



ALABAMA COMMISSION ON HIGHER EDUCATION  
ELEMENTARY AND SECONDARY EDUCATION ACT (ESEA)  
AS AMENDED BY  
NO CHILD LEFT BEHIND ACT (NCLB)  
P.L. 107-110, TITLE II, PART A/SUBPART 3

**REQUEST FOR PROPOSAL**  
**FY 2011-2012**

**IMPROVING TEACHER QUALITY**  
***MASTERY OF CONTENT***

**CLOSING DATE:**  
**September 16, 2011**

**Office of Institutional Effectiveness and Planning**  
**Alabama Commission on Higher Education**  
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**ALABAMA COMMISSION ON HIGHER EDUCATION**

**REQUEST FOR PROPOSAL (RFP)**

**IMPROVING TEACHER QUALITY  
*MASTERY OF CONTENT***

**Elementary and Secondary Education Act (ESEA)  
as amended by  
No Child Left Behind Act (NCLB) {P. L. 107-110}<sup>1</sup>  
Title II, Part A Subpart 3**

The Alabama Commission on Higher Education (ACHE) invites proposals for competitive grants authorized by the NCLB legislation to eligible partnerships for projects to be implemented in school-year 2012-2013. In accord with the performance objectives of the legislation to increase student academic achievement through strategies for improving teacher and principal quality and increasing the number of highly qualified teachers in the classroom and highly qualified principals and assistant principals in schools [Title II, Part A, Section 2101 (1)] the objectives of the competitive grant program administered by the ACHE are to:

- 1) Provide long-term, sustained, high-quality professional development for Alabama K-12 teachers, highly qualified paraprofessionals, and, if appropriate, principals;
- 2) Provide access to these persons statewide in high-need local school districts both public and private;
- 3) Improve teacher knowledge of core academic subjects that increases student performance in content areas; and
- 4) Be aligned with the Standards of Effective Professional Development and Technology Professional Development Standards adopted by the State Board of Education. Appendices [A:1](#) and [A:2](#) provide copies of these standards.

United States Department of Education (USDE) non-regulatory guidelines define *core academic subjects* as English, reading or language arts, mathematics, science, foreign languages, civics and government, economics, arts, history, and geography.<sup>2</sup> *Highly qualified teachers* are defined as those who not only possess full state certification but also have solid content knowledge of the subjects they teach.<sup>3</sup> Workshops, institutes, or other professional development should be designed to ensure that:

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<sup>1</sup> The "Preparing, Training, and Recruiting High Quality Teachers and Principals" program (Title II of the Elementary and Secondary Education Act of 1965 (ESEA) as amended was enacted in 2001 as part of the "No Child Left Behind Act" (Public Law 107-110). The Title II program is the largest Federal program that supports professional development activities to improve teaching and learning. Under this program funds are made available to state educational agencies (SEAs), local educational agencies (LEAs), state agencies for higher education (SAHEs), and institutions of higher education (IHEs) to support and help shape state and local professional development activities. The No Child Left Behind Program has a direct relationship to systemic reform and student achievement tied to challenging state content and performance standards. The program expands and modifies its predecessor statute, the No Child Left Behind Program.

<sup>2</sup> Non-Regulatory Guidance (2006) [<http://ww2.ed.gov/programs/teacherqual/guidance.doc>], Appendix A, p. A-2.

<sup>3</sup> Non-Regulatory Guidance (2006) [<http://ww2.ed.gov/programs/teacherqual/guidance.doc>], Appendix A, p. A-3 – A-5.

- 1) teachers and highly qualified paraprofessionals, and, if appropriate, principals have subject matter knowledge in the academic subjects that the teachers teach, including the use of computer related technology to enhance student learning; and
- 2) principals have the instructional leadership skills that will help them work most effectively with teachers to help students master core academic subjects.

### CATEGORIES AND PRIORITY OF AWARDS

**Award Categories:** In order to provide long-term, sustained, high quality professional development for K-12 teachers, multi-year proposals are encouraged even though funds for activities beyond the term of the initial grant are not guaranteed.

- A. Alabama Math, Science, and Technology Initiative Professional Development (AMSTI) Lead Teacher Enhancement Program: A limited number of grants will be available to AMSTI Regional Centers that have provided professional development for Lead Teachers (PLTs) within their AMSTI schools using the Anne Jolly Method and that will continue to provide professional development for lead teachers and principals. Approved project(s) must work directly with state AMSTI leadership to advance the objectives of this program and its content. The purpose and design for the project(s) are described fully in [Appendix B](#).
- B. Multi-Year Projects: A limited number of grants will be available to continue other ACHE multi-year, statewide projects that were awarded FY 2010-2011 grants. However, there is no guarantee that any applicant will receive a grant or, if previously funded, at the same amount as before. Note: A significant departure in goals, content, or project activities will be regarded as a proposal for Category C consideration.
- C. New Projects: As funding permits after Category A and B grants have been determined, new proposals that focus on common core standards in mathematics and English language arts will be considered. Proposals accepted in this category will be those that target common core standards as defined in Alabama Courses of Study for these subjects. [reference: <http://www.alsde.edu/html/sections/documents.asp>]

ACHE reserves the right to withhold grants in any category if in its judgment no proposal merits funding. ACHE also reserves the right to increase or reduce the amount of any grant available in any category depending on evaluation of proposals and availability of funding.

### ELIGIBLE APPLICANTS

Eligible applicants for all ACHE NCLB grants are accredited public and private non-profit Alabama institutions of higher education with partnerships as defined below. NOTE: A “partner” takes an active role in the project by committing resources, engaging in instruction, employing participants in core content learning, or other support for the project in a direct and material way. A “partner” is not simply an agency or person who writes a reference for the proposal or recommendation that it be approved.

### **PARTNERSHIP REQUIREMENT**

The USDE Non-Regulatory Guidance definition of student poverty and teacher certification requires that an ACHE NCLB partnership include:

- 1) The applicant institution's teacher-principal education division;
- 2) A school/division/department of arts and sciences; and
- 3) At least one "high-need" local school district.<sup>4</sup> See Appendix C for Alabama school districts that meet the NCLB definition and are eligible to be "high-need" partners for ACHE NCLB grants.

Partners may also include another local education agency, 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.

### **PROJECT FOLLOWUP**

Follow-up must be available to all participating teachers, paraprofessionals, and principals, and provide continuing reinforcement of project objectives. It may occur in a number of ways from on-site assistance visits to mini-workshops, but in every case there should be strong evidence that the follow-up activities serve to enhance the programmatic objectives stated on page one, paragraph one of this RFP.

Activities consisting only of occasional mid-year workshops or seminars will not be adequate to satisfy this requirement. Note, too, that surveys returned from teachers or classroom observation of teachers without feedback to them is not follow-up as defined by this requirement. Proposals should be explicit in stating how planned follow-up activities will reinforce project objectives.

### **PROJECT EVALUATION**

A critical part of the ACHE administered NCLB program is evaluation to determine the extent to which the objectives described in this RFP are achieved. (See [Appendix D: Developing a Project Evaluation Plan](#)) Proposals for ACHE NCLB grants *must include*:

- 1) An external evaluator: someone with no connection to the project other than evaluation but with recognized authority as an evaluator or expert in professional development of the project's subject (documentation of expertise must be attached to the project proposal);
- 2) Evaluation of the project during the whole period of its activities, not just one-time observation or observing only summer workshops/institutes;

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<sup>4</sup> Section F-5 of the Non-Regulatory Guidance (October 5, 2006) for "Improving Teacher Quality State Grants," Title II, Part A defines a high-need LEA 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 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.<sup>7</sup>

- 3) On-site evaluation of activities, project leadership, instruction, and content (may include observation of sample sessions, not necessarily all project sessions, but must include representative activities throughout the whole period of the project grant); and
- 4) A final written report by the external evaluator to be completed and submitted to the project director for review and inclusion in the Project Director's Report of the project. The report should include any suggestions or advice on how the project content and/or delivery might be changed or improved.

## **FUNDING**

Grants are awarded for projects designed for more than one year and awarded competitively each year on a cost reimbursable basis through an appropriation to the ACHE under the NCLB Title II. No grants are made outright, and any balance remaining in excess of approved project expenses must be refunded to ACHE.

**Timetable for Funding.** Awards are paid in two installments. Seventy-five percent (75%) of the total award is paid at the beginning of the grant period. When the project is completed in compliance with all requirements of this RFP, any remaining balance of the grant award is available to cover approved expenses. Non-compliance will result in forfeiture of the remaining grant balance.

**External Support.** Support from external sources (*i.e.*, sources other than the ACHE NCLB grant) is desirable and is a factor in determining selection of proposals to be funded. Priority will be given to proposals that include external support from state and national agencies, private industry, or contributions of the applicant institution.

## **PROJECT REPORTING**

The report requirements explained below should be reviewed carefully to determine in advance what information will need to be collected. In order to receive the second installment of grant funds, the first two of these reports must be submitted to ACHE by the deadlines stated. In rare cases, an extension may be granted based on a written request submitted to the ACHE Office of Institutional Effectiveness and Planning, provided it arrives at ACHE *before* the report deadline. Requesting an extension does not assure it will be granted.

### **Project Data Report**

**Deadline: September 14, 2012.**

This is a report of demographic data on participants and other information about the project. *The form for this report is in Appendix E.*

### **Expenditure Report**

**Deadline: April 30, 2013.**

All expenses payable from the grant are reported on a form with an attached breakout. The categories of expenses are the same as the budget proposal in the grant application (see [Appendix F:3](#)) but on a form to report all expenses incurred by the project. The expenditure report must be

signed by both the project director and an official of the applicant's business office. Guidelines for preparing the report are given in [Appendix G:2](#). *The form for this report is in [Appendix G:1](#).*

### **Project Director's Report**

**Deadline: May 15, 2013.**

When the project is completed (but not later than the deadline), the project director must submit a report of the success of the project, including areas for improvement as well as achievement. This assessment should (1) explain how the results were determined, (2) provide evidence that the project is aligned with the applicable Alabama Course(s) of Study, and (3) state, with supporting documents, any state, national, or international recognition, honors, or awards the project received during the period of the grant. The project director's report must also include the external evaluator's report (see "Project Evaluation" above). Two copies of this report will be required. *There is no prescribed form for this report.*

## **GENERAL GUIDELINES**

**Federal Compliance.** NCLB projects must:

- 1) Serve high-need districts, *i.e.* serve at least 10,000 students from families with incomes below the poverty line *or* have 20% or higher poverty level in the populations of their districts and have teachers who are not highly qualified (this does not exclude other participants as long as the project includes and primarily serves participants who are not highly qualified and who come from high need districts.) See Appendix C for definition of "high-need" and a list of school districts that are eligible to be partners for ACHE NCLB grants;
- 2) Focus on core content knowledge, not on teaching methods or pedagogy;
- 3) Provide professional development for in-service teachers, paraprofessionals, and principals; and
- 4) Provide evidence that teachers in private schools know they are eligible to participate.

**Administration and Staff.** Each applicant institution is responsible for administering all aspects of the project. The project directors are the ACHE points of contact for projects awarded grants in this program. It is incumbent on each project director to be responsible for all administrative matters related to the grant, including – but not limited to – coordinating all financial details, completing forms, and in general assuring that all requirements and guidelines are followed. Instructional and support staff may be drawn from other institutions as well as the sponsoring institution. A proposal will be judged in part on evidence of the ability of instructors/researchers/administrative staff and the applicant to carry out the program.

**Participants.** The project must be available to Alabama teachers, paraprofessionals, and principals in both public and private schools in all parts of the state.

**Credit and Disclaimer.** Statements of credit and disclaimer *are required* by USDE. The ACHE also requires a statement of credit and disclaimer to ensure public knowledge of the source and responsibility for grant funds. Therefore, a statement of credit and disclaimer for both USDE and ACHE **must be included** in all notices, recruiting brochures, workshop materials, and any other



publication produced with support of ACHE NCLB grants. The two statements below will satisfy this requirement:

This project is funded in part by a federal grant under No Child Left Behind (NCLB) [P.L. 107-110, Title II, Part A/Subpart 3] administered by the Alabama Commission on Higher Education. [Also name any other federal program granting funds to the project.] \$ \_\_\_\_\_ (\_\_\_%) of the cost of the project was financed with federal funds. \$ \_\_\_\_\_ (\_\_\_%) was provided by non-federal sources.

Opinions and findings expressed herein do not necessarily reflect the position or policy of the U.S. Department of Education or the Alabama Commission on Higher Education, and no official endorsement by either of these agencies should be inferred.

### APPLICATION PROCEDURES

Collate the application beginning with the application form followed by the abstract, then the table of contents, project narrative, and appendices. Number all pages from the first page of the narrative through the last page of the final appendix. Secure print copies of the proposal by appropriate binding or fastener. Forms for the application and reports are in the appendices of this RFP and available online in the RFP for FY 2011-2012 at <http://www.ache.alabama.gov/NCLB/Index.htm>. Online forms may be downloaded to fill in on computer and printed in hard-copy to submit to ACHE. ACHE does not accept proposals and reports submitted electronically.

**Application.** Complete the form provided in Appendix F:1 with appropriate signatures. Proposals must be submitted by institutions of higher education not their boards, operating units, or school partners. To ensure compliance with local administrative procedures, proposals must be certified by the applicant's business office. NOTE: New federal reporting requires ACHE to provide the DUNS number for the unit submitting the proposal, which must be provided where indicated on the application form.

**Abstract.** Using the form in Appendix F:2, prepare a 200-word summary of the proposed project. Include the program objectives, a statement of the methods to be employed, and a statement of the significance of the project's impact on meeting the NCLB objectives stated on page one of this RFP.

**Table of Contents.** Follow a standard style, listing the headings of all sections of the proposal with the page numbers.

**Project Narrative.** Double-space and print the narrative on both sides of plain bond paper, with all pages numbered. *Do not exceed fifteen (15) pages.* Font sizes smaller than 10-point, reduction of size by photocopying, or substituting space-and-a-half for double spacing to circumvent the limitation on the number of pages may cause the application to be rejected. The project narrative must include the following sections and appear in the following order:

- **Project Need and Objectives.** Explain how the project will address the objectives and USDE non-regulatory guidelines stated on page one of this RFP. Include evidence that there is

long-term professional development, such as a list or map of school districts already served and projected to be served by the project. Explain what impact the project will have on enhancing K-12 teachers' content knowledge. Ensure that the project supports the SBE Standards for professional development and the Alabama Course(s) of Study applicable to the subject area(s). See Appendix A:1 for the SBE Twelve Standards for Professional Development in Alabama and Appendix A:2 for the SBE Alabama Technology Professional Development Standards – Schools of Education and K-12.

The proposal *must* identify the school districts to be served, and describe how the project is or will be designed for availability to participants statewide. Only districts listed in Appendix C may be identified as “partners,” and at least one district in this list *must* be a partner as the primary district(s) to be served. Districts not listed in Appendix C may also be included and listed as “other districts to be served.” In addition, the proposal must provide evidence that the project will improve subject matter knowledge to prepare teachers to become highly qualified in accordance with NCLB legislation.

Special Instructions for *Category A* Proposals:

Refer to Appendix B of this RFP: **ACHE AMSTI Lead Teacher Enhancement Program** for the program purpose and description.

Special Instructions for *Category B* Proposals:

In addition to the overall program objectives stated above, each Category B proposal must include the following:

- a) Evidence that the project is meeting its current year objectives;
  - b) The rationale for continuing the project an additional year; and
  - c) The school districts previously and currently served, preferably marked on a map as well as in list form.
- *Project Design*. Describe the following:
    - a) The *role* of each of the institution's partners – specifically the school district(s), the teacher-principal education division, and the school/division/department of arts and sciences. Describe how they will participate in or contribute to the project.
    - b) The workshop/institute methods and materials to be used, locations, participant requirements, the number of participants intended to be served, instructional plan, and proposed session dates.
    - c) The project follow-up: *i.e.*, how will the project provide continuing support and technical assistance during the school year, including an emphasis on using technology to improve student learning.
    - d) If applicable, the role of mentors, how they will be selected and trained, their responsibilities and experience.
  - *Budget and Cost Effectiveness*. Provide a brief explanation of the cost-effectiveness of the project. Leveraging of funds from other sources is encouraged. List funding partners.

- Quality of Key Personnel. Briefly describe the training and experience of key personnel that qualify them to provide the administrative and instructional leadership necessary to carry out the activities of the project. State the extent to which the time commitments of the project director and other key personnel are appropriate and adequate to meet the objectives of the proposed project.
- Evaluation. Identify the external evaluator, and describe the project evaluation plan in an appendix. See Appendix D for a template.

**Attachments.** After the narrative, include the following material in this order:

- 1) Budget Summary. Complete the budget summary form provided in Appendix F:3 and attach a breakout of proposed expenses. Guidelines for the budget summary are provided in Appendix F:4.
- 2) Resumes of Key Personnel. Provide resumes of *not more than two (2) pages* each for institutional and support staff (project administrators, evaluators, workshop instructors, consultants, etc.) *Note:* Vitae of more than two (2) pages may result in delay or rejection of the application.
- 3) Partnership Documentation. Include agreement(s) signed by the appropriate representative(s) from each partner unit.
- 4) Schedule of activities. Attach a timeline of activities, including follow-up after the initial workshops/institutes, with proposed dates.
- 5) Written agreement(s). If applicable, provide written agreement(s) to use off-site facilities.
- 6) Copyright/license release. If the project will reproduce *any* copyrighted or licensed materials, permission to copy such materials or evidence that such permission has been requested *must* be attached to the application. Permission to copy cannot be assumed for "educational purposes" without permission from the copyright/license owner.

**Enclosures.** Enclose *one* (1) copy of the following with the proposal:

- 1) Statement of Assurances (see Appendix H). Submit one (1) copy signed by an official representing the institution/organization applying for the grant, and
- 2) A-133 Audit Report for your institution (one copy of the most recent report).

### PROPOSAL EVALUATION PROCESS

Following the ACHE staff review for eligibility and compliance with application requirements, an external review committee of authorities on professional development for K-12 teachers and principals will evaluate proposals using criteria listed in Appendix I. Based on their evaluation, grant awards will be determined by the ACHE. *Note:* The ACHE reserves the right to withhold grants if in its judgement no proposal merits funding. In accord with federal requirements, final awards will be made to ensure that "(1) such subgrants are equitably distributed by geographic area within a state or (2) eligible partnerships in all geographic areas within the state are served through the subgrants." In the event that more than one proposal will serve the same objective in the same geographic area, ACHE will determine whether to award more than one grant for such service.

### APPLICATION DEADLINE AND ANNOUNCEMENT OF AWARDS

An original and nine (9) copies of the completed application form, abstract, narrative, appendices, and one (1) copy each of the signed Statement of Assurances and most recent A-133 audit report are required for final submission. The proposal **must be *received*** in the Office of Institutional Effectiveness and Planning of the ACHE no later than 4:00 p.m. on **September 16, 2011**. Announcement of grants to be awarded is expected by January 6, 2012.

In submitting proposals for overnight delivery, use a commercial delivery service such as UPS, FedEx, Airborne Express, *etc.* **Do not use USPS overnight express mail;** USPS does not deliver certified, registered, or overnight express mail directly to ACHE.

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## APPENDIX A

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### STATE BOARD OF EDUCATION STANDARDS

- A:1. Twelve (12) Standards for Effective Professional Development**
- A:2. Alabama Technology Professional Development Standards: Schools of Education And K-12**

## APPENDIX A:1

### STATE BOARD OF EDUCATION STANDARDS\*

#### Twelve (12) Standards for Effective Professional Development in Alabama

- Standard 1: Effective professional development organizes adults into learning communities whose goals are aligned with those of the school, the system, and the state.
- Standard 2: Effective professional development requires knowledgeable and skillful school and system leaders who actively participate in and guide continuous instructional improvement.
- Standard 3: Effective professional development requires resources to support adult learning and collaboration.
- Standard 4: Effective professional development uses disaggregated student data to determine adult learning priorities, monitor progress, and help sustain continuous improvement.
- Standard 5: Effective professional development uses multiple sources of information to guide improvement and demonstrate its impact.
- Standard 6: Effective professional development prepares educators to apply research to decision making.
- Standard 7: Effective professional development uses learning strategies appropriate to the intended goal.
- Standard 8: Effective professional development applies knowledge about human learning and change.
- Standard 9: Effective professional development provides educators with the knowledge and skills to collaborate.
- Standard 10: Effective professional development prepares educators to understand and appreciate all students; creates safe, orderly, and supportive learning environments; and holds high expectations for their academic achievement.
- Standard 11: Effective professional development deepens educators' content knowledge, provides them with research-based instructional strategies to assist students in meeting rigorous academic standards, and prepares them to use various types of classroom assessments appropriately.
- Standard 12: Effective professional development provides educators with knowledge and skills to involve families and other stakeholders appropriately.

\*Alabama State Board of Education Resolution Adopted: June 13, 2002

**APPENDIX A:2**

**STATE BOARD OF EDUCATION STANDARDS**

**Alabama Technology Professional Development Standards:  
Schools of Education\* and K-12\*\***

<b>Teachers shall learn to effectively:</b>	<b>Administrators shall learn to effectively:</b>
(i) identify and evaluate technology resources and technical assistance (i.e. those available on-line and on-site within a school and district setting).	(i) describe mechanisms for creating a shared vision for the comprehensive integration of technology, communicating that vision, and facilitating a process that fosters and nurtures a culture to achieve the vision.
(ii) assess advantages and limitations of current and emerging technologies, and on-line and software content to facilitate teaching and student learning.	(ii) develop a technology plan including resource alignment (e.g. funding, staff and time, hardware/software, total cost of ownership), and demonstrate leadership skills necessary to integrate technology to support effective learning and administration.
(iii) develop and implement a classroom management plan to ensure equitable and effective student access to available technology resources.	(iii) facilitate the selection and use of technologies appropriate for curriculum areas, instructional strategies, and student-centered learning environments to maximize learning and teaching to meet the individual needs of all learners.
(iv) model safe, responsible, legal and ethical use of technology and implement school and district acceptable use policies including fair-use and copyright guidelines and Internet user protection policies.	(iv) apply and model technology applications and professional practices that demonstrate knowledge of available technologies; existing Alabama and national technology standards for students, teachers, and administrators; related trends and issues; current research; and professional development resources in order to enhance professional practices of educational leaders, increase job-related technology use, and improve the productivity of self and other school personnel.
(v) design, implement, and assess learner-centered lessons and units that use appropriate and effective practices in teaching and learning with technology.	
(vi) use technology tools (including, but not limited to, spreadsheets, web page development, digital video, the Internet, and email) for instruction, student assessment, management, reporting purposes and communication with parents/guardians of students.	(v) use prevalent technology-based managerial, financial, and operational systems used in Alabama schools.
(vii) facilitate students' individual and collaborative use of technologies (including, but not limited to, spreadsheets, web page development, digital video, the Internet, and email) to locate, collect, create, produce, communicate, and present information.	(vi) use technology to facilitate effective assessment and evaluation, including: the collection, analysis, and interpretation of data and communication of findings to improve <ol style="list-style-type: none"> <li>1. instructional practice and student learning;</li> <li>2. the use of assessment of staff knowledge, skills, and performance in using technology to facilitate quality professional development and guide personnel decisions;</li> <li>3. the use of technology to assess and evaluate managerial and operational systems; and</li> <li>4. assessment and evaluation of, using multiple methods, appropriate uses of technology resources for learning, communication, and productivity.</li> </ol>
(viii) design, manage, and facilitate learning experiences incorporating technologies that are responsive to diversity of learners, learning styles and special needs of all students (for example, assistive technologies for students with special needs).	
(ix) evaluate students' technology proficiency and students' technology-based products within curricular areas.	



(x) use technology to enhance professional growth (for example, through accessing web-based information, on-line collaboration with other educators and experts, and on-line professional courses).	(vii) demonstrate responsible decision making that reflects understanding of social, legal, and ethical issues related to technology.
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\* Approved by Alabama Board of Education, March 2003, Schools of Education (**Alabama Administrative Code: 290-3-3-.04**)

\*\* Approved by Alabama Board of Education, August 2004, K-12 (**Alabama Administrative Code: 290-040-030-.01**)



**APPENDIX B**

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**THE AMSTI LEAD TEACHER ENHANCEMENT PROGRAM**

## Appendix B

### ALABAMA MATH, SCIENCE, AND TECHNOLOGY INITIATIVE (AMSTI) LEAD TEACHER ENHANCEMENT PROGRAM

This is **the fourth** year of a multi-year project in collaboration with the Alabama State Department of Education (ALSDE) to improve teacher mastery in mathematics and science in AMSTI Schools through the implementation of the Anne Jolly Method (*Team to Teach: A Facilitator's Guide to Professional Learning Teams (PL Teams)*).<sup>[2]</sup>

The objectives in Year Four are twofold: a) To continue/sustain the Model for Implementation of Professional Development Within AMSTI Schools piloted in Years Two and Three and b) To expand the directed PLT professional development model to additional AMSTI regions. An approved project must provide for full implementation of professional development for instructional reform and curriculum reform.

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#### THE MODEL FOR IMPLEMENTATION OF PROFESSIONAL DEVELOPMENT WITHIN AMSTI SCHOOLS

1. Selection of qualifying schools
  2. Implementation of Hollis Strategy for Phase One Schools
  3. Implementation of content deepening for Phase Two Schools
  4. Evaluation
1. **Selection of qualifying schools.** Prerequisites for selection of proposed participant AMSTI schools:
- ALSDE approved AMSTI School;
  - Math and Science Faculty have participated in ALSDE AMSTI Summer Institute Training (a prerequisite for PLTs);
  - School Administrator(s) have committed to conduct regularly scheduled meetings of PLTs
  - School Administrator(s) have committed to meet monthly with the AMSTI Center Director. (These meetings may satisfy administrator professional development requirements).

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<sup>[2]</sup> YEAR ONE (FY 2008-09). Professional development in the Anne Jolly Method was provided for Professional Lead Teachers (PLTs) of AMSTI schools within the eleven (11) AMSTI regions.

YEAR TWO (FY 2009-10). The objective was to determine the feasibility of implementing the Anne Jolly Method statewide in each of the eleven (11) AMSTI regions and establish a model for the implementation of the Anne Jolly Method that could be sustained able over time and exported to all AMSTI schools within all AMSTI regions, including high need schools. A model for implementation was piloted in three (3) AMSTI Regional Centers (JSU; Athens; and USA) which included professional development for PLTs 1) in the implementation of PL Teams (Phase One) and 2) in the alignment of AMSTI curriculum and resource materials with the Alabama Course of Study standards (Phase Two).

YEAR THREE (FY 2010-11). The objectives were to expand the professional development model for instructional reform (Phase One Schools) and curriculum reform (Phase Two Schools) piloted during Year Two within the existing piloted AMSTI regional centers (JSU; Athens; and USA).

## **2. Implementation of Hollis Strategy in Phase One Schools. (Instructional Reform)**

Phase One Schools are those schools where the Professional Lead Teachers (PLTs) have received Year One training in the Anne Jolly Method either directly or via facsimile training involving extensive coaching/mentoring conducted by AMSTI Center Specialists. Identify Phase One participating schools by name, address, and grade levels.

The professional development for Lead Teachers in Phase One Schools is provided by the AMSTI Center in collaboration with the ALSDE and utilizes the Hollis Strategy for implementing the Anne Jolly Method.<sup>[3]</sup> Components of the Hollis Strategy include:

- Identifying obstacles to PLT development within a school;
- Developing a written plan for the establishment of PLTs within qualifying schools; and
- Engaging in a variety of PLT development activities provided in the Anne Jolly manual.

Follow up data analysis training and coaching for participating PLTs by AMSTI Center Director/Specialists is required.

## **3. Implementation of Content Deepening in Phase Two Schools. (Curriculum Reform)**

Phase Two Schools have implemented the Instructional Reforms of Phase One Schools such that active Professional Lead Teacher groups are in place and conducting regularly scheduled meetings within the school. Identify participating Phase Two Schools by name, address, and grade levels.

The professional development is provided by the AMSTI Center Director in collaboration with the ALSDE and draws upon research based best practices that are directed to curriculum reform (content deepening) in mathematics and science as outlined in the Alabama Course of Study.

Research based best practices include:

- Providing specialized learning experiences to deepen PLTs content knowledge in math and science and
- Enabling a higher level of content mastery and fidelity of implementation.

Follow up data analysis training and coaching for participating PLTs by AMSTI Center Director/Specialists is required.

## **4. Evaluation**

### **Phase One Schools.**

- Conduct Pre/post surveys of the professional development sessions. The surveys should be designed in collaboration with ALSDE and the external project evaluator and administered by the Center Director.

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<sup>[3]</sup> So named for Shelly Hollis, UNA AMSTI Regional Center Director.

- Schedule follow up observations at school sites of the Professional Lead Teacher sessions by the AMSTI Center Director/Specialists and the external evaluator. These observations should be conducted by the AMSTI Center Specialist and external evaluator subsequent to the delivery of the professional development. Appropriate observation instruments should be designed by the external evaluator and utilized to examine fidelity to ALSDE Professional Development Standards.

### **Phase Two Schools.**

- Conduct Pre/post surveys of the professional development sessions. The surveys should be designed in collaboration with ALSDE and the external project evaluator and administered by the Center Director.
- Conduct assessments of the content deepening professional development. These assessments should be designed by the external project evaluator in collaboration with ALSDE and/or other appropriate consultants.
- Schedule follow up observations at school sites of the Professional Lead Teacher sessions by the AMSTI Center Director/Specialists and the external evaluator subsequent to the delivery of the professional development. Appropriate observation instruments should be designed by the external evaluator and utilized to examine fidelity to ALSDE Professional Development Standards.

**BACKGROUND:** The Alabama Math, Science, and Technology Initiative (AMSTI) is the ALSDE's initiative to improve math and science education in Alabama. The goal of this initiative is such that all students develop the skills necessary for success in postsecondary studies and in the workforce. AMSTI was designed by a Blue Ribbon committee composed of Grade K-12 educators, higher education representatives, and business leaders. AMSTI was approved by unanimous vote of the Alabama State Board of Education in 2000.

**AMSTI Centers:** AMSTI has established eleven (11) local AMSTI Centers, one (1) within each Alabama Regional In-service Center area. The purpose of the AMSTI Center is to implement AMSTI in schools within the geographical region defined by the Alabama Regional In-service Center. Implementation of AMSTI includes providing schools with resources, professional development, and on-site support. AMSTI Center Directors are appointed by the institution of higher education whose jurisdiction includes the encompassed Regional In-service Center subject to the approval of the ALSDE.

**AMSTI Center Specialists:** Site math and science specialists who are employees of the university where their center is housed. AMSTI Specialists provide frequent, on-going, on-site assistance to AMSTI schools; offer periodic professional development to established AMSTI schools; provide training and guidance to AMSTI PLTs; assist AMSTI schools in effectively using PL Teams (study groups) and common planning time to improve math and science instruction; and assist in developing a cadre of certified trainers to support current and future training programs.

**AMSTI Schools:** Schools which applied to the ALSDE for participation in the AMSTI program; met eligibility requirements; and were approved by the ALSDE.

**AMSTI Professional Lead Teachers (PLTs):** Each AMSTI School is required to have a math and science PLT capable of assisting local school staff and serving as a liaison to AMSTI Center

Specialists. School principals using the following criteria select AMSTI PLTs based upon: Current certification in Alabama, Highly Qualified Status or Nationally Board Certification, minimum of 5 years classroom experience, knowledgeable in content area(s), (mathematics and/or science), demonstrated outstanding performance in classroom instruction as measured by student achievement, good human relations skills, flexible and open to new ideas, demonstrated computer competency, recognized leader within the faculty and good organizational skills.

PLTs provide assistance in planning, the location and use of resources, curriculum implementation, deepening content knowledge, assessment, instructional methodologies, and classroom and laboratory management when the AMSTI Center Specialists are not available.

**AMSTI Professional Learning Teams (PL Teams).** PL Teams consist of math and science faculty under the supervision of and in collaboration with a school administrator and PLTs. Research has shown that PL Teams can promote teacher collaboration, enhance the teaching of content knowledge, and provide higher standards for all students.

**AMSTI STATE CONTACTS:** For additional information on the AMSTI program and the Lead Teacher Enhancement project, contact:

Shelia V. Patterson  
Mathematics Administrator, AMSTI  
Alabama Department of Education  
Gordon Persons Building, Room 3323  
Montgomery, Alabama 36130  
334-353-9151  
[spatterson@alsde.ed](mailto:spatterson@alsde.ed)





**APPENDIX C**

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**“HIGH NEED” LOCAL EDUCATION AGENCIES (SCHOOL DISTRICTS)**



## APPENDIX C

### “HIGH NEED” LOCAL EDUCATION AGENCIES (LEAs / School Districts)

Proposed school district partners for ACHE NCLB grants must meet the “high need” definition established by No Child Left Behind (P.L. 107-110, Title II, Section 2012(3)) and US Department of Education Non-Regulatory Guidance, Section F-5. A high-need LEA [local education agency; *i.e.*, school district] is 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.

Alabama school districts that satisfy these requirements\* as NCLB eligible partner are:

County Districts

Barbour	Greene
Bibb	Henry
Bullock	Lowndes
Butler	Macon
Chambers	Marengo
Cherokee	Marion
Chilton	Marshall
Choctaw	Mobile
Clarke	Monroe
Conecuh	Montgomery
Coosa	Perry
Dale	Pike
Dallas	Sumter
Dekalb	Talladega
Escambia	Tallapoosa
Fayette	Walker
Franklin	Wilcox
Geneva	Winston

City Districts

Alexander City	Midfield City
Anniston City	Opp City
Bessemer City	Ozark City
Birmingham City	Phenix City
Brewton City	Piedmont City
Demopolis City	Roanoke City
Dothan City	Russellville City
Elba City	Scottsboro City
Eufaula City	Selma City
Fairfield City	Sylacauga City
Fort Payne City	Talladega City
Gadsden City	Tallassee City
Geneva City	Thomasville City
Lanett City	Troy City
Linden City	Tuscumbia City

\* ACHE has determined that the districts listed here meet the NCLB criteria for high need LEAs according to the most recent data available from the U.S. Census Bureau and ALSDE data showing 5% or more teachers in these districts who are not highly qualified ([http://www.alsde.edu/Accountability/2009reports/HighlyQualifiedTeachersRPT\\_BySystem.pdf?lstSchoolYear=7&lstReport=2009reports%2FHighlyQualifiedTeachersRPT\\_BySystem.pdf](http://www.alsde.edu/Accountability/2009reports/HighlyQualifiedTeachersRPT_BySystem.pdf?lstSchoolYear=7&lstReport=2009reports%2FHighlyQualifiedTeachersRPT_BySystem.pdf); <http://www.census.gov/cgi-bin/saige/saige.cgi>)



**APPENDIX D**

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**DEVELOPING A PROJECT EVALUATION PLAN**

## APPENDIX D

### DEVELOPING A PROJECT EVALUATION PLAN

#### **Project Evaluation Plan:**

To ensure a rigorous evaluation process, the following components should be included in each proposal:

Objective	Activities	Professional Development Standards	Outcome	Instrument/ Data Source	Reliability/ Validity	Administrator/ Data Collector	Type of Evaluation: Formative or Summative	Timeline
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- 1) Evaluation questions related directly to the proposed objectives of the project as well as questions related to follow-up activities so that follow-up activities may be fully integrated into both the project implementation and evaluation. Please use a matrix to describe the linkages between objectives and outcomes (See example of matrix headings below.)
- 2) A description of the data that will be collected to answer the evaluation questions referenced in item number one above:
  - a) For all instruments to be used, evidence of reliability and validity of the instruments should be provided. If available, copies of data collection tools (instruments) should be attached as an appendix to the proposal.
  - b) If instruments are to be developed by the proposed Project Evaluator, methods to ensure the reliability and validity of instruments should be described.
  - c) If interviews, focus groups and other qualitative data are to be collected, this process should be described.
- 3) The plans for data analysis should be thoroughly described. References regarding proposed methods of data analysis are encouraged.
- 4) Findings from the data analysis should be used to answer the evaluation questions.
- 5) A description of the use of formative evaluation for improving program implementation and a description of the ways in which formative evaluation will be used to ensure program integrity.
- 6) A schedule for evaluating the project during the whole period of the project grant, including on-site observation.

Examples of evaluation plans for teacher professional development and student outcomes may be found at <http://oerl.sri.com/>. This site also provides examples of instrument development, including reliability and validity.

#### **Qualifications for Project Evaluators:**

Project evaluators should have demonstrated experience in evaluation as indicated on their résumés, which should include a list of projects the project evaluator has previously evaluated.



**APPENDIX E**

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**PROJECT DATA REPORT**

**APPENDIX E**  
**Alabama Commission on Higher Education (ACHE)**  
**No Child Left Behind Act (NCLB) { P. L. 107-110 }**  
**Title II, Part A Subpart 3**  
*Mastery of Content*

**Project Data Report**

**Deadline for Submission: September 14, 2012**

Institution: \_\_\_\_\_

Project Name: \_\_\_\_\_

Project Director: \_\_\_\_\_

Date: \_\_\_\_\_

**PARTICIPANTS:** The “participants” referred to in this report are Alabama in-service K-12 teachers, highly qualified paraprofessionals, and principals who are receiving professional development or being trained through the project. By this definition, pre-service students, pre-K teachers, out-of-state attendees, master teachers who lead sessions, project staff, university faculty, observers, and any others *are not participants and should not be counted as such.*

**A. School Districts:** On a separate sheet attached to this report, list your participants’ school districts. For private school participants, include the schools’ cities and administrative agencies if different from the school name.

**B. Persons Served:**

	K-12 Teachers (in-service only)		Principals/Chief Administrators		Para-Professionals	
	<i>Public Schools</i>	<i>Private Schools</i>	<i>Public Schools</i>	<i>Private Schools</i>	<i>Public Schools</i>	<i>Private Schools</i>
<b>Number of participants and their students:</b>						
How many participants are in your project?						
What is the estimated number of students in <i>all</i> of your participants’ classes?						

**C. Certificate Level:**

	K-12 Teachers (in-service only)		Principals/Chief Administrators		Para-Professionals	
	<i>Public Schools</i>	<i>Private Schools</i>	<i>Public Schools</i>	<i>Private Schools</i>	<i>Public Schools</i>	<i>Private Schools</i>
<b>How many participants have the following certificates in the subjects they are teaching?</b>						
AA						
A						
B						
Other (specify)						
No Certificate						

**D. Degrees Earned:**

	K-12 Teachers (in-service only)		Principals/Chief Administrators		Para-Professionals	
	<i>Public Schools</i>	<i>Private Schools</i>	<i>Public Schools</i>	<i>Private Schools</i>	<i>Public Schools</i>	<i>Private Schools</i>
<b>How many participants have earned the following degrees? (Count only the highest degree earned.)</b>						
Doctorate						
Education Specialist/ Professional Diploma						
Master's Degree						
Bachelor's Degree						
Associate's Degree						
Other (specify) or no degree						

**E. Grade Levels Served:**

	K-12 Teachers (in-service only)		Principals/Chief Administrators		Para-Professionals	
	<i>Public Schools</i>	<i>Private Schools</i>	<i>Public Schools</i>	<i>Private Schools</i>	<i>Public Schools</i>	<i>Private Schools</i>
<b>How many participants are in the following grade levels? (Count each one only once.)</b>						
High School						
Middle School						
Elementary School						
Kindergarten						
More than one grade level (specify)						

**F. Years of Experience:**

How many participants have the following years of experience in their current positions?	K-12 Teachers (in-service only)		Principals/Chief Administrators		Para-Professionals	
	<i>Public Schools</i>	<i>Private Schools</i>	<i>Public Schools</i>	<i>Private Schools</i>	<i>Public Schools</i>	<i>Private Schools</i>
No experience						
One year or less						
2 to 5 years						
6 to 10 years						
11 to 15 years						
16 to 20 years						
21 to 25 years						
More than 25 years						

**PROJECT ADMINISTRATION:**

A. Participant Contact:

1. How many total contact hours does your project have with each participant? (*Check one.*)

- |                      |                          |                  |                          |                       |                          |
|----------------------|--------------------------|------------------|--------------------------|-----------------------|--------------------------|
| a. Less than 6 hours | <input type="checkbox"/> | c. 19 – 30 hours | <input type="checkbox"/> | e. 41 – 80 hours      | <input type="checkbox"/> |
| b. 7 – 18 hours      | <input type="checkbox"/> | d. 31 – 40 hours | <input type="checkbox"/> | f. More than 80 hours | <input type="checkbox"/> |

2. How many months is the project in contact with participants?

3. What is the number of *pre-service* teachers impacted by the project?

4. What is the number of CEU/graduate credits, if any, offered for participation?

B. Project Staff: How many project staff members are –

1. University faculty:

2. Other university staff:

3. University students:

4. K-12 master teachers:

5. Para-professionals:

6. Others (specify):  \_\_\_\_\_

C. As partners in this project, what is the specific role of:

1. The education college/school/division/department?

\_\_\_\_\_

2. The arts and sciences college/school/division/department?

\_\_\_\_\_



**HIGH NEED SCHOOL DISTRICTS:**

Attach to this report a list of the “high need” school districts served by the project. (See Appendix C for a list of all Alabama high need districts.)

**EXTERNAL FUNDING:**

Attach to this report the following items:

**A. Sources of External Funding:**

- 1) List private or public foundations that are currently providing funds or in-kind support for your project and the total amount (not an itemized list) of that support from each one.
- 2) List private or public agencies, businesses, or similar donors that are currently providing funds or in-kind support for your project and the total amount (not an itemized list) of that support from each one.
- 3) List schools/districts that are currently providing funds or in-kind support for your project and the total amount (not an itemized list) of that support from each one.
- 4) List funds or in-kind support your university is providing for your project and the total amount of that support. Specify whether the support is in funds or in-kind contribution.
- 5) List any other source of current external funds or in-kind support for your project and the amount of that support. Specify whether the support is in funds or in-kind contribution.

**B. Type of External Funding:**

- 1) In-kind dollars: \$\_\_\_\_\_
- 2) In-kind services: \$\_\_\_\_\_
- 3) In-kind materials: \$\_\_\_\_\_
- 4) Cooperative agreements: \$\_\_\_\_\_
- 5) Discounted purchases: \$\_\_\_\_\_
- 6) Grants other than ACHE NCLB: \$\_\_\_\_\_
- 7) Other (please specify): \$\_\_\_\_\_

**ADDITIONAL INFORMATION:**

Please attach documentation of any *current* awards or state/national recognition that your project or staff has received and any other information that may provide a better description of what your project is accomplishing during this reporting period. Photographs, if submitted, should identify persons, locations, and activity depicted, preferably showing participants involved in a project activity or working with students rather than posed or portrait photographs.

*Submit completed report to:*

Office of Institutional Effectiveness and Planning  
Alabama Commission on Higher Education  
P. O. Box 302000  
Montgomery, Alabama 36130-2000





**APPENDIX F**

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**Application Forms & Guidelines**

**F:1 APPLICATION**

**F:2 PROJECT ABSTRACT**

**F:3 BUDGET SUMMARY**

**F:4 BUDGET SUMMARY GUIDELINES**

APPENDIX F:1

Alabama Commission on Higher Education (ACHE)  
No Child Left Behind Act (NCLB) { P. L. 107-110}  
Title II, Part A Subpart 3: *Mastery of Content*  
APPLICATION

This appendix may be downloaded with the RFP at <http://www.ache.alabama.gov/NCLB/Index.htm> to fill in on computer and print in hard-copy to submit to ACHE at the address on page 9 of the Request for Proposal. ACHE does not accept proposals and reports submitted electronically.

Name of Applicant Institution: \_\_\_\_\_

Name and Address of Operating Unit:

\_\_\_\_\_

Title of Proposed Project:

\_\_\_\_\_

Subject Category (check one): A.  AMSTI Lead Teacher Enhancement Program  
B.  Multi-Year Project  
C.  New Project

ACHE NCLB Funds Requested: \$ \_\_\_\_\_

External Funds: \$ \_\_\_\_\_

Budget Total: \$ \_\_\_\_\_

**DUNS number of unit submitting the proposal (required):** \_\_\_\_\_

**CERTIFICATION:**

The person(s) whose signature(s) appears as project director is authorized by the applicant institution to submit this proposal. If funded, the project will be implemented as approved. The applicant institution will accept responsibility for complying with all applicable state and federal requirements, including the resolution of any audit exceptions. The applicant understands and agrees to comply with all provisions of the Request for Proposal for this project.

**Endorsements for the Applicant Institution:**

Signature: \_\_\_\_\_

Project Director/Title: \_\_\_\_\_

Signature: \_\_\_\_\_

Fiscal Officer/Title: \_\_\_\_\_

APPENDIX F:2

Alabama Commission on Higher Education (ACHE)  
No Child Left Behind Act (NCLB) { P. L. 107-110}  
Title II, Part A Subpart 3  
*Mastery of Content*

**PROJECT ABSTRACT**

This appendix may be downloaded with the RFP at <http://www.ache.alabama.gov/NCLB/Index.htm> to fill in on computer and print in hard-copy to mail to ACHE. Electronic submissions are not accepted.

Name of Applicant Institution: \_\_\_\_\_

Name and Address of Operating Unit:

\_\_\_\_\_

Title of Proposed Project:

\_\_\_\_\_

Project Director: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_

Summary (200 words):

APPENDIX F:3  
Alabama Commission on Higher Education (ACHE)  
No Child Left Behind Act (NCLB) { P. L. 107-110}  
Title II, Part A Subpart 3

**BUDGET SUMMARY FY 2011-2012**

This form may be printed and filled in by hand – or click [here](#) to access an Excel form, which can be saved and filled in on your computer. The Excel form will calculate most entries automatically.

**Institution:** \_\_\_\_\_  
**Project Title:** \_\_\_\_\_

**ACHE NCLB FUNDS REQUESTED**

I. Category	II. IHE – Education	III. IHE – Arts/Sciences	IV. High-Need School District(s)	V. Other Partners (if any)	VI. <i>TOTAL ACHE NCLB FUNDS REQUESTED</i>	VII. External/ In-Kind Support*	VIII. <i>BUDGET TOTAL (columns VI + VII)</i>
<b>A. Salaries</b>							
1. Professional							
2. Non-Professional							
3. Fringe Benefits							
<i>Total</i>							
<b>B. Contracted Services</b>							
1. Individuals/Agencies							
2. Facilities/Equipment to lease or rent							
3. Evaluation							
<i>Total</i>							
<b>C. Materials/Supplies</b>							
1. Kits/Modules							
2. Books							
3. Software							
4. Office Supplies							
5. Telephone							
6. Postage/Delivery							
7. Printing							
<i>Total</i>							
<b>D. Travel</b>							
1. Project Staff							
2. Substitute Teachers							
<i>Total</i>							
<b>E.1. TOTAL DIRECT COST (A to D)</b>							
<b>E.2. Percent of ACHE Funds Requested</b>					100		
<b>F. INDIRECT COST** (8% or less of line E.1)</b>							
<b>G. Equipment to Purchase</b>							
<b>H. Other</b>							
<b>I. TOTAL PROJECT COST (lines E.1+F+G)</b>							

\*External Funds/In-Kind Services are supplementary funds or services to be provided by any source other than the ACHE NCLB partnership grant.

\*\*Education Department General Administrative Regulations (EDGAR 75.562) limit indirect costs to no more than 8% of the total direct costs, excluding equipment.

\*\*\* Indirect cost is not allowed to be paid to school district(s).

## APPENDIX F:4

**Alabama Commission on Higher Education (ACHE)**  
**No Child Left Behind Act (NCLB) { P. L. 107-110}**  
**Title II, Part A Subpart 3**  
*Mastery of Content*

### BUDGET SUMMARY GUIDELINES\*

Prepare a breakout on a separate sheet. For example, if expenses are shown for salaries, state who will be paid and the amount each person will receive. Itemize in the same for any contract services, materials/supplies, travel, and equipment purchases, if any.

#### SALARIES:

**Professional** salaries apply *only* to instructional and administrative staff of the applicant institution--*i.e.*, those who are to be directly involved in the project administration, presentations, and/or research. Resumes not exceeding two pages for each of these persons must be appended to the grant application.

**Non-Professional** generally refers to clerical support salaries or to amounts paid to persons who provide direct staff assistance but who are not members of the institutional faculty and professional staff. Examples: secretaries; lab assistants; undergraduate student aides; *etc.*

**Fringe Benefits** are those normally paid by the institution to the salaried members of its faculty and staff who will be involved in the project.

**CONTRACTED SERVICES:** These are services provided to the project *other* than those provided by institutional faculty and staff, *e.g.* professional consultants, K-12 master teachers, facility/equipment rental. Resumes not exceeding two pages for each contracted person must be appended to the grant application.

**MATERIALS AND SUPPLIES:** Expenses for anything consumable needed for training, including materials/supplies issued to participants for their training. **Note:** This program does not authorize expenses to supply or equip teachers' classrooms

**TRAVEL:** With the exception of independent study, travel costs may be paid from the ACHE NCLB grant only for project faculty and staff in direct support of project activities or administration. The budget may also include payment for substitute teachers in *public* schools only. Otherwise, tuition, stipends, travel, and other per diem expenses *may not be paid from the ACHE NCLB grant for participating teachers and principals.* (This restriction is intended to make the federal funds available as widely as the appropriation permits by leveraging funds from other sources, and in particular to encourage financial support from the partnership school districts.)

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\*The budget summary form (Appendix F:3) is not intended to show all the items that may be included within each category of expense, nor does it intend to suggest that the items listed should be included if they do not apply to an applicant's project.



**TOTAL DIRECT COSTS:** Total Lines “A” through “D” for all columns.

**PERCENT OF ACHE FUNDS REQUESTED:** Calculate the percent of the Total Direct Costs (line E.1) for each partner. For example, if the total direct cost for all partners (line E.1, column VI) is \$50,000 and the total direct cost for the IHE education partner (line E.1, column II) is \$5,000, then divide \$5,000 by \$50,000 and enter 10% on line E.2, column II [*i.e.*  $\$5,000 / \$50,000 = .1$  or 10%]. Do not include funds budgeted from External/In-Kind Support in calculating percent. **Note:** The NCLB “Special Rule” cited below limits each partner to no more than 50% of the project grant.

**INDIRECT COSTS:** USDE partnership grants are eligible to receive up to 8% of the total direct costs. Enter no more than this amount on line “H” under “Total ACHE NCLB-Funds Requested.” Any indirect cost exceeding this limitation must be provided from external funds or in-kind services. **Note:** Indirect costs may *not* be paid to school districts.

**EQUIPMENT:** Any amount requested for equipment should not exceed the percentage of the total purchase price used for the grant project. **Note:** Any equipment budgeted must be necessary to administer or conduct the professional development offered by the grant project and explained in the project proposal.

**OTHER:** Funds budgeted for any other expenses (*e.g.*, participant travel other than for participants in independent study, stipends, and hospitality) must be provided by External/In-Kind Support, not the ACHE NCLB grant.

**TOTAL PROJECT COSTS:** Add the amounts in column VI (Total ACHE NCLB Funds Requested) on lines E.1, F, and G, and enter the total on line I, column VI. Also, add the amounts in column VIII (Budget Total) on lines E.1, F, G, and H, and enter this total on line I, Column VIII.

### **ADDITIONAL BUDGET GUIDELINES**

**Special Rule:** The legislation requires that no partner may receive more than 50% of the funds. For example, each of three partner entities (teacher preparation division, arts and sciences, and a local school district) may share 1/3 of the total grant equally, or one may use 50% of the grant with the other two sharing 25% each, *etc.*, but none may use more than 50% of the total grant. In determining the percentage, the question to be answered is: Who is **using** the money? Under the rule, and assuming the partnership has only three partners, the institution receiving the NCLB grant could use 75% of the funds (combination of Arts and Sciences and Teacher Preparation Divisions) provided that neither unit is allocated more than 50% of the total award. An LEA would not have to receive grant funds for it to “use” funds for purposes of the “special rule.”

**Approved Expenses:** LEA costs include payments for services that the LEA or its staff directly use, *e.g.*:

- To provide release time for teachers (substitutes)
- To provide off-the-shelf materials and supplies (products) for project activities
- To lease facilities
- To underwrite costs of master teachers (K-12) who deliver instruction (consulting contracts/fees and travel, *etc.*)

**Approved Expenses for Sponsoring Institution's Percentage:** (Arts and Sciences or teacher preparation divisions as appropriate): Activities could include –

- Developing/adapting professional development curriculum materials for pre-service instructional purposes
- Project staff time
- Underwriting costs of materials and supplies related to the marketing of activities
- Providing administrative services (professional/non-professional) and technical support/travel in follow-up activities for long-term, sustained professional development
- Underwriting costs associated with external evaluation of project effectiveness (consulting contracts/fees and travel, *etc.*) In some instances the consultant could also be a partner.

**Indirect Costs:** Indirect costs are based on total direct costs excluding equipment.





**APPENDIX G**

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**EXPENDITURE REPORT**

**G:1. Expenditure Report Form**

**G:2. Expenditure Report Guidelines**

Appendix G:1  
Alabama Commission on Higher Education (ACHE)  
No Child Left Behind Act (NCLB) P.L. 107-110. Title II, Part A/Subpart 3  
*Mastery of Content*

**EXPENDITURE REPORT USDE FY2011-12**  
*Deadline for Submission: April 30, 2013*

This form may be printed and filled in by hand – or click [here](#) to access an Excel form, which can be saved and filled in on your computer. The Excel form will calculate most entries automatically.

**Institution:** \_\_\_\_\_ **Project:** \_\_\_\_\_  
**Project Director:** \_\_\_\_\_ **Signature:** \_\_\_\_\_  
**Telephone:** \_\_\_\_\_ **E-mail:** \_\_\_\_\_ **Date:** \_\_\_\_\_  
**Fiscal Agent – Title:** \_\_\_\_\_ **Signature:** \_\_\_\_\_

I. Category	II. IHE – Education	III. IHE – Arts/Sciences	IV. High-Need School District(s)	V. Other Partners (if any)	VI. <i>TOTAL ACHE NCLB FUNDS EXPENDED</i>
<b>A. Salaries</b>					
1. Professional					
2. Non-Professional					
3. Fringe Benefits					
<b>Total</b>					
<b>B. Contracted Services</b>					
1. Individuals/Agencies					
2. Facilities/Equipment leased or rented					
3. Evaluation					
<b>Total</b>					
<b>C. Materials/Supplies</b>					
1. Kits/Modules					
2. Books					
3. Software					
4. Office Supplies					
5. Telephone					
6. Postage/Delivery					
7. Printing					
<b>Total</b>					
<b>D. Travel</b>					
1. Project Staff					
2. Substitute Teachers					
<b>Total</b>					
<b>E.1. TOTAL DIRECT COST (A to D)</b>					
<b>E.2. Percent of ACHE Funds Expended</b>					100%
<b>F. INDIRECT COST* (8% or less of line E.1)</b>					
<b>G. Equipment Purchased</b>					
<b>H. TOTAL PROJECT COST (lines E.1 + F + G)</b>					
<b>I. Project Funds Received</b>					
<b>J. Balance Due from ACHE</b>					
<b>K. Balance to Refund to ACHE</b>					

\*Consistent with Education Department General Administrative Regulations (EDGAR 75.562(c)) , the maximum amount allowed for indirect cost is 8% of the total direct costs, excluding equipment. \*\* Indirect cost is not allowed to be paid to school district(s).

## APPENDIX G:2

### ALABAMA COMMISSION ON HIGHER EDUCATION (ACHE) No Child Left Behind (NCLB) *Mastery of Content*

#### EXPENDITURE REPORT GUIDELINES

The Expenditure Report mirrors the Budget Summary found in Appendix F:3. However, instead of projecting expenses at the start of the project, this form reports actual expenses at the end of the project.

If in doubt about any item, please consult the ACHE Title II NCLB program staff before preparing this report. Amounts listed in the expenditure report that are determined to be disallowed will not be paid, even if not questioned previously, and will be deducted from the balance otherwise remaining for the grant.

#### GENERAL INSTRUCTIONS.

- Attach documentation for all expenses paid or invoiced by the date of the report. For example, if expenses are shown for salaries, state who was paid and the amount paid. Document in the same way for any contract services, and include invoices or proof of payment for materials/supplies, travel, and equipment purchases, if any. *Note that this form reports actual expenses; estimating additional expenses anticipated after the date of the Expenditure Report that are not already invoiced is not permitted. Any expenses reported that are not documented as paid, invoiced, or known to be invoiced will be disallowed.*
- Report only expenses paid from the ACHE NCLB grant. Do not include expenses paid by external/in-kind sources.
- Accounting categories, codes, or labels of the institution sponsoring ACHE NCLB projects do not apply to this report. Be sure to translate as necessary into the categories described in these guidelines in order to avoid possible delay in payment of the final installment of the grant.
- Column VI "Total ACHE NCLB Funds Expended" is the total amount for all project expenses paid or invoiced to be charged to the grant up to the date of the Expenditure Report. *The grant will not pay for any estimated expenses or for any charges that are submitted after the Expenditure Report deadline.*
- The Expenditure Report must be *postmarked* or *received* at ACHE by the deadline. After the deadline, the project account will be closed, and any remaining grant balance may be forfeited.

#### SALARIES:

**Professional** salaries apply *only* to instructional and administrative staff of the applicant institution--*i.e.*, those who are to be directly involved in the project administration, presentations, and/or research.

**Non-Professional** generally refers to clerical support salaries or to amounts paid to persons who provide direct staff assistance but who are not members of the institutional faculty and professional staff. Examples: secretaries; lab assistants; undergraduate student aides; *etc.*

**Fringe Benefits** are those normally paid by the institution to the salaried members of its faculty and staff involved in the project.

**CONTRACTED SERVICES:** These are funds for services other than those provided by institutional faculty and staff, *i.e.* professional consultants or K-12 master teachers, facility/equipment rental. **Note:** Any salaried member of the project institution who is paid by the grant should be included above in "Salaries," *not* in contracted services.

**MATERIALS AND SUPPLIES:** Expenses for anything consumable or provided for participants, project administration, printing and production costs, and communication services (telephone, mail, *etc.*). **Note:** Any materials/supplies purchased must be necessary to administer or conduct the professional development offered by the grant project. *Funds are not available to supply or equip participants' classrooms.*

**TRAVEL:** Travel costs for participants in a project for independent study may be paid from the ACHE NCLB grant and listed as "staff." Travel for project faculty and staff may be paid from the ACHE NCLB grant only for project activities or administration. In addition, expenses for substitute teachers in public schools are allowable. Among expenses that are *not* allowed to be paid from the grant are payments for substitute teachers in private schools and tuition. Also not allowed to be paid from the grant are stipends, travel, and other per diem expenses for participants who are not in an independent study project.

**PERCENT OF ACHE FUNDS EXPENDED:** Calculate the percent of the Total Direct Costs (line E.1) for each partner. For example, if the total direct cost for all partners (line E.1, column VI) was \$50,000 and the total direct cost for the IHE education partner (line E.1, column II) was \$5,000, then divide \$5,000 by \$50,000 and enter 10% on line E.2, column II [*i.e.* \$5,000 / \$50,000 = .1 or 10%]. **Note:** The NCLB "Special Rule" cited in Appendix F:4 limits each partner to no more than 50% of the grant.

**TOTAL PROJECT AND EVALUATION COST:** Add the total amounts on lines E.1 and F.

**INDIRECT COSTS:** USDE partnership grants are eligible to receive up to 8% of the total direct costs. Enter no more than this amount on line "F" under "Total ACHE NCLB Funds Requested." Any indirect cost exceeding this limitation must be provided from external funds or in-kind services. **Note:** Indirect costs may *not* be paid to LEA partners

**EQUIPMENT:** If equipment was purchased for the project, the amount charged to the grant should not exceed the percentage of the total purchase *used* for the project.

**TOTAL PROJECT COSTS:** Add the amounts in column VI on lines E.1, F, G, and enter the total on line H, column VI.

**PROJECT FUNDS RECEIVED:** Enter the amount of ACHE NCLB funds the institution has received to date on line I.

**BALANCE DUE FROM ACHE.** Assuming that the total project cost (line H) is greater than the amount on line I, enter the difference on line J.

**BALANCE TO REFUND TO ACHE.** If the total project cost (line H) is less than the amount on line I, enter the difference on Line K and have your Business Office **prepare a check for this amount payable to the Alabama Commission on Higher Education. Send to the ACHE Office of Institutional Effectiveness and Planning with a copy of the Expenditure Report.**

If the total project costs are the same as the project funds already received, there will be no refund to return to ACHE *and* no balance will remain for ACHE to pay on the grant. In this case, enter the same amounts on lines “H” and “I,” and leave “J” and “K” blank.

Note also that the total amount ACHE provides cannot exceed the total grant of NCLB funds approved for the project.







**APPENDIX H**

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**STATEMENT OF ASSURANCES**

## APPENDIX H

**Alabama Commission on Higher Education (ACHE)**  
**No Child Left Behind Act (NCLB) { P. L. 107-110}**  
**Title II, Part A Subpart 3**  
*Mastery of Content*

### STATEMENT OF ASSURANCES

The applicant hereby assures that the project will comply with all of the following:

- 1) The applicant will comply with the regulations, policies, guidelines and requirements, including 45 CFR Part 74 and OMB Circulars No. A-102, A-133, and applicable costs principles Circulars: A-21, "Educational Institutions"; A-87, "Cost Principles for State and Local Governments"; and A-122, "Nonprofit Organizations") as they relate to the application, acceptance, and use of federal funds for this federally assisted project.
- 2) The applicant will comply with Title II of the Civil Rights Act of 1964 (P. L. 88-352) and in accordance with Title VI of that Act, no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant received federal financial assistance and will immediately take any measures to effectuate this agreement.
- 3) The applicant will comply with Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794, which prohibits discrimination on the basis of handicap in programs or activities receiving federal financial assistance.
- 4) The applicant will comply with the Age Discrimination Act of 1975, as amended, 42 U.S.C. 6101 *et seq.*, which prohibits discrimination on the basis of age in programs or activities receiving federal financial assistance.
- 5) All promotional materials and documents developed in support of the project will credit the *No Child Left Behind*/Title II Program administered by the Alabama Commission on Higher Education.
- 6) The project will be announced and available to teachers and principals in both public and private schools.
- 7) The applicant will provide data on participants as requested by the U.S. Department of Education by completing a Project Data Report and such other reports as are required by the Request for Proposal.
- 8) As a condition of eligibility for a grant offered in this Request for Proposal, the applicant certifies that the institution sponsoring the grant project provides now, and will continue to provide for the duration of the grant, a drug-free workplace (*i.e.*, a site for the performance of work done in connection with a specific grant at which employees of the grantee are prohibited from engaging in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance) and otherwise comply with the requirements of the federal Drug-Free Workplace Act of 1988.
- 9) The applicant will retain records of the program for three years (EDGAR Section 74.53(b) and will allow access to those records for purposes of review and audit.

Certification of assurances for the applicant institution:

Institution: \_\_\_\_\_

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

Project Director/Title (print): \_\_\_\_\_

Signature: \_\_\_\_\_

Official Certifying for the Institution/Title: \_\_\_\_\_

Signature:  
\_\_\_\_\_

Date: \_\_\_\_\_





**APPENDIX I**

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**PROPOSAL EVALUATION CRITERIA**

**APPENDIX I**  
**Alabama Commission on Higher Education (ACHE)**  
**No Child Left Behind Act (NCLB) { P. L. 107-110}**  
**Title II, Part A Subpart 3**  
*Mastery of Content*

**PROPOSAL EVALUATION CRITERIA**

**PROJECT NEED AND OBJECTIVES (25 points).** To what extent will project activities meet the objectives of this grant program as stated in the RFP? Specifically –

- a. Will the project provide long-term, sustained professional development?
- b. Will the project ensure that teachers and highly qualified paraprofessionals and, if appropriate, principals have subject matter knowledge in the academic subjects that the teachers teach, including the use of computer related technology to enhance student learning? If the project includes principals, will it ensure that principals have the instructional leadership skills that will help them work most effectively with teachers to help students master core academic subjects?
- c. How well will the project increase content knowledge or understanding of educational problems, issues, or effective teaching strategies for participants statewide?
- d. How much potential does the project have to impact the participants' students?
- e. How well will the project support the Alabama State Board of Education (SBE) professional development standards (RFP Appendix A:1 and A:2) and the Alabama Course(s) of Study applicable to the subject area(s)?

**PROJECT DESIGN: MANAGEMENT, ACTIVITIES (30 points).** How well will the project management and activities meet the project's objectives? Specifically:

- a. Is there demonstrated relevance and commitment of each partner to the project? Is the *role* of each partner clearly evident?
- b. Will the workshops/institutes be effectively organized and administered?
- c. How appropriate are the locations for project activities, proposed session dates, and participant requirements?
- d. How adequate is the instructional plan? How appropriate are the methods and materials for the project? If the program is designed to include mentors, is their role clearly identified and will they be properly selected and trained?
- e. Will the project provide continuing support and technical assistance during the school year, including an emphasis on technology to improve student learning?

**BUDGET AND COST EFFECTIVENESS (15 points).**

- a. Is the budget cost-effective?
- b. Are expenses reasonable to support the project's objectives?
- c. Will the project leverage funding from other sources?

**QUALITY OF KEY PERSONNEL (15 points).** How well are the staff and partners qualified and capable to achieve the project's objectives? [See résumés attached to the proposal.] Specifically:

- a. Considering training and experience, are the project's key personnel properly qualified to provide the administrative leadership necessary to carry out the activities of the project?
- b. Are the project's instructional personnel properly qualified to provide training to meet the project's objectives?
- c. Are the time commitments of the project director and other key personnel appropriate and adequate to meet the objectives of the project?

**PROJECT EVALUATION PLAN (15 points).** How adequate is the plan for project evaluation? Specifically:

- a. Are evaluation questions provided? Are evaluation questions related to the planned follow-up included?
- b. Do the evaluation questions adequately assess the project objectives and implementation (formative evaluation)?
- c. Are all project objectives measurable?
  - 1) Have the assessment tools been described with respect to reliability and validity?
  - 2) If assessment tools are to be developed by the project evaluator, what procedures will be used to ensure reliable and valid assessment tools?
- d. Is a process in place to monitor progress toward meeting project goals throughout the whole period of the project?