is responsible for conducting a competitive Improving Teacher Quality state grant process to fund partnerships.

The program funds partnerships minimally comprised of a post-secondary school of education, a post-secondary school of arts and sciences and one or more "high need" k-12 schools and school corporations.

The partnership must use the funds to conduct professional development activities in core academic subjects in order to ensure highly qualified teachers, paraprofessionals, and principals have subject matter knowledge in the academic subjects they teach.

It is estimated that the Commission will receive \$966,000 to fund partnerships for 2013. The 2013 Request for Proposals has an anticipated release date of September 16, 2013. The deadline for proposals to be received by the Commission is October 16, 2013.

**Supporting Document**

*2013 Request for Proposals*



INDIANA COMMISSION  
*for*  
HIGHER EDUCATION



# IMPROVING TEACHER QUALITY PARTNERSHIP PROGRAM

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2013 REQUEST FOR PROPOSALS

## PROPOSAL SUBMISSION DEADLINE

All proposals must arrive at the Indiana Commission for  
Higher Education office by  
5 p.m. EST on Wednesday, October 16, 2013

Contact: Sara Appel  
Academic Programs Manager  
Indiana Commission for Higher Education  
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INDIANA COMMISSION  
for  
HIGHER EDUCATION

Dear Colleague:

Thank you for your interest in the *Improving Teacher Quality Partnership Program* administered by the Indiana Commission for Higher Education with funding from the U.S. Department of Education. This grant opportunity comes at a critical time in our state's effort to ensure that our teachers have the support and resources necessary to fully integrate Indiana's Academic Standards in the classroom. The 2013 *Improving Teacher Quality Partnership Program* will bring Indiana's colleges and universities together with the high-need school districts to support the professional development needs of teachers.

Through this program, the Commission will provide grants that support teacher quality as a major factor in improving student achievement. Eligible applicants for grants will include partnerships consisting of: (1) a department or school within an Indiana college or university responsible for teacher preparation, (2) a department or school within an Indiana college or university specific to the subject matter being addressed, and (3) a "high-need" local educational agency (LEA). The Indiana college or university partner must be the fiscal agent and official applicant for the grant. Eligible applicants may apply for an award for up to two years.

The package contains all the information, instructions, and forms that applicants will need to apply for a 2013 *Improving Teacher Quality Partnership Program* grant. Please review the entire package carefully before preparing your application and submitting it to the Indiana Commission for Higher Education. To help ensure that your package is complete, an application checklist has been provided in the package.

**Applications must be received no later than 5 p.m. on Wednesday, October 16, 2013.**

Again, thank you for your interest in the *Improving Teacher Quality Partnership Program* and your commitment to helping Indiana schools ensure that all of our students achieve to high standards.

Sincerely,

Teresa Lubbers  
Commissioner

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## DEFINITIONS AND ACRONYMS

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### Definitions

**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 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)].

**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)].

**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 Paraprofessional** - A paraprofessional who has not less than 2 years of: A) experience in a classroom; and B) post-secondary education or demonstrated competence in a field or academic subject for which there is a significant shortage of qualified teachers [Title II, Part A, Section 2102(4)].

**Highly Qualified Teacher** - 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 the teacher has not had certification or licensure requirements waived on an emergency, temporary, or provisional basis.
- B. When the term “highly qualified teacher” is used with respect to elementary school teacher who is new to the profession, it means that the teacher has met the requirements of paragraph A above, and:
  - holds at least a bachelor's degree; and
  - 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
- C. a middle school or secondary teacher who is new to the profession, 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:
    - 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

- 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.
- C. 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:
- has met the applicable standard in the clauses of subparagraph (B), which includes an option for a test; or
  - demonstrates competence in all the academic subjects in which the teacher teaches based on a high objective uniform State standard of evaluation that:
    - is set by the State for both grade appropriate academic subject matter knowledge and teaching skills;
    - 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;
    - provides objective, coherent information about the teacher's attainment of core content knowledge in the academic subjects in which a teacher teaches;
    - is applied uniformly to all teachers in the same academic subject and the same grade level throughout the State;
    - takes into consideration, but not be based primarily on, the time the teacher has been teaching in the academic subject;
    - is made available to the public upon request; and
    - may involve multiple, objective measures of teacher competency [Title IX, Part A, Section 9101(23)].

**High Quality Professional Development** - See the definition for “professional development.”

**Low-Performing School** - Means an elementary school or secondary school that is identified under Section 1116 of ESEA.

**Paraprofessional** - 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** - includes an assistant principal [Title II, Part A, Section 2102 (6)]

**Professional Development** - Includes activities that:

- improve and increase teachers' knowledge of the academic subjects the teachers teach, and enable teachers to become highly qualified;
- are an integral part of broad school wide and district wide educational improvement plans;
- 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;
- improve classroom management skills;
- 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;
- support the recruiting, hiring, and training of highly qualified teachers, including teachers who became highly qualified through State and local alternative routes to certification;
- advance teacher understanding of effective instructional strategies that are:

- based on scientifically based research (except that this sub-clause shall not apply to activities carried out under Part D of Title II); and
- strategies for improving student academic achievement or substantially increasing the knowledge and teaching skills of teachers;
- are aligned with and directly related to state academic content standards, student academic achievement standards, and assessments; and the curricula and programs tied to the standards described in sub-clause (a) [except that this sub-clause shall not apply to activities described in clauses (ii) and (iii) of Section 2123(3)(B)];
- are developed with extensive participation of teachers, principals, parents, and administrators of schools to be served under this Act;
- 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;
- 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;
- 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;
- provide instruction in methods of teaching children with special needs;
- include instruction in the use of data and assessments to inform and instruct classroom practice; and
- include instruction in ways that teachers, principals, pupil services personnel, and school administrators may work more effectively with parents; and may include activities that:
- 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;
- 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
- 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** - 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 includes research that:

- employs systematic, empirical methods that draw on observation or experiment;
- Involves rigorous data analyses that are adequate to test the stated hypotheses and justify the general conclusions drawn;
- 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;
- 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;
- 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

- 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)].

### Acronyms

**EDGAR** - Education Department General Administrative Regulations

**ESEA** - Elementary and Secondary Education Act of 1965

**ICHE** - Indiana Commission for Higher Education

**IDOE** - Indiana Department of Education

**IHE** - Institution of higher education. This includes both private and public institutions.

**LEA** - Local education agency. This may be a single public school, a public school district, or a consortium of public schools or districts.

**NCLB** - No Child Left Behind, the act that amended ESEA.

**NPO** - Non-Profit Organization; includes certain non-profit organizations, other than colleges and universities that offer professional development.

**RFP** - Request for proposal.

**SAE** - State agency for education. This is the state agency that is responsible for K-12 education. In Indiana, the SAE is the Indiana Department of Education.

**SAHE** - State agency for higher education. In Indiana, the SAHE is the Indiana Commission for Higher Education.

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# IMPROVING TEACHER QUALITY PARTNERSHP PROGRAM

2013 REQUEST FOR PROPOSALS

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## SECTION A: APPLICATION NARRATIVE

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### Background

The *Title II, Part A Improving Teacher Quality Partnership Program* operates under the federal legislation known as the *No Child Left Behind (NCLB) Act of 2001 (CFDA 84.367)* and represents the largest federal initiative that supports professional development projects for teachers and principals. The purpose of the *Improving Teacher Quality Partnership Program* is to increase the academic achievement of students by schools and districts improve K-12 teacher and principal quality and helping to ensure that all K-12 teachers are highly qualified. Through this legislation, state education agencies (SEA), local education agencies (LEA) and state agencies for higher education (SAHE) receive funds on a formula basis.

The Indiana Commission for Higher Education (ICHE) receives federal funds annually to administer a competitive grants program that benefits students and members of partnerships, with a focus on high-need school corporations and higher education institutions.

The ICHE will use Indiana's *Improving Teacher Quality Partnership Program* fund to focus on using practices grounded in scientifically-based research to prepare, train, and recruit high quality teachers and principals and ensure that all teachers teaching in core academic subjects are highly qualified.

### Objective

Partnerships must use the funds to conduct professional development activities in core academic subjects in order to ensure that highly qualified teachers, paraprofessionals and (if appropriate) principals have subject matter knowledge in the academic subjects they teach, or in computer-related technology to enhance instruction.

### Eligibility

Eligibility is limited to partnerships comprised at a minimum of an Indiana:

1. private or state institution of higher education and the division of the institution that prepares teachers and principals,
2. school of arts and sciences, and
3. high-need LEA (Elementary Secondary Education Act, Title II, Part A, Section 2131).

A high-need LEA is defined as one:

- (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% 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 (ESA, Title II, Part A, Section 2102).

### **Determining if a LEA Meets the High-Need Eligibility Requirement**

Use the following guidelines to establish whether a specific LEA is of high-need.

1. Income requirement for Part A:
  - a. Based on guidance from the U.S. Department of Education, the U.S. Census Bureau data must be used to determine the total number of children in poverty by school district. These data can be found on the U.S. Census Bureau website at <http://www.census.gov/did/www/saipe/data/interactive/#view=SchoolDistricts> . This site reports the number of children in poverty for every school district in the United States. Locate the file for Indiana data and find the LEA in question, and
2. Teacher Certification requirement for Part B:
  - a. School corporations with at least 5% of teachers teaching on an Indiana limited license will meet the Part B definition of a high-need LEA. Data on the number of limited licenses awarded to teachers by Indiana school corporations have been posted by the Indiana Department of Education Division of Professional Standards at <http://www.doe.in.gov/student-services/licensing>; and/or
  - b. Each LEA may be able to more clearly address Part B of the definition ad such information should be provided in your proposal narrative.

The following school districts meet both the poverty and teacher certification requirements for the FY 2013 program. ***All eligible partnerships must include a school from:***

- ⊕ Indianapolis Public Schools
- ⊕ Gary Community School Corporation
- ⊕ North White School Corporation
- ⊕ Randolph Central School Corporation
- ⊕ School City of East Chicago
- ⊕ School City of Hammond
- ⊕ South Bend Community School Corporation
- ⊕ Switzerland County School Corporation

The school districts listed below, and any school within these districts, are eligible for statutory partnership in FY 2013 of the ICHE *Improving Teacher Quality Partnership Program*. Please note that

federal data is subject to change. If awarded a multi-year project, the partner districts may remain partner districts, even if they are not listed in the following year's RFP as a high-need district.

- Adams Central Community Schools
- Alexandria Community School Corporation
- Anderson Community School Corporation
- Argos Community Schools
- Barr-Reave Community School Corporation
- Beech Grove City Schools
- Blackford County Schools
- Blue River Valley Schools
- C.A. Beard Memorial School Corporation
- Cannelton City Schools
- Caston School Corporation
- City of East Chicago School District
- City of East Chicago School District
- Clarksville Community School Corporation
- Clarksville Community School Corporation
- Cloverdale Community Schools
- Cloverdale Community Schools
- Concord Community Schools
- Crawford County Community School Corporation
- Crawfordsville Community Schools
- Crothersville Community Schools
- East Allen County Schools
- East Washington School Corporation
- Edinburgh Community School Corporation
- Elkhart Community Schools
- Elwood Community School Corporation
- Evansville-Vanderburgh School Corporation
- Fayette County School Corporation
- Fort Wayne Community Schools
- Frankfort Community Schools
- Gary Community School Corporation
- Goshen Community Schools
- Greensburg Community Schools
- Hammond School City
- Jay School Corporation
- Knox Community School Corporation
- Kokomo-Center Township Consolidated School Corporation
- Lafayette School Corporation
- Lake Ridge Schools
- Lake Station Community Schools
- Lawrence Township Metropolitan School District
- Logansport Community School Corporation
- Manchester Community Schools
- Marion Community Schools
- Medora Community School Corporation
- Merrillville Community School
- Michigan City Area Schools
- Mishawaka School City
- Mitchell Community Schools
- Muncie Community Schools
- Nettle Creek School Corporation
- New Castle Community School Corporation
- New Prairie United School Corporation
- North Daviess Community Schools
- North Judson-San Pierre School Corporation
- North Knox School Corporation
- North White School Corporation
- Northeastern Wayne Schools
- Oregon-Davis School Corporation
- Orleans Community Schools
- Paoli Community School Corporation
- Perry Township Metropolitan School District
- Peru Community Schools
- Pike Township Metropolitan School District
- Prairie Heights Community School Corporation
- Randolph Central School Corporation
- Randolph Eastern School Corporation
- Richmond Community School Corporation
- River Forest Community School Corporation
- Rochester Community School Corporation
- Rockville Community Schools
- Salem Community Schools
- Scott County School District 1
- Scott County School District 2
- Shelbyville Central Schools
- Shoals Community School Corporation
- South Adams Schools
- South Bend Community School Corporation
- South Ripley Community School Corporation
- Southwest Parke Community School Corporation
- Southwest School Corporation
- Speedway School Town
- Switzerland County School Corporation
- Taylor Community School Corporation
- Turkey Run Community School Corporation
- Union School Corporation
- Vigo County School Corporation
- Vincennes Community School Corporation
- Wabash City Schools
- Warren Township Metropolitan School District
- Washington Township Metropolitan School District
- Wayne Township Metropolitan School District
- West Noble School Corporation
- West Washington School Corporation
- Western Wayne Schools
- Westview School Corporation
- White River Valley School District
- Whiting School City

## **Participation of LEAs that Do Not Meet the High-Need Requirement**

In addition to the above three required partners, an eligible partnership also may include other Indiana LEAs (both high-need and not high-need) such as charter and private schools, an elementary or secondary school, an educational service agency, nonprofit educational organizations, other IHEs, schools of arts and sciences within the IHE, the division of the IHE that prepares teachers and principals, nonprofit cultural organizations, an entity carrying out a pre-kindergarten program, teacher organizations, principal organizations, or businesses (ESA, Title II, Part A, Section 2131).

### **Fiscal Agent of the Partnership**

An IHE must be the fiscal agent and official applicant of the partnership. While local schools/school districts are not eligible to apply directly for funds, IHEs may not receive an award without collaborating fully with LEAs. ICHE strongly encourages teachers and local school districts to initiate conversations with college and university faculty about proposal ideas and in-service needs.

### **Project Duration and Amount of Awards**

Proposed projects may last up to not to exceed twenty-four (24) months. The proposed projects are expected to include professional development that is sustained over a period of time. Projects offering short courses, workshops, or similar short duration activities, must also include follow-up activities as part of the project. Projects may have activities from January 1, 2014 through December 31, 2016.

The amount available for FY 2013 new projects in Indiana is approximately \$966,000. Large scope projects are encouraged. However, no one proposal will receive the total funds available.

### **Deadline**

Proposals are due on or before 5 p.m. EST, Wednesday, October 16, 2013. Proposals postmarked after October 16, 2013 will not be considered. Successful applicants will be notified that their proposals have been selected for funding on or before Wednesday, November 20, 2013.

### **Project Activities**

The ICHE must make awards of *Improving Teacher Quality Partnership Program* funds to support the following types of partnership activities to enhance student achievement in participating high-need LEAs:

1. Professional development activities in core academic subjects to ensure that teachers 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)
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:
  - a. 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;
  - b. 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
  - c. 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 (ESEA, Title II, Part A, Section 2134).

3. A proposal under this program must respond to the professional development needs of teachers in a specific school, school district, or group of schools as identified in the Local Improvement Plan of the participating LEA(s) partners.
4. Proposals must be the result of collaborative planning between the proposing IHE's school/department of education/teacher preparation as well as a school/department for the specific discipline(s) in which the professional development focuses and the high-need LEA. The provided Collaborative Agreement Form must be completed, signed, and included as part of a proposal in order to verify that cooperative planning has occurred and that one or more LEA(s) have entered into an agreement with the IHE. Each proposal must provide a list of those teachers who will or are anticipated to participate in the project.
5. Proposals must advance teacher understanding of effective instructional strategies that are rooted in "scientifically-based research."

Note: The law requires any partnership receiving both a sub-grant from the ICHE 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.

### Preferences

In accordance with the activities to be funded as listed above, preference will be given to proposed activities that meet ***at least one of the following*** focus areas for teachers, principals, and/or paraprofessionals:

1. intensive high quality professional development needs related to aligning classroom curricula with Indiana's Academic Standards and Indiana's Core Standards in English/Language Arts, Mathematics, Science, and/or Social Studies;
2. increasing the use of an applied approach to increase the interest and participation in the STEM disciplines (science, technology, engineering and mathematics) through project-based learning (i.e., Project Lead the Way);
3. engaging more students in rigorous science and mathematics courses and support the elimination of lower level mathematics and science classes such as Basic Math or General Math;
4. strategies to increase the "high achievement pipeline," including working with Advanced Placement, dual credit and International Baccalaureate teachers in core academic subject areas, so that more students have the opportunity to progress to and be successful in higher-level coursework;
5. aligning Indiana high school curricula with the first-year of study at Indiana's colleges and universities;
6. teaching of scientifically-based reading instruction; and
7. increasing the number of "highly-qualified" minority teachers and/or teachers of under-represented groups in Indiana schools.

All proposals must provide in-service training developed in close collaboration with teachers, principals, and, as appropriate, local school corporation staff (including teacher assistants, office staff, librarians, media and computer specialists and guidance counselors) to be considered for funding.

### Selection Criteria

The ICHE in collaboration with the Indiana Department of Education will select for funding under the *Improving Teacher Quality Partnership Program* those applicants that are of the highest overall quality.

In determining which applications to recommend for award, peer reviewers will assign each application up to 100 points using the following Selection Criteria. The relative weight for each criterion is indicated in parentheses. Each criterion also includes the factors the reviewers will consider in determining how well an application meets the criterion.

The Selection Criteria are drawn from the general criteria for competitive grants contained in Sections 34 CFR 75.209 and 75.210 of the Education Department General Administrative Regulations (EDGAR) in response to 34 CFR 76.400(c) and 76.770. Reviewers will use their professional judgment to assess the quality of each application against these criteria. In determining which applicants to select for funding, the Commission relies upon the reviewers' scores. However, the Commission may also use other pertinent information about an applicant, and has a responsibility under this program, to the extent practical, to ensure an equitable distribution of grants in all geographic areas within the state (ESEA, Title II, Part A, Section 2132).

Upon completing its review of proposals, the peer review team will make award recommendations to the *Improving Teacher Quality Partnership Program* Director.

Projects may not begin until:

1. they have been approved by the ICHE,
2. their budgets have been satisfactorily negotiated with ICHE staff, and
3. the ICHE's award contract has been signed by the appropriate institutional officer and returned to the ICHE. If due process procedures are invoked (see next Section), the ICHE's decisions and subsequent award contracts may be delayed.

#### **A. Need for the Project (10 points)**

In determining the need for the proposed project, the Commission considers:

- the status of the partner LEA as a high-needs LEA;
- the local or state needs being addressed and how these needs were determined;
- the extent to which K-12 teachers and planners, public and non-public, were involved in the selection of the problem(s) and the formulation of the solution(s);
- the magnitude of the need for the services to be provided or activities to be carried out by the proposed project;
- the extent to which proposed activities meet the needs identified in the participating LEA(s) Local Improvement Plan(s); and
- the extent to which the proposed project will prepare recipients to integrate Indiana's Academic Standards into classrooms of high-need LEAs.

#### **B. Quality of the Project (25 points)**

In determining the quality of the proposed project design, the Commission considers:

- the extent to which the program focuses on the preferred project activity areas for Indiana;
- the extent to which the program and programmatic activities are clearly defined;
- the extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable;
- the extent to which program operations are clearly defined (who will do what, when and where);
- the extent to which program participants are defined and selected;
- the number of teachers to be supported and the impact on classroom instruction;
- the extent to which specific dates and times of proposed project activities are defined;
- the number of days in which there will be interaction with participants;

- the extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of *Improving Teacher Quality Partnership Program* financial assistance;
- the extent to which the proposed project represents an exceptional approach for improving teacher quality;
- the extent to which the proposed project serves multiple school districts and/or geographic areas within the state; and
- the extent to which the proposed project is based on scientifically-based research.

**C. Quality of Project Services (20 points)**

In determining the quality of the services to be provided by the proposed project, the ICHE considers:

- the extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services;
- the extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services;
- the extent to which the training or professional development services to be provided by the proposed project are likely to ensure that recipients of those services will be highly qualified in the core academic subject taught by the recipients;
- the extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project services; and
- the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

**D. Quality of Project Personnel (10 points)**

In determining the quality of project personnel, the ICHE considers the qualifications, including relevant training and experience of:

- the project director;
- key project personnel; and
- project consultants or subcontractors.

**E. Adequacy of Resources (10 points)**

In determining the adequacy of resources for the proposed project, the ICHE considers:

- the adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization;
- the relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project; and
- the extent to which the costs are reasonable in relation to the number of persons to be served and to the anticipated results and benefits.

**F. Quality of the Management Plan (10 points)**

In determining the quality of the management plan for the proposed project, the ICHE considers:

- the adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks;

- the adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project; and
- the extent to which the time commitments of the project director and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.

**G. Quality of the Project Evaluation (15 points)**

In determining the quality of the project evaluation, the ICHE considers the extent to which the methods of evaluation:

- are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project;
- provide for examining the effectiveness of project implementation strategies; and
- include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.

**Due Process**

An applicant desiring an explanation of the decision not to recommend its proposal for funding must contact ICHE staff. Decisions regarding the relative merit of competing proposals are considered final. However, an institutional applicant who is dissatisfied with the review process may request a hearing. Such a request must be made in writing and received at the Commission office within ten days of the notification of a decision not to recommend. Hearings will be conducted before the Commissioner for Higher Education. Upon completion of the hearing, the Commissioner will consider all arguments and factor such information into the final award recommendations to the ICHE. The ICHE will consider the recommendations of the Commissioner and make all final award decisions.

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## SECTION B: BUDGET AND ACCOUNTABILITY REQUIREMENTS

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### Budget and Budget Summary

A detailed budget and a budget summary using the provided budget summary form are required. Each item must be justified for its contribution to the program. Budget categories include:

- salaries and fringe benefits for faculty and other instructional personnel;
- salaries and fringe benefits for student and teacher assistants;
- salaries and fringe benefits for clerical and other support personnel;
- participant support costs such as travel, subsistence, fees, and stipends;
- administrative costs;
- other instructional costs such as books, materials, supplies;
- contractual costs such as consultants and evaluators;
- indirect costs.

### Special Note

The law requires that no single participant in an eligible partnership, (i.e., no single high-need LEA, 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% of the sub-grant. The provision does not focus on which partner receives the funds, but which partner directly benefits from them.

### Example: Correct Use of Funds

Jefferson University, its College of Education, and 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 than 50% of the funds for its own benefit.

### Example: Incorrect Use of Funds

Jefferson University, its College of Education and College of Arts and Sciences will 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.

### Budget Limitations

A grant may pay either for participant tuition or for the direct instructional costs of program delivery. It cannot pay for both. Direct costs may include summer or released time salaries and fringe benefits for faculty and staff, participant stipends, participants' living costs, travel, supplies, and consultants' fees.

While it is not required, *Improving Teacher Quality Partnership Projects* may offer university undergraduate or graduate credit for participants. If credit is granted at no cost to the participants, then the awarding of participant stipends is not recommended.

### Use of Funds

- *Salaries and Wages (or tuition fees)*. These should be determined in accordance with institutional policies and regulations. For each project staff member, indicate how his/her salary or wages were derived. If tuition reimbursement is being requested rather than salaries, make note of this and list the cost in this column. Note: Salary expenses should not exceed 30 % of total budget.
- *Fringe Benefits*. These should also be consistent with institutional policies and regulations. Indicate each type of benefit (i.e. retirement, social security, and medical) separately.
- *Consultants*. The project narrative should include justification for the use of each consultant. In the budget narrative, explain the number of days each will assist the project and the amount to be paid per day, being mindful of the \$200/day guideline. Provide the name of each consultant, if possible.
- *Supplies and Expenses*. Identify each general category of expendable supplies and their estimated costs. Customary categories include printing, postage, classroom supplies, and software.
- *Equipment*. Small equipment-supply rental and/or purchase are permissible and must be essential to the specific in-service needs of the project. Small equipment-supply items must individually cost no more than \$500. Funds cannot be used to finance capital expenditures or office equipment. The LEAs participating in the project must retain equipment-supply items purchased with *Improving Teacher Quality Partnership Program* funds.
- *Travel*. Travel reimbursement should conform to institutional policies and regulations. If applicable, indicate the estimated number of in-state trips and mileage. Travel-related meals or other expenses should be itemized. Out-of-state travel will not be approved.
- *Participant Stipends*. The Commission will authorize stipends for teachers participating in *Improving Teacher Quality Partnership Program* in-service activities. Such stipends should be modest; for example, they might be based on what school corporations pay substitute teachers in order to release regular teachers for in-service programs. The recommended stipend is \$60/day (6-8 hours).
- *Other Direct Costs*. These should be itemized. Examples include space rental and computer time.

- *Indirect Costs.* Indirect cost for activities supported by *Improving Teacher Quality Partnership Program* funds should be calculated at a maximum of 8% for federal direct cost.

Excluded from payment are:

- Meals and refreshments for meetings
- Planning costs
- Individual capital equipment items costing more than \$500
- Salary payments for faculty and staff overload
- Registration/travel to conventions or professional meetings

### **Matching Funds**

In-kind and cash contributions from the LEA(s), the IHE(s), or other sources are generally expected to make up at least 10 % of the budget. Exceptions require special justification. Support and cooperation from local schools, professional organizations, and other projects is encouraged. Examples of such contributions and support include:

- local schools or one of the school districts sharing the cost of participant expenses, materials, or stipends,
- local schools providing for the cost of hiring substitutes while participants attend project activities,
- professional associations assuming the cost of a conference or a publication which disseminates information or materials from the project, and/or
- other agencies linking a complementary project with the one proposed for the *Improving Teacher Quality Partnership Program*.

Partial project sponsorship by industry or a not-for-profit group with education related objectives would be regarded favorably. Cooperative support from LEA ESEA Title II funding is especially encouraged and is expected in most cases.

### **Accountability Requirements**

A financial and project report is required within thirty (30) days of the end of the project period. The project report includes participant data and describes funded activities. Forms for the two reports will be provided to project directors.

The provisions of part 74 of the Education Department General Administrative Regulations (EDGAR) govern the use of funds provided to institutions of higher education and nonprofit organizations. Allowable costs are determined by the cost principle contained in the Office of Management and Budget (OMB Circular A-21 and A-122, respectively.) Institutions receiving Title II funds must submit to the Commission OMB circular A-133 audit reports for each fiscal year in which project activity occurs.

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## SECTION C: PROPOSAL INSTRUCTIONS AND FORMS

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The proposal must include the following eight parts in this order:

1. **Cover Page (Form A100)**

This part of the application consists of the standard application cover page to provide basic identifying information about the applicant and application. Use the form provided.

2. **Table of Contents**

3. **Collaborative Agreement (Form A101)**

This part of the application requires documentation regarding the eligibility of the partnership to receive a grant under this program. An eligible applicant must complete the provided Collaborative Agreement form and include a list of potential participants.

4. **Abstract**

The abstract must be one-page in length and include the objectives, intended outcomes of the proposed project and timeline for the project.

5. **Project Narrative**

This part of the application contains information describing the proposed project, responding to the Program's Selection Criteria, which is located on page 7 of this RFP. The narrative is limited to the equivalent of no more than 15 pages, using the following standards:

- A page is 8.5" x 11", with 1" margins at the top, bottom and both sides;
- Use a font that is either 11-point or larger with no smaller than 10 pitch (characters per inch);
- For charts/tables/graphs, use a font that is either 11-point or larger with no smaller than 10 pitch (characters per inch); and
- Use the headings provided in the Program's Selection Criteria (page 5 of this RFP) for each Section.

6. **Budgets and Budget Summary (Form A102 and A103)**

In order to be considered for funding, the applicant must provide the following:

- Budget summary using form provided (Form A102)
- A descriptive, itemized budget narrative that explains and justifies the requested amounts for individual cost categories.
- Use of Funds (Form A103)

7. **Personnel**

This part must include a brief vita (two-page maximum) for the director(s) and each of the instructional staff. Briefly discuss the qualifications of the project director(s) and faculty/staff for the project.

8. **Statements of Assurances**

In order to be considered for funding, the applicant must complete and sign all assurances and certifications that are provided. These include:

- Statement of Assurance (Form A104)
- Assurances – Non-Construction Programs (Standard Form 424B)
- Certifications Lobbying; Debarment; Suspension, and other Responsibility Matters; and Drug-Free Workplace Requirements (Form ED 80-0013)

- Certification Regarding Debarment; Suspension; Ineligibility Voluntary Exclusion-Lower Tier Covered Transactions (Form ED 80-0014)
- Disclosure of Lobbying Activity (Form SF-LLL)

(Note: Applicants who have previously applied for and/or received funds from the Math Science Partnership Grant Program must note it on their application.)



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## COLLABORATIVE AGREEMENT (FORM A101)

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The postsecondary institution hereby assures and certifies that the department/school of education and the discipline department/school on which this project focuses have collaborated in the development of this proposal. As such, the proposal reflects the ideas and expertise of both areas in order to provide high quality services to the participants of the proposed project.

1. Describe the collaborative planning, which has resulted in this application, giving meeting dates and participants' names. Indicate the school corporations/specific schools that participated in these meetings. Certify that collaboration will continue throughout the project duration.
  
2. Describe how the proposed in-service training will meet the needs of teachers in the corporations or consortia that are signatories to this agreement.
  
3. Describe how school corporation administrators will support all teachers participating in the project throughout its duration.
  
4. Describe the financial commitments that the LEA(s) is (are) making to the project.

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Name, Title, Organization/Corporation  
(Official of Partnering LEA)

Signature

Date

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Name, Title, Organization/Corporation  
(Official of Partnering School/Department of Education/Teacher Prep Program)

Signature

Date

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Name, Title, Organization/Corporation  
(Official of Partnering School/Department of Education/Teacher Prep Program)

Signature

Date

## BUDGET SUMMARY (FORM A102)

Project Title: \_\_\_\_\_

Lead Higher Education Institution: \_\_\_\_\_

	Title II Funds	Matching Funds/In-Kind Services	Total Project Expenses
Salaries:			
• Professional	\$	\$	\$
• Non-professional	\$	\$	\$
• Fringe Benefits	\$	\$	\$
Consultants	\$	\$	\$
Supplies	\$	\$	\$
Travel	\$	\$	\$
Equipment	\$	\$	\$
Participant Costs	\$	\$	\$
Other Direct Costs	\$	\$	\$
Indirect Costs	\$	\$	\$
<b>Total</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>

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## USE OF FUNDS (FORM A103)

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Federal law requires that no single participant in an eligible partnership, (i.e. no single high-need LEA, 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% of the sub-grant. The provision does not focus on which partner receives the funds, but which partner directly benefits from them. Please note below the percent of requested funds that will be used by each participant in the partnership. Please attach additional pages as needed.

IHE School/Department of Education or Teacher Prep Program: \_\_\_\_\_%  
Description:

IHE School of Arts and Sciences: \_\_\_\_\_%  
Description:

High-Need LEA: \_\_\_\_\_%  
Description:

Other Partner ( \_\_\_\_\_ ): \_\_\_\_\_%  
Description:

Other Partner ( \_\_\_\_\_ ): \_\_\_\_\_%  
Description:

**TOTAL:** **100%**

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## STATEMENT OF ASSURANCE (FORM A104)

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Participating institutions are required to provide assurances that all provisions of the law and its regulations have been complied with. Although each project's narrative should indicate how compliance has been built into project activities, compliance must also be affirmed in a document signed by an appropriate institutional officer assuring the Commission (and the U.S. Department of Education) that the items listed in the statement on the next page have indeed been incorporated into the project for which funds are sought.

The institution hereby assures and certifies that it will comply with all the regulations, policies, guidelines, and requirements as they relate to the acceptance, and use of funds for this federally funded project. The institution also assures and certifies that it will

1. keep such records and provide such information as may be necessary for fiscal and program auditing and for program evaluation and will provide the Commission or its designee any information it may need to carry out its responsibilities under the *No Child Left Behind Act*;
2. comply with all provisions of the *No Child Left Behind Act* and its implementing regulations and all administrative rules of the Commission applicable to the *No Child Left Behind Act*;
3. enter into formal agreement(s) with school corporations to be served by the proposed in- service training program; and
4. submit to the Indiana Commission for Higher Education an appropriate A-133 for the fiscal years covered by the project.

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Institution

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Name of Authorizing Official and Title

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Signature

Date

**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 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 (Clean Air) Implementation Plans under Section 176(c) of the Clean 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. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

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**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.

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**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.

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**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 judgement 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.

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**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.

\_\_\_\_\_

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

**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.

**Certification Regarding Debarment, Suspension, Ineligibility and  
Voluntary Exclusion — Lower Tier Covered Transactions**

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

**Instructions for Certification**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

**Certification**

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

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

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

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment.

Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

**According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.**

# DISCLOSURE OF LOBBYING ACTIVITIES

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

Approved by OMB  
0348-0046

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known:  Congressional District, if known:	<b>5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:</b>   Congressional District, if known:	
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b> \$ _____	
<b>10. a. Name and Address of Lobbying Registrant</b> (if individual, last name, first name, MI):	<b>b. Individuals Performing Services</b> (including address if different from No. 10a) (last name, first name, MI):	
<b>11.</b> Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: _____ Print Name: _____ Title: Telephone No.: _____ Date: _____	
<b>Federal Use Only:</b>		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

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## SECTION D: TRANSMITTAL INSTRUCTIONS AND APPLICATION CHECKLIST

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### Transmittal Instructions

Applicants must meet the following deadline requirements in order to be considered for funding.

#### *Applications Sent by Mail*

Applicants must mail the original to:

Indiana Commission for Higher Education  
Attn: Sara Appel  
101 W. Ohio Street, Suite 550  
Indianapolis, IN 46204

**Proposals must be postmarked on or before Wednesday, October 16, 2013.**

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

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

If the application is mailed through the U.S. Postal Service, please note that the Commission will not accept either of the following as proof of mailing:

1. A private metered postmark; or
2. A mail receipt that is not dated by the U.S. Postal Services.

Applicants should be aware that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, please check with your local post office.

#### *Applications Delivered by Hand*

The Commission will accept applications that are delivered by hand. Applicants may submit the original to the Commission office located on 101 W. Ohio Street, Suite 550, Indianapolis, IN 46204. Applications will be accepted from 8:00 a.m. to 5:00 p.m., Monday through Friday, up to and including Wednesday, October 16, 2013. No applications will be accepted after the deadline.

## Application Checklist

Does your application include each of the following?

- Cover Page (Form A100)
- Collaborative Agreement (Form A101) and a list of potential participants
- Abstract
- Project Narrative
- Budgets and Budget Summary (Form A102)
- "Use" of Funds (Form A103)
- Statements of Assurances
  - Statement of Assurances (Form A104)
  - Assurances--Non-Construction Programs (Standard Form 424B)
  - Certifications Regarding Lobbying; Debarment; Suspension, and Other Responsibility Matters; Drug-Free Workplace Requirements (Form ED 80-0013)
  - Disclosure of Lobbying Activity (Form LLL)
  - Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion- Lower Tier Covered Transactions (Form ED 80-0014)

Did You –

- Include all required forms with original signatures and dates?
- Adhere to the page limit?
- Consecutively number all pages in your application package?

### Assistance

Questions regarding these proposal guidelines or potential professional development projects should be directed to Sara Appel at the Indiana Commission for Higher Education by email [sappel@che.in.gov](mailto:sappel@che.in.gov) or telephone 317.464-4400 x125. Limited assistance and guidance on specific plans for a project are available.

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## SECTION E: TIMELINE

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September 16, 2013	2013 Request for Proposals Released
October 16, 2013	2013 Proposals due by 5 p.m.
November 18, 2013	Award Notification of 2013
November 25, 2013	2013 Grant Award Contact Due
December 9, 2013	2013 Grant Contract Due
December 11, 2013	First Year of 2012 Report Due
January 1, 2014	2012 Projects Continue 2013 Projects Begin
April 15, 2014	First Quarter Invoices Due
June 16, 2014	Second Quarter Invoices Due
September 15, 2014	Third Quarter Invoices Due Request for Proposals for 2014 Released (contingent on funding)
October 16, 2014	2014 Proposals due by 5 p.m.
November 18, 2014	Award Notification of 2014
November 25, 2014	2014 Grant Award Contact Due
December 9, 2014	2014 Contract Due
December 31, 2014	2012 Final Report Due First year of 2013 Report Due
January 1, 2015	2013 Projects Continue 2014 Projects Begin
January 15, 2015	Fourth Quarter Invoices Due
April 15, 2015	First Quarter Invoices Due
June 16, 2015	Second Quarter Invoices Due
September 15, 2015	Third Quarter Invoices Due Request for Proposals for 2015 Released (contingent on funding)
December 15, 2015	2013 Final Report Due First year of 2014 Reports Due
January 1, 2016	2013 Projects Continue 2014 Projects Begin
January 5, 2016	Fourth Quarter Invoices Due